



NOV 27 2000

Vernon Brown, Gaming Commissioner
Mooretown Rancheria Gaming Commission
P.O. Box 1066
Oroville, California 95966

Dear Mr. Brown:

This letter responds to your request to the National Indian Gaming Commission (NIGC) to review and approve the revised Mooretown Rancheria's (Rancheria) Tribal Gaming Ordinance adopted by the Tribal Council of the Rancheria by Resolution # 00-311 on October 19, 2000, correcting the deficiencies of § 522.2(b) conducting background investigations and § 522.2 (h) conducting criminal history investigations as mentioned in our letter of September 7, 2000. The original Ordinance was approved by the Chairman of the NIGC on July 9, 1996. This letter constitutes approval of your submission under the Indian Gaming Regulatory Act (IGRA). Such approval does not constitute approval of specific games. It is important to note that the gaming ordinance is approved for gaming only on Indian lands, as defined in the IGRA, over which the Rancheria exercises jurisdiction.

Thank you for submitting the revised tribal gaming ordinance of the Mooretown Rancheria for review and approval. The NIGC staff and I look forward to our cooperative working relationship with the Rancheria in implementing the IGRA.

Sincerely yours,

A handwritten signature in black ink that reads "Montie R. Deer". The signature is written in a cursive style.

Montie R. Deer
Chairman



Mooretown Rancheria

#1 Alverda Drive
Oroville, CA 95966
(530) 533-3625 Office
(530) 533-3680 Fax
RESOLUTION 00-311

OCT 26 2000

APPROVAL OF MOORETOWN GAMING COMMISSION REGULATIONS AND RESUBMITTAL OF TRIBAL GAMING ORDINANCE 99-22

WHEREAS, the Mooretown Rancheria is a federally-recognized Indian tribe located in Butte County, California; and

WHEREAS, the Mooretown Rancheria is engaged in lawful Indian gaming in compliance with the Indian Gaming Regulatory Act.

NOW, THEREFORE, BE IT RESOLVED THAT the Tribal Council of the Mooretown Rancheria hereby approves the Mooretown Gaming Commission Regulations, regarding Criminal History and Background Investigations, as revised October 19, 2000.

BE IT FURTHER RESOLVED THAT the submission requirements of 25 CFR 522.2 have been met with the approval of the Tribal Gaming Ordinance 99-22 by the National Indian Gaming Commission (NIGC).

CERTIFICATION Resolution 00-311

I, the undersigned, as Tribal Chairperson of the Mooretown Rancheria, hereby certify that at a duly called and convened meeting on the 19th day of October, 2000, at which a quorum of the Tribal Council was present, this Resolution was adopted by a vote of:

6 yes, 0 no, and 1 abstentions

and that said Resolution has not been rescinded or amended in any way.

Shirley Prusia
Shirley Prusia, Tribal Chairperson

10-19-00
Date

ATTESTED BY:

Debbie Schmidt
Debbie Schmidt, Tribal Council Secretary

October 19, 2000
Date

"Concow - Maidu"

MOORETOWN GAMING COMMISSION REGULATIONS

SUBJECT: GENERAL REGULATIONS CONDUCTING BACKGROUND INVESTIGATIONS

I.PURPOSE

Pursuant to 99-22-5 (h) of the Tribal Gaming Ordinance (Gaming Commission) which states in part "The Gaming Commission shall have the power, duty, and primary responsibility to carry out the Tribe's regulatory responsibilities under federal or tribal law and any applicable gaming compact..." This document in accordance to 25CFR § 522.2(b) is established to set forth reasonable and progressive Tribal Gaming Regulations as deemed necessary and appropriate by the Tribal Gaming Commission.

II.LICENSING PROGRAM

The Mooretown Gaming Commission gaming licensing program is an investigative licensing process under which applicants are subject to applicable provisions set forth in the Indian Gaming Regulatory Act ("IGRA") and regulations promulgated thereunder; Tribal Law, and any other applicable law or Tribal-State Compact. An applicant that meets the standards for licensing will be granted a license and will be subject to biennial renewal. Any gaming license granted shall be deemed a privilege that is subject to suspension or revocation at any time.

III.LICENSE APPLICATIONS

A license applicant must submit all application documents, including any fees required, to the office of the Gaming Commission. License applications are subject to the following requirements.

- a. Applications must be submitted on forms approved by the Gaming Commission. An application is not considered complete until all information requested is provided to the Gaming Commission. If the application is incomplete or if the applicant fails to promptly provide any additional materials requested, the license may be denied.
- b. Applicants must provide a general release and waiver of any privilege in connection with the release of all information required to conduct the review and investigation, so that the Gaming Commission may obtain from any and all sources that information which otherwise may be privileged.
- c. The Gaming Commission shall require fingerprinting and background checks for Class A license applicants (to include any key employee or primary management official, as defined in IGRA), and may require fingerprinting and background checks as part of the licensing investigation for any person seeking a license or holding an interest in any gaming activity, including but not limited to an interest in equipment, financing, supplies or services. The gaming Commission may submit fingerprints to the Federal Bureau of Investigation, the National Indian Gaming Commission, or another federal, local, or state agency for the purpose of searching their records for any criminal background information.

IV.BURDEN ON APPLICANT

The burden of proof with respect to the granting of any license is at all times upon the person applying for or holding such license. No license shall be granted unless and until the applicant has satisfied the Gaming Commission of their good character, honesty and integrity.

V. RELEASE OF CLAIMS

The application to receive a gaming license constitutes a request for determination of the applicant's general character, integrity and ability to participate or engage in, or to be associated with the gaming operation. Any written or oral statement made in the course of an investigation, proceeding or process of the Gaming Commission by any member, employee or by any witness, which is relevant to the investigation, proceeding or process, is absolutely privileged and shall not impose any liability for slander, libel or defamation, or constitute any grounds for recovery in any legal action. An applicant must accept all risk of adverse public notice, embarrassment or other action; which may result from the application and investigation process, and must expressly waive any claim for damages as a result of the process.

VI. CLASS A LICENSE

A license issued to an individual for employment with any Class II or Class III gaming activity, shall be considered a Class "A" license. Employees who is considered a key employee or primary management official must qualify for and hold a Class "A" gaming license.

Employees in any Class II or Class III gaming enterprise who perform one or more of the following functions are considered to be key employees, and must qualify for and be licensed as Class "A" employee: bingo caller; counting room supervisor; chief of security; custodian of gaming supplies or cash; floor manager; it boss; dealer; croupier; approver of credit; or custodian of gambling devices, including persons with access to cash and accounting records within such devices. If not otherwise included, all persons whose total cash compensation exceeds \$50,000 per year and the four (4) most highly compensated persons in the gaming operation must qualify for and obtain a Class "A" license.

These are standards set forth by Mooretown Gaming Commission on this date:
October 19, 2000

Sharon Arnold, Commissioner
Calvin Rose, Commissioner
Ernest Tognietti, Commissioner
Mariam Davis, Secretary-Commissioner

GAMING COMMISSION PROCEDURES FOR APPLICANT INTERVIEW

APPLICATION STATEMENT

Pg 1: Personal History

Name

- 1) Ask for all alias names (This is checked through DMV records)
- 2) Women
 - a. Get all married names
 - b. Maiden names

Current Information

- 1) This information is confirmed off their Drivers License or Identification card.
 - a) date of birth
 - b) address
 - c) height
 - d) weight
 - e) hair color
 - f) eye color
- 2) Check Social Security number confirmed with Social Security Card and Credit Report.
- 3) Previous address for last 5 years. Check with Credit Report and or Social Search Report.

Financial

- 1) Use credit check through Credit Data North for the last ten (10) years.

Pg 2: Criminal History

- 1) Check for misdemeanors and felonies at local County Court House and an outside agency Information Resource Service Company (IRSC) for out of state or county for last 10 years.

Pg 3: References

Employment History

- 1) Make sure no lapse of time in employment (month to month, year to year)
- 2) Any lapse in time needs justification
- 3) Verification on credit report
- 4) Call previous employers. Ask for dates of employment, position held, reason for leaving and if rehireable.

Business

- 1) Needed most recent years tax forms filed

Personal

- 1) Contact at least three references in person or over phone on character of individual.

Pg 4: Gaming

Business Relationships

- 1) We ask applicant to list any interest in the gaming industry.

Financial Relationships

- 1) Applicant to list any financial situation within a gaming operation.

Licensing

- 1) Applicant to list all licenses held with any gaming establishment
- 2) If applicable photocopy previous gaming license.

Pg 5: Education

High School

- 1) Get all documents that confirm their high school diploma or GED.

College

- 1) All documents that confirm; transcripts or degree.

Certificates

- 1) All documents that confirm trade school or training in a specific field.

MOORETOWN GAMING COMMISSION REGULATIONS

SUBJECT: GENERAL REGULATIONS CONDUCTING CRIMINAL HISTORY CHECKS

I. AUTHORITY

Pursuant to 99-22-11 (a)(14) of the Tribal Gaming Ordinance (Gaming Commission) which states in part "Fingerprints consistent with procedures adopted by the Gaming Commission according to 25CFR § 522.2(h)" and 99-2211 (b) "The Gaming Commission may employ all reasonable means, including the engagement of outside services and investigators and the holding of hearings to acquire the information necessary to determine whether or not a license should be issued...". This document is established to set forth reasonable and progressive Tribal Gaming Regulations as deemed necessary and appropriate by the Tribal Gaming Commission.

II. PROCESSING PROCEDURES

The Mooretown Gaming Commission is processing fingerprint cards submitted to the National Indian Gaming Commission (NIGC) as part of their employee background investigations. This is required by the Gaming Commission to perform a fingerprint check, through the FBI records system, as part of the background investigation on each individual who has applied for a position as a key employee or primary management official.

III. LAW ENFORCEMENT AGENCY

Pursuant to Tribal Resolution 97-202 the Tribe authorizes the Mooretown Gaming Commission to enforce all provisions of Tribal and Federal gaming regulations or provisions of any Tribal/State compact, and that the Tribe authorizes the Mooretown Gaming Commission to take all fingerprints and process the fingerprint cards through the Federal Bureau of Investigations via the National Indian Gaming Commission.

IV. BURDEN ON APPLICANT

The burden of proof with respect to the granting of any license is at all times upon the person applying for or holding such license. No license shall be granted unless and until the applicant has satisfied the Gaming Commission of their good character, honesty and integrity.

V. POLICY

Applicants are subject to applicable provisions set forth in the Indian Gaming Regulatory Act ("IGRA") and regulations promulgated there under; Tribal Law, and any other applicable law or Tribal-State Compact. An applicant that meets the standards for licensing will be granted a license and will be subject to biennial renewal. Any gaming license granted shall be deemed a privilege that is subject to suspension or revocation at any time.

These are standards set forth by Mooretown Gaming Commission on this date: October 19, 2000

Sharon Arnold, Commissioner
Calvin Rose, Commissioner
Ernest Tognietti, Commissioner
Mariam Davis, Secretary-Commissioner

GAMING COMMISSION PROCEDURES FOR CRIMINAL HISTORY CHECKS

In accordance with the 25 C.F.R. § 522.2(h)

Interview Application

The Tribal Gaming Commission shall have sole authority and responsibility to conduct investigations and file reports. All federal and misdemeanor criminal charges are to be recorded, investigated and filed.

All current information contained in the employee application is verified by these designated agencies:

- California Driver License (current) or California Identification Card
- Department of Motor Vehicle printout
- Social Security Card
- Credit Report
- Military DD214 discharge papers
- Criminal Check last 10 years
 - 1) local County Court House records
 - 2) all other Counties and States records with an outside agency
 - 3) Federal Bureau Investigation (FBI)

Local Court House

Tribal Gaming Commissioner in person conducts the criminal investigation at the local Butte County Court House. Information is collected on charges, dates, dispositions, penalties and fines.

Outside Agency

Applicant's addresses living outside of the area are investigated through an outside agency, Information Resource Service Company (IRSC). Information pertaining to their State, County, and previous address is obtained through the initial interview with applicant and Gaming Commissioner.

Federal Bureau of Investigation

Mooretown Gaming Commission is required to perform a fingerprint check, through the FBI records system. Fingerprints are taken of the applicant in a key employee or primary management official position by a Tribal Gaming Commissioner. The completed fingerprint cards are forwarded directly to the National Indian Gaming Commission to be immediately sent to the FBI for processing.



Mooretown Rancheria

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09/22/99

ORDINANCE 99-22

TRIBAL GAMING REGULATIONS

99-22-1 PURPOSE

The Tribal Council of the Mooretown Rancheria ("Council"), empowered by the Constitution and bylaws of the Mooretown Rancheria ("Rancheria"), hereby enacts this Ordinance to govern class II and/or Class III, subject to the establishment of a compact with the State of California, class II gaming as operations on Tribal lands. The Council of the Mooretown Rancheria, empowered by the Constitution and bylaws of the Mooretown Rancheria also hereby establishes the Mooretown Gaming Commission to conduct all the provisions empowered to the Commission provided for in this ordinance. The Gaming Commission is funded by Tribal Government programs.

99-22-2 GAMING AUTHORIZED

Class II and/or class III gaming, subject to the establishment of a compact with the State of California, as defined in the Indian Gaming Regulatory Act (25 U.S.C. § 2701 et seq. ("IGRA") and regulations promulgated thereunder.

99-22-3 DEFINITIONS

Unless otherwise specified the terms used in this document shall have the same meaning as they do in IGRA, and NIGC, 25 U.S.C chapter III, and a legal binding compact signed by the designated authorities for Tribe and State. With the exclusion of NIGC 502.1, Chairman, in this document any reference to chairman means the Mooretown Rancheria Tribal Chairman, and NIGC 502.6 Commission, in this document any reference to Commission, Gaming Commission or Commissioners shall mean the employees of the Mooretown Rancheria Gaming Commission.

"Concow - Maidu"

99-22-4 OWNERSHIP OF GAMING

The Rancheria shall have the sole propriety interest in and responsibility for the conduct of any gaming operation authorized by this Ordinance.

99-22-5 GAMING COMMISSION

- a. "Gaming Commission" or "Tribal Gaming Agency" shall mean the Mooretown Gaming Commission as established herein under tribal law, and designated responsibility for carrying out the Tribe's regulatory responsibilities under IGRA and this Gaming Act, including the duties and responsibilities set forth in any Gaming Compact adopted by the Tribe.
- b. The Gaming Commission shall be composed of three (3) to seven (7) permanent, full time employees. These positions will include one (1) management position. The increase or decrease in the number of employees shall be the decision of the Tribal Council.
- c. Gaming Commission employees are employees of Mooretown Rancheria and shall be subject to the Personnel Policies & Procedures of Mooretown Rancheria. This includes pre-employment requirements, employee conduct and termination of employment.
- d. Gaming Commission employees are prohibited from working at any gaming enterprise or gaming facility of Mooretown Rancheria.
- e. Members of the Tribal Council are not eligible for employment on the Gaming Commission during their term.
- f. Commissioners may be removed from office by the Tribal Council, for neglect of duty, malfeasance or other good cause shown, including but not limited to dishonesty or an unacceptable drug test.
- g. The Gaming Commission Role and Scope of Duties shall be set forth in a document so named and adopted by the Tribal Council.
- h. The Gaming commission shall have the power, duty, and primary responsibility to carry out the Tribe's regulatory responsibilities under federal or tribal law and any applicable gaming compact; to enforce those requirements; and to protect the integrity of the gaming activities and the reputation of the Tribe and the gaming operation for honesty, fairness, and confidence of patrons, under provisions to include the following:
 1. Inspect, examine and monitor Gaming Activities and gaming facilities, including unrestricted access to any area of the gaming operation, the authority to inspect, examine,

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- photocopy and audit all papers, books and records respecting such.
2. Investigate any suspicion of wrongdoing or violations in connection with any Gaming Activities, and require correction of violations as the Gaming Commission deems necessary, including imposing fines or other sanctions established by the Tribal Council, against licensees or other persons who interfere with or violate the Tribe's gaming regulatory requirements under applicable federal or tribal law or Gaming Compact.
 3. Conduct, or cause to be conducted, such investigations in connection with any Gaming Activity as may be necessary to determine compliance with law, including this Gaming Act, or with any contracts, agreements, goods, services, events, incidents, or other matters related to the Gaming Activities.
 4. Conduct, or cause to be conducted, background investigations regarding any person in any way connected with any Gaming Activities and issue licenses to, at minimum, all Key Employees and Primary Management Officials according to requirements at least as stringent as those in 25 C.F.R. parts 556 and 558, as well as any employees, investors, contractors, or others required to be licensed under standards established by the Gaming Act, IGRA, or an applicable Gaming Compact.
 5. Implement and administer a system of investigating, licensing, monitoring, reviewing, and license renewal for the gaming facility, employees, gaming contractors and vendors, suppliers, investors, and others connected with Gaming Activities, as described below, including the issuance of licenses to gaming facilities, individuals and entities as required under this Gaming Act, IGRA, or any applicable Gaming Compact.
 6. To the extent required, comply with any reporting requirements established under this Gaming Act, a Gaming Compact to which the Tribe is a party, or other applicable law, including the IGRA.
 7. Issue such regulations as it deems appropriate in order to implement the provisions of this Gaming Act, IGRA, or any applicable Gaming compact, and to promulgate rules and regulations for operation and management and ensure their effective enforcement in areas including: enforcement of relevant laws and rules; conduct of hearings and investigations; physical safety of patrons, employees, and other persons in the gaming facility; physical safeguarding of

assets; prevention of illegal activity within the facility or in respect to the gaming operation including employee procedures and surveillance systems; detention of persons who may be involved in illegal acts for notification of law enforcement authorities; recording of any and all occurrences within the gaming facility; conduct of audits; submission, approval, and maintenance of class III game rules; maintenance and approval of surveillance system consistent with industry standards; cashier's cage maintenance consistent with industry standards; staffing and supervisory standards; staffing and supervisory requirements; and technical standards for operation of gaming terminals and other games consistent with gaming testing laboratory standards.

8. Impose license fees, sanctions, fines, and conditions established by the Tribal Council, and renew licenses; deny, suspend or revoke licenses; and issue temporary or conditional licenses as appropriate under the provisions of this Gaming Act, IGRA, or an applicable Gaming compact.
9. Investigate and report violations and compliance failures as required under this Gaming Act, IGRA, or an applicable Gaming Compact.
10. Investigate and assure compliance with any requirements for tribal ownership, management, and control of the gaming facility and gaming operation, as set forth in tribal or federal law or an applicable Gaming Compact.
11. Investigate and assure compliance with age restrictions for patrons including provisions prohibiting minors in the gaming facility and age limits on service of alcoholic beverages as provided under applicable law.
12. Issue identification cards or badges to those persons required to be licensed and require such cards or badges to be worn at all times while in the gaming facility.
13. Review and monitor gaming facilities on the Reservation, issue certifications, and assure gaming facility compliance with any inspection and licensing requirements under federal or tribal law, and any applicable Gaming Compact.
14. Carry out any requirements under tribal or federal law or applicable Gaming Compact for the protection of the health and safety of gaming facility patrons, guests, and employees, including requirements that gaming facilities meet building and safety codes duly adopted by the Tribe.

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15. Monitor inspections by qualified building and safety experts to review and determine compliance with such requirements for gaming facility licensing and certification.
16. Carry out such other duties with respect to Gaming Activities on the Reservation and this Gaming Act, IGRA, or any applicable Gaming Compact shall direct.

99-22-6 USE OF GAMING REVENUE

a. The Council reserves the right to adopt or impose a uniform and comprehensive system of revenue distribution and taxation relating to gaming, provided such system is adopted in compliance with the IGRA.

b. Net revenues from gaming shall be used only for the following purposes: to fund Tribal government operations and programs; to provide for the general welfare of the Rancheria and its members; to promote Tribal economic development; to donate to charitable organizations; or to help fund operations of local government agencies.

c. If the Council elects to make per capita payments to Tribal members, it shall authorize such payments only upon approval of a plan submitted to the Secretary of the Interior or delegated authority under 25 U.S.C. § 2710(b)(3) and such rules as may be promulgated by the Council and/or the Secretary under lawful authority.

99-22-7 AUDIT

a. The Council shall cause to be conducted annually an outside audit by a recognized independent accounting firm for the gaming operations and shall submit the resulting audit reports to the Tribe and National Indian Gaming Commission or another entity as may be required by law.

b. All gaming related contracts that result in the purchase of supplies, services, or concessions in excess of \$25,000.00 annually, except contracts for professional legal and accounting services, shall be specifically included within the scope of the audit.

99-22-8 ENVIRONMENT AND PUBLIC HEALTH AND SAFETY

All Tribal gaming facilities shall be constructed, maintained and operated in compliance with federal law, Tribal Law and Ordinances to protect the environment and the public health and safety.

99-22-9 LICENSES FOR KEY EMPLOYEES AND PRIMARY MANAGEMENT OFFICIALS

The Gaming Commission will perform background investigations of and issue licenses to key employees and primary management officials according to the requirements of 25 CFR § 556 and 558. The Gaming Commission shall ensure that the policies and procedures set out in the following sections are implemented with respect to key employees and primary management officials employed at any gaming enterprise operated on Mooretown Rancheria Tribal lands.

DEFINITIONS

For the purposes of this section the following definitions apply:

a. Key employee means any person who performs one or more of the following functions:

- (1) Bingo Caller;
- (2) Counting room supervisor;
- (3) Chief of Security;
- (4) Custodian of gaming supplies or cash;
- (5) Floor manager;
- (6) Pit boss;
- (7) Dealer;
- (8) Croupier;
- (9) Approver of credit; or
- (10) Custodian of gambling devices, including persons with access to cash and accounting records within such devices;
- (11) If not otherwise included above, any other person whose total cash compensation is in excess of \$50,000 per year; or
- (12) If not otherwise included above, the four most highly compensated persons in the gaming operation.

b. Primary Management Official means any person who:

- (1) Has management responsibility for a management contract;

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- (2) Has authority to hire and fire employees or to set up working policy for the gaming operation; or
- (3) Has financial management responsibility; for example, the chief financial officer.

99-22-10 APPLICATION NOTICE

a. The following notices shall be placed on the application form for a key employee or a primary management official before that form is filled out by the applicant:

(1) "In compliance with the Privacy Act of 1974, the following information is provided: Solicitation of the information on this form is authorized by 25 U.S.C. §§ 2701 et seq. The purpose of the requested information is to determine the eligibility of individuals to be employed in a gaming operation. The information will be used by National Indian Gaming Commission members and staff who have a need for the information in the performance of their official duties. The information may be disclosed to appropriate Federal, Tribal, State, local, or foreign law enforcement and regulatory agencies when relevant to civil, criminal or regulatory investigations or prosecutions or when pursuant to a requirement by a Tribe or the National Indian Gaming Commission in connection with the hiring or firing of an employee, the issuance or revocation of a gaming license, or investigations of activities while associated with a Tribe or a gaming operation. Failure to consent to the disclosure indicated in this notice will result in a Tribe's being unable to hire you in a primary management official or key employee position. The disclosure of your Social Security Number (SSN) is voluntary. However, failure to supply a SSN may result in errors in processing your application.

(2) "A false statement on any part of your application may be grounds for not hiring you, or for firing you after you begin work. Also, you may be punished by fine or imprisonment (U.S. Code, title 18, section 1001)."

b. The Gaming Commission shall notify, in writing, existed key employees and primary management officials that they shall:

- (1) Complete a new application form that contains a Privacy Act notice pursuant to subsection (a)(1) of this section; or

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(2) Sign a statement that contains the Privacy Act notice and consent to the routing uses described in that notice. and also that they shall:

(3) Complete a new application form that contains a notice regarding false statements pursuant to subsection (a)(2) of this section; or

(4) Sign a statement that contains the notice regarding false statements.

99-22-11 BACKGROUND INVESTIGATIONS

a. In addition to any applicable provisions in any compact with the state of California, the Gaming Commission shall conduct a background investigation for each primary management official and for each key employee. The Gaming Commission shall request from each primary management official and from each key employee all of the following information:

(1) Full name, other names used (oral or written), social security number(s), birth date, place of birth, citizenship, gender, all languages (spoken or written).

(2) Currently and for the previous 5 years: business and employment positions held, ownership interests in those businesses, business and residence addresses and drivers license numbers;

(3) The names and current addresses of at least three personal references, including one personal reference who was acquainted with the applicant during each period of residence listed under paragraph (2) of this section;

(4) Current business and residence telephone numbers;

(5) A description of any existing and previous business relationships with Indian Tribes, including ownership interests in those businesses;

(6) A description of any existing or previous business relationships with the gaming industry generally, including ownership interest in those businesses;

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(7) The name and address of any licensing or regulatory agency with which the person has filed an application for a license or permit related to gaming, whether or not such license or permit was granted;

(8) For each felony for which there is an ongoing prosecution or a conviction, the charge, the name and address of the court involved, and the date and disposition if any;

(9) For each misdemeanor conviction or ongoing misdemeanor prosecution (excluding minor traffic violations), within 10 years of the date of the application, the name and address of the court involved and the date and disposition, if any;

(10) For each criminal charge (excluding minor traffic charges), whether or not there is a conviction, if such criminal charge is within 10 years of the date of the application and is not otherwise listed pursuant to paragraph (8) or (9) of this section, the criminal charge, the name and address of the court involved and the date and disposition, if any;

(11) The name and address of any licensing or regulatory agency (Federal, Tribal, State, local or foreign) with which the person has filed an application for an occupational license or permit, whether or not such license or permit was granted;

(12) A current photograph;

(13) Any other information the Gaming Commission deems relevant; and

(14) Fingerprints consistent with procedures adopted by the Gaming Commission according to 25 CFR § 522.2(h).

b. The Gaming Commission may employ all reasonable means, including the engagement of outside services and investigators and the holding of hearings to acquire the information necessary to determine whether or not a license should be issued. Applicants shall also agree to release all information necessary in order for the Gaming Commission to achieve its goals under this section and to furnish such information to the Gaming commission, the NIGC or other federal agency, or such other agency as may be required by law or an applicable Gaming Compact.

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c. The Gaming Commission shall conduct an investigation sufficient to make a determination under 99-22-12 below. In conducting a background investigation, the Gaming Commission or its agents shall promise to keep confidential the identity of each person interviewed in the course of the investigation.

d. If the National Indian gaming Commission has received an investigative report concerning an individual who another Tribe wishes to employ as a key employee or primary management official and if the Gaming Commission has access to the investigative materials held by the first Tribe, the Gaming Commission may update the investigation and update the investigative report under section 99-22-13 below.

99-22-12 ELIGIBILITY DETERMINATION

The Gaming Commission shall review a person's prior activities, criminal record, if any, reputation, habits and associations to determine the eligibility of a key employee or primary management official for employment in a gaming operation. If the Gaming Commission, in applying the standards of this ordinance, determines that employment of the person poses a threat to the public interest or to the effective regulation of gaming, or creates or enhances dangers of unsuitable, unfair, or illegal practices, methods and activities in the conduct of gaming, or Tribal gaming operation, shall not be employed by the gaming facility in a key employee or primary management official position.

99-22-13 PROCEDURES FOR FORWARDING APPLICATIONS TO THE NATIONAL INDIAN GAMING COMMISSION

a. When a key employee or primary management official begins work at a gaming operation of the Rancheria, the Gaming Commission shall forward to the National Indian Gaming Commission a completed application for employment which contains the notices and information contained in sections 99-22-9 and 99-22-10 above, and shall conduct the background investigation and make the eligibility determination for employment, or for continued employment, in a gaming operation as referred to in section 99-22-11.

b. Upon completing the background investigation and the determination of eligibility for employment, or for continued employment, in a gaming operation, the Gaming Commission shall forward the report referenced in section 99-22-13 to the National Indian Gaming Commission, within the 60 days after an employee begins work or within 60 days of the approval of this Ordinance by the Chairman of the National Indian Gaming Commission.

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c. The gaming operation shall not employ as a key employee or primary management official who does not have a gaming license within the 90 days of the approval of this Ordinance by the Chairman of the National Indian Gaming Commission.

d. During a thirty (30) day period beginning when the National Indian Gaming Commission receives an investigative report from the Gaming Commission, the Chairman of the National Indian Gaming Commission concerning a key employee or a primary management official who is the subject of the investigative report shall suspend the 30-day period until the Chairman of the National Indian Gaming Commission receives the information requested.

99-22-14 REPORT TO THE NATIONAL INDIAN GAMING COMMISSION

a. Pursuant to the procedures set out in section 99-22-12, when the Gaming facility employs a primary management official or a key employee, the Gaming Commission shall forward to the National Indian Gaming Commission a completed application containing the information listed in 25 CFR § 556.4(a)(1)-(13).

b. Before issuing a license to a primary management official or to a key employee, the Gaming Commission shall forward to the National Indian Gaming Commission an investigative report on each background investigation conducted. An investigative report shall include all of the following:

- (1) Steps taken in conducting a background investigation;
- (2) Results obtained;
- (3) Conclusions reached; and
- (4) The basis for those conclusions.

c. The Gaming Commission shall submit with the report a copy of the eligibility determination made pursuant to section 99-22-11 above.

d. If the Gaming Commission does not license an applicant, the gaming Commission:

- (1) Shall notify the National Indian Gaming Commission; and

(2) May forward copies of its eligibility determination and investigative report (if any) to the National Indian Gaming Commission for inclusion in the Indian Gaming Individuals Records System.

e. With respect to key employees and primary management officials, the Gaming Commission shall retain applications for employment and reports (if any) of background investigations for inspection by the Chairman of the National Indian Gaming Commission or his or her designee for no less than three (3) years from the date of termination of employment.

99-19-15 GRANTING A GAMING LICENSE

a. The Gaming Commission shall develop licensing procedures for all employees of a gaming operation. The procedures and standards of 25 CFR §§ 556 and 558, which are incorporated in this Ordinance, apply only to primary management officials and key employees.

b. A right to a hearing under section 99-22-15 below shall vest only upon receipt of a license granted under an ordinance approved by the Chairman of the National Indian Gaming Commission.

c. If, within a thirty (30) day period after the National Indian Gaming Commission receives a background investigation and a determination of eligibility report from the Gaming Commission, the National Indian Gaming Commission notifies the Gaming Commission that it has no objection to the issuance of a license pursuant to a license application filed by a key employee or a primary management official for whom the Gaming Commission has provided an application and investigative report to the National Indian Gaming Commission, the Gaming Commission may issue a license to such applicant.

d. The Gaming Commission shall provide any additional information requested by the NIGC concerning a key employee or primary management official who is the subject of a report as required under this subsection. An NIGC request for additional information shall suspend the thirty-(30) day period established under subsection (c.) above until the NIGC receives the additional information.

e. If, within the thirty (30) day period described above, the National Indian Gaming Commission provides the Gaming Commission with a statement itemizing objections to the issuance of a license to a key employee or to a primary management official for whom the Gaming Commission has provided an application and investigative report to the National Indian Gaming Commission, the Gaming Commission shall reconsider the application, taking

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into account the objections itemized by the National Indian Gaming Commission. The Tribal Council and/or Gaming Commission shall make the final decision whether to issue a license to such applicant.

99-22-16 LICENSE SUSPENSION

a. If, after the issuance of a gaming license, the Gaming Commission receives notice from the National Indian Gaming Commission that it has received reliable information indicating that a key employee or a primary management official is not eligible for employment under 25 CFR § 558.2, the Gaming Commission shall suspend such license and shall notify in writing the licensee, the Casino General Manager and the Tribal Council of the suspension and the proposed revocation.

b. The Gaming Commission shall notify the licensee of a time and a place for a hearing in writing on the proposed revocation of a license. All rights to notice and hearing shall be governed by Tribal Law.

c. After a revocation hearing, the Tribal Council and/or Gaming Commission shall decide to revoke or to reinstate a gaming license. The Gaming Commission shall notify the National Indian Gaming Commission of the final decision.

99-22-17 LICENSE LOCATIONS

A tribal license is required for each place, facility, or location on Indian lands where class II and/or class III gaming is conducted. Thus, the Tribal Council shall issue a separate license to each place, facility, or location on Indian lands where class II and/or class III gaming is conducted under this Ordinance.

99-22-18 COMPLIANCE WITH TRIBAL LAWS

a. All employees, managers and gaming patrons shall be required to comply with the laws of the Mooretown Rancheria. Violations of Tribal laws shall be grounds for termination of employment and expulsion from the gaming premises.

b. All relations between gaming employees and the enterprise shall be subject to the personnel, drug and other relevant policies of the Mooretown Rancheria.

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c. Nothing herein shall be interpreted as authorizing violations of the IGRA, or the regulations promulgated thereunder.

99-22-19 DISPUTE RESOLUTIONS

a. Any dispute between a member of the gaming public and any employee of the gaming enterprise arising on the gaming premises of the Tribe that is not clearly a violation of Tribal law shall be resolved by the supervisor, manager or general manager of the employee involved in such manner that will prevent violence and eliminate or reduce bad publicity for the enterprise, provided such resolution does not risk unnecessarily the resources of the enterprise. If the supervisor, manager or general manager is unable to resolve the matter immediately to the satisfaction of the gaming patron in compliance with this section, the matter shall be referred to the gaming manager for resolution.

b. Any dispute between a member of the gaming public that is not resolved pursuant to subsection (a) or any dispute involving the gaming manager that is not clearly a violation of Tribal law arising on the gaming premises of the Tribe shall be referred to the Tribal Council. The Council shall provide an opportunity, at the convenience of the parties, for all parties to the dispute to be heard and to confront any witness against them. The Council shall resolve all disputes based on the record in a fair and equitable manner.

c. Any dispute involving violation of Tribal law shall result in expulsion of a gaming patron from the gaming premises. Such person shall have the right to request a hearing before the Tribal Council, which shall be granted if the issue presented involves a question of the loss of money or property by the gaming patron. A hearing for any other reason shall be granted at the discretion of the Council.

d. All hearings granted under this section shall be conducted in compliance with the Indian Civil Rights Act.

99-22-20 NOTICE TO TRIBAL CHAIRPERSON

All notices required under law or regulations with respect to gaming activities shall be sent to the following address:

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Tribal Chairperson
Mooretown Rancheria
1 Alverda Drive
Oroville, CA 95966

99-22-21 REPEAL

To the extent that they are inconsistent with this Ordinance, all prior gaming ordinances are hereby repealed.

**CERTIFICATION
ORDINANCE 99-22**

We, the undersigned duly elected officials of the Mooretown Rancheria, do hereby certify under penalty of perjury that at on July 15, 1999, the foregoing Ordinance was adopted at a duly called meeting of the Tribal Council of the Mooretown Rancheria, with a quorum present, by a vote of:

6 for, 0 against, and 1 abstaining.

Shirley Prusia
Shirley Prusia, Tribal Chairperson

7-15-99
Date

ATTESTED BY:

Marion Contreras
Marion Contreras, Secretary

7-15-99
Date

**RECERTIFICATION
ORDINANCE 99-22**

We, the undersigned duly elected officials of the Mooretown Rancheria, do hereby certify that on July 15, 1999, the foregoing Ordinance was adopted at a duly called meeting of the Tribal Council of the Mooretown Rancheria, with a quorum present by a vote of:

6 for, 0 against, and 1 abstaining;

Shirley Prusia
Shirley Prusia, Tribal Chairperson

6-8-00
Date

ATTESTED BY:

Debbie Schmidt
Debbie Schmidt, Secretary

6-8-00
Date