

**NATIONAL
INDIAN
GAMING
COMMISSION**

APR 18 2000

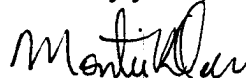
Ernest C. Jaramillo
Chairman, Pueblo of Isleta
11000 Broadway, SE
Albuquerque, New Mexico 87105

Dear Chairman Jaramillo:

This letter responds to your January 24, 2000, submittal of the Revised Pueblo of Isleta Regulations (Regulations). This letter constitutes approval of your submission under the Indian Gaming Regulatory Act (IGRA). It is important to note that the Regulations are approved for gaming only on Indian lands as defined in the IGRA, over which the Pueblo of Isleta exercises jurisdiction.

Thank you for submitting the Regulations of the Pueblo of Isleta. The NIGC staff and I look forward to working with you and the Pueblo in implementing the IGRA. If you have questions, please contact Ms. Frances Fragua at 202/632-7003.

Sincerely yours,

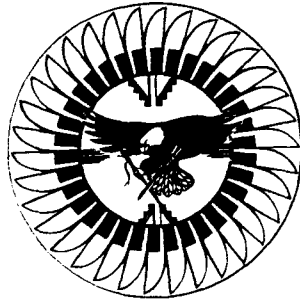


Montie R. Deer
Chairman

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TRIBAL COUNCIL OFFICE

ISLETA GAMING COMMISSION



505-869-0457
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PUEBLO OF ISLETA
P.O. BOX 1270 ISLETA, NM 87022

RESOLUTION NO. 01- 006

Pueblo of Isleta Gaming Regulatory Agency

At a duly called meeting of the Tribal Council of the Pueblo of Isleta, the following resolution was passed:

WHEREAS the Pueblo of Isleta Tribal Council has by Resolution 95-03, as subsequently amended by Resolution 00-108, established the Pueblo of Isleta Gaming Commission to exercise tribal regulatory authority over Gaming activities conducted upon the sovereign lands of the Pueblo of Isleta, including those conducted by the Pueblo's gaming enterprise, the Isleta Casino & Resort ("Pueblo Gaming");

WHEREAS, based upon the experience of the Pueblo of Isleta, Tribal Council has determined that the Gaming Commission Model provided for in Resolution 95-03 and 00-108 is no longer the most effective and efficient way in which to exercise the sovereign governmental authority of the Pueblo of Isleta over Pueblo Gaming;

WHEREAS, in view of the Pueblo's newly approved Compact for Class III Gaming with the State of New Mexico (the "Compact"), the adoption of the Pueblo of Isleta Gaming License Review Procedures by Resolution 01-104, and other events and circumstances, this is an opportune time at which to restructure the regulatory entity through which the Pueblo of Isleta's sovereign regulatory authority over Pueblo Gaming is exercised.

NOW, THEREFORE, BE IT RESOLVED by the Tribal Council of the Pueblo of Isleta:

Article I – Gaming Regulatory Agency

1. There is hereby established the Pueblo of Isleta Gaming Regulatory Agency (the "Isleta Gaming Regulatory Agency"). For purposes of maintaining familiarity of reference to regulated parties, consuming existing stationary, forms, supplies and other materials, and to allow the Isleta Gaming

Regulatory Agency to amend all relevant forms, documents and materials in an orderly fashion, the Isleta Gaming Regulatory Agency may identify and refer to itself as the Pueblo of Isleta Gaming Commission until June 30, 2002.

2. The Isleta Gaming Regulatory Agency shall be composed of an Executive Director and such staff as shall be necessary and appropriate to carry out the duties and responsibilities delegated to the Isleta Gaming Regulatory Agency by this resolution.
3. The Executive Director shall be appointed by the Tribal Council; provided, however, that the Executive Director may be removed at any time if a majority of the total number of members of the Pueblo of Isleta Tribal Council find that such removal is in the interest of effective regulation of Pueblo Gaming.
4. Tribal Council shall annually approve a budget for the Isleta Gaming Regulatory Agency and appropriate such funds as may be necessary to allow the Agency to effectively regulate Pueblo Gaming.

Article II – Authority and Duties of General Executive Director

1. All of the authority, responsibility and duties delegated to the Isleta Gaming Regulatory Agency by this Resolution shall be exercised by the Executive Director. Executive Director may delegate any of such authority, responsibilities and duties to members of the Isleta Gaming Regulatory Agency staff, provided that the Director shall remain responsible to ensure that said responsibilities and duties are effectively carried out.
2. The Executive Director shall supervise all Isleta Gaming Regulatory Agency staff in accordance with the Pueblo of Isleta Personnel Policies and Procedures and such other laws, policies and procedures that may apply to employees of the Pueblo of Isleta generally or the staff of the Isleta Gaming Regulatory Agency specifically.
3. The Executive Director shall annually propose a budget to Tribal Council for the Isleta Gaming Regulatory Agency and provide appropriate justification for all budgeted items and their necessity for the effective regulation of Pueblo Gaming. The Executive Director shall be responsible for authorizing all expenditures from the approved budget. The Executive Director may delegate to staff personnel of the Isleta Gaming Regulatory Agency such authority over the expenditure of budgeted funds as he or she may determine necessary or appropriate for the Isleta Gaming Regulatory Agency to carry out its responsibilities and duties pursuant to this Resolution.

Article III – Authority, Responsibilities and Duties

1. The Isleta Gaming Regulatory Agency shall on behalf of the Pueblo of Isleta exercise any and all regulatory authority and duties of the Tribe specified in Pueblo of Isleta Ordinance: Permitted Gaming 94-02, as amended, and Pueblo

of Isleta Ordinance of Tribal Law: Permitted Gaming, adopted September 23, 1997, including the backgrounding and licensure of all employees and other persons requiring to be licensed under said ordinances, and shall assure compliance with such ordinances by the Pueblo of Isleta, its Gaming enterprise and any and all other persons involved in or associated with Pueblo Gaming.

2. The Isleta Gaming Regulatory Agency shall perform on behalf of the Pueblo of Isleta any and all gaming regulatory duties required by, and shall assure compliance with, the Indian Gaming Regulatory Act, the regulations and authoritative rulings of the National Indian Gaming Commission, and the minimum internal control standards established by the National Indian Gaming Commission.
3. The Isleta Gaming Regulatory Agency shall act as the Tribal Gaming Agency described in the Pueblo of Isleta's Class III Gaming Compact with the State of New Mexico, shall exercise the authority, carry out the responsibilities and perform the duties of the Tribal Gaming Agency specified in the Compact, and shall ensure that Class III Pueblo Gaming is conducted in accordance with the Compact.
4. The Isleta Gaming Regulatory Agency shall exercise the authority, carry out the responsibilities and perform the duties of the Pueblo of Isleta Gaming Commission described in the existing regulations of the Pueblo of Isleta Gaming Commission, Chapters 1-21. Any and all references within said regulations to the authority, responsibilities and duties of the Gaming Commission or individual Commissioners shall henceforth be deemed to refer to the Executive Director. Executive Director may delegate such authority, responsibilities and duties specified in said regulations to members of the Isleta Gaming Regulatory Agency staff as necessary and appropriate to carry out the Isleta Gaming Regulatory Agency's responsibilities and duties with respect to the regulation of Pueblo Gaming.
5. The Isleta Gaming Regulatory Agency shall ensure that the Pueblo's Gaming enterprise establishes internal controls that are at least as restrictive as the National Indian Gaming Commission minimum internal controls, and shall provide regulatory oversight to assure compliance with established internal controls.
6. On or before June 30, 2002, the Isleta Gaming Regulatory Agency shall propose such revisions to the Isleta Gaming Commission Regulations currently in effect as shall be necessary and appropriate to reflect the assumption of gaming regulatory responsibilities and duties by the Isleta Gaming Regulatory Agency and the delegation of gaming regulatory authority to the Isleta Gaming Regulatory Agency by Tribal Council. The Isleta Gaming Regulatory Agency may also propose from time to time such amendments, supplements and deletions from the regulations as the Executive Director may determine to be necessary or appropriate for the effective regulation of Pueblo Gaming. All amendments, supplements and deletions

from the regulations shall be approved by Tribal Council prior to their effectiveness.

7. The Isleta Gaming Regulatory Agency shall exercise such other authority, carry out such other responsibilities and perform such other duties as may be necessary to assure that the conduct of Pueblo Gaming is in compliance with all applicable laws affecting the conduct of gaming.

Article IV – Miscellaneous

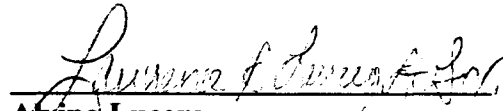
1. The Isleta Gaming Regulatory Agency shall act as the independent gaming regulator of all Pueblo Gaming and shall maintain the highest standards of integrity and diligence in its work. No member of Tribal Council shall serve as Executive Director or be employed by the Isleta Gaming Regulatory Agency during the term of his or her service as a Tribal Council person. Neither the Executive Director nor any staff member of the Isleta Gaming Regulatory Agency shall receive any compensation or other valuable consideration from the Gaming enterprise of the Pueblo of Isleta as an employee, agent or vendor, or as an employee, agent or owner of any such vendor. The Executive Director and the staff of the Isleta Gaming Regulatory Agency are employed by the Pueblo of Isleta Tribal Government and are not employed by the Gaming enterprise. Neither the Executive Director nor staff of the Isleta Gaming Regulatory Agency shall participate in any form of Pueblo Gaming during the period of their employment with the Isleta Gaming Regulatory Agency.
2. Unless expressly authorized by Pueblo of Isleta Tribal Council Resolution, the Isleta Gaming Regulatory Agency may not:
 1. Enter agreements of any kind for the Pueblo.
 2. Pledge the credit of the Pueblo.
 3. Dispose of or encumber real or personal property of the Pueblo.
 4. Waive any right of, or release any obligation owed to the Pueblo of Isleta.
 5. Waive any other rights, privileges, or immunities of the Pueblo of Isleta.
 6. Approve unbudgeted expenditures.
3. Actions of the Isleta Gaming Regulatory Agency with respect to the denial, suspension or revocation of any gaming license of any employee of, or vendor doing business with, the Pueblo's Gaming enterprise shall be subject to review under the Gaming License Review Procedures established by Resolution 01-104.
4. The Isleta Gaming Regulatory Agency as an integral part of the Tribal Government of the Pueblo of Isleta shall possess sovereign immunity of the Pueblo from suit, except as may otherwise be specifically approved by the Tribal Council of the Pueblo of Isleta.

Article V – Repeal of Resolutions

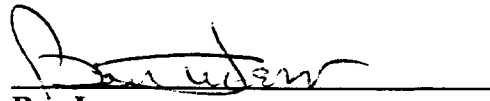
1. By adoption of this Resolution, the Tribal Council hereby revokes and rescinds Resolutions 95-03 and 00-108 effective upon adoption of this Resolution.

CERTIFICATION

We, the undersigned officials of the Pueblo of Isleta, hereby certify that the foregoing Resolution was duly adopted by the Pueblo of Isleta Tribal Council at a regular meeting held on Jan 16, 2002, a quorum present, with 8 voting for, 0 voting/against, and 1 abstaining.




Alvino Lucero
Governor



Ben Lucero
President of the Council

Attest:



Secretary

Pueblo of Isleta



JAN 04 2000

Regulations

of the

Isleta Gaming Commission

Isleta, New Mexico

As Revised December, 1999 and Current as of January 03, 2000

These Regulations supersede all prior Gaming Regulations

Pueblo of Isleta Gaming Commission Regulations

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JAN 21 2000

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 2

Promulgating Internal Procedures & Regulatory Provisions

**Pueblo of Isleta Gaming Commission
Regulation**

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Chapter 2

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Internal Procedures & Regulatory Provisions**

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to resolution 95-03 enacted January 28, 1995 and any ordinance adopted thereto.

II. PURPOSE

The purpose of this Regulation is to provide a functional set of administrative guidelines in order for the Commission to ensure comprehensive and consistent regulatory oversight of all Pueblo of Isleta Gaming Operations. In overseeing the gaming operations, the Commission shall act in a responsible and consistent manner when promulgating, adopting, approving, revising, implementing, administering and enforcing the rules, regulations, policies, procedures, and decisions of the Commission. In carrying out its' responsibilities, the Commission shall operate under the following:

- A. Fundamental fairness, justice and common sense.
- B. Responsible and organized record keeping. Some records may contain confidential information, which shall not be accessible to the public.

III. SCOPE

This regulation applies to all functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other resolution adopted thereto, the Indian Gaming Regulatory Act of 1988 25 U.S.C. 2701, and the Pueblo of Isleta/State of New Mexico Indian Compact. This regulation does not apply to other tribal entities or agencies within the Pueblo of Isleta Tribal Government.

IV. DEFINITIONS

The following definitions are intended to clarify the items covered in this regulation. Throughout this document the use of these definitions in the singular, also includes the plural.

Commission/Gaming Commission/Isleta Gaming Commission – pertains to the Chairman, Vice-Chairman, or Secretary-Treasurer, in whole or individually, of the Isleta Gaming Commission. See the Pueblo of Isleta Gaming Commission By-laws enacted April 27, 1998.

Commissioner - An individual duly appointed by the Pueblo of Isleta Tribal Council to serve as one (1) of three (3) members of the Isleta Gaming Commission.

Confidential Information- Internal information, records, or documents not accessible by or to the public.

Decision/Directive/Interim Directive/Order - A written ruling made by the Commission on any matter within the scope of Commission authority.

Notice - The method of bringing the proposed Commission regulations or decisions to the attention of interested parties and the public.

Policy - The general principles by which the Commission is guided in its regulatory oversight of gaming affairs.

Procedure - Regulations or decisions that define the method or process used by the Commission in its regulatory oversight of gaming affairs.

Quorum - The presence of two (2) Commissioners and the affirmative vote of two (2) of the Commissioners for the purpose of conducting Commission business.

Regulation – The general rules, controls, policies, or procedures incorporated, implemented, and enforced by the Isleta Gaming Commission in relation to Gaming on the Pueblo of Isleta. Any rule, control, policy, procedure, order, or directive officially adopted or issued by the Isleta Gaming Commission and prescribed to management of any Isleta Gaming Operation including but not limited to the following:

1. The violation of which may result in a fine, penalty, or other civil administrative sanction;
2. May establish, revise, amend, alter, or nullify a rule, policy, procedure, practice, or requirement of any Pueblo of Isleta Gaming Operation's Standard Operating Procedure (SOP);
3. May establish, revise, amend, alter, or revoke a rule, control, policy, procedure, practice, or requirement of administrative hearings;
4. May establish, change, or revoke requirements relating to benefits;
5. May establish, change, or revoke standards for assistance, suspension, or revocation of Gaming Licenses;
6. The amendment or repeal of a prior regulation or decision.

V. PROMULGATING REGULATIONS

A. **Format** - The format of any proposed Commission rule, regulation, amendment, or revision will include a clear and concise statement of:

1. Title
2. Authority
3. Purpose
4. Scope
5. Definition(s) (if applicable)
6. Policy or procedure will follow herein.
7. Exception(s) (if applicable)
8. Enforcement Activity (if applicable)
9. Notice of Disciplinary Action for Policy Violations (if applicable)
10. Acknowledgments (if applicable).
11. Commission Certification

B. **Sponsor** - The proposed rule, regulation, amendment, or revision shall be introduced in a Commission meeting. The individual proposing the rule, regulation, amendment, or revision shall be prepared to address all questions, which may arise.

C. The Commission must ensure that all rules, controls, policies, regulations, amendments, or revisions promulgated by the Commission are within the confines of tribal law, federal law, and the Indian Gaming Compact (if applicable) before their approval or implementation.

VI. PROMULGATING ORDINANCES

A. **Format** - The format of any proposed ordinance or amendment to an ordinance will include a clear and concise statement of:

1. Title (a number if applicable)
2. Authority
3. Purpose
4. Scope
5. Definition(s) (if applicable)
6. Body of the Ordinance will follow herein.
7. Certification
8. All the above must be in the format prescribed by the Pueblo of Isleta Tribal Council.

- B. **Sponsor** – An existing Commissioner of good standing must introduce the proposed ordinance or amendment at Council. Good Standing provisions are contained in the Pueblo of Isleta Gaming Ordinance Article 4, Section 3 and Article 7, Section 1. In an executive session, the sponsor shall motion to open the floor for discussion regarding the proposed ordinance or amendment. The Commissioner proposing the ordinance or amendment shall be prepared to address all questions that may arise.

VII. PROMULGATING POLICIES, PROCEDURES, and CONTROLS for the PUEBLO of ISLETA GAMING OPERATIONS

- A. The Commission has the authority to promulgate, review, implement, adopt, and carry out rules, controls, policies, procedures, amendments, or revisions in its' regulatory oversight of all Isleta Gaming Operations.
- B. Through the Isleta Gaming Commission Regulations (IGCR), the Isleta Gaming Commission encompasses numerous gaming laws and other applicable laws required by the Pueblo of Isleta, the Federal Government, and the Indian Gaming Compact. However, the Isleta Gaming Commission also requires all Pueblo of Isleta Gaming Operations to incorporate certain applicable gaming laws directly into their Standard Operating Procedures. Therefore, the Isleta Gaming Commission reserves the right to regulate any Gaming Operation based not only on Commission Regulations or applicable laws, but also on the Standard Operating Procedures.
- C. The Isleta Gaming Commission will allow the Management of any Pueblo of Isleta Gaming Operation a reasonable opportunity to develop Standard Operating Procedures
- D. The Isleta Gaming Commission must render a compliance approval over all Standard Operating Procedures (SOPs), new, amended, revised, or otherwise, for all Pueblo of Isleta Gaming Operations. For more detail on the development or processing of Standard Operating Procedures, see IGCR, Chapter 17 Notification to the Commission V(C) Modification/Alteration of Standard Operating Procedures

VIII. METHODS OF ENFORCING RULES, CONTROLS, REGULATIONS, MINIMUM INTERNAL CONTROL STANDARDS, GAMING LAWS, OTHER APPLICABLE LAWS, POLICIES, OR PROCEDURES

The following methods of enforcement shall be utilized by the Isleta Gaming Commission or their agents when initially addressing infractions or violations of any rule, regulation, control, regulation, minimum internal control standard, gaming law, other applicable law, policies, or procedures:

A. Notice of Infraction

1. A Notice of Infraction form will be completed for all infractions that are observed within any Isleta Gaming Operation by the Commission Auditors, Inspectors, and Investigators using form number GAM077. All information included on this form must be legibly hand written or typed allowing it to be easily discernable. A Notice of Infraction is for internal use with a casino and does not apply to outside entities such as vendors.
2. The following are guidelines for properly filling out specific section of the Notice of Infraction:
 - a. The section ranging from Date of Write Up through Name of Infraction shall be completed by the Commission Agent issuing the Infraction except for the Department Lead and Commissioner Acknowledgment which must be personally signed off on or initialed by the Commission Department Lead and a Commissioner.
 - b. CITATION: The infraction cited shall be identified in this section from the proper document citation wherein a law regulation, policy, or procedure has been violated, e.g., IGCR, Department SOP, IGRA, MICS or other written law or policy.
 - c. QUALIFYING CRITERIA: Describe the infraction in specific terms as to what took place.
 - d. CORRECTIVE ACTION BY DEPARTMENT MANAGER: This section is to be filled out by the Department Manager listed at the top of the "Notice" and a copy of the completed "Notice" returned to the Commission within the allotted time perimeter listed in

bold/Corrective Action Date section, immediately below this section. Managers are subject to disciplinary action by the Commission for not returning the completed "Notice" within the time allotted. In this Section, managers must, fully describe the corrective action taken by the responsible supervisor and/or the manager and include any preventive measures to be implemented to prevent recurrence, including any disciplinary action taken and a copy thereof for verification.

- e. CORRECTIVE ACTION DATE: The Commission agent shall specify the date and/or time when corrective action responses are expected from the Department Manager.
 - f. FOLLOW-UP OF CORRECTIVE ACTION: It is the responsibility of the issuing Commission Agent to follow-up no later than one (1) day after the Corrective Action Date.
 - g. Requires further follow-up, shall be marked by the issuing Commission Agent.
 - h. A Xerox copy shall be sent to the General Manager of the Casino.
 - i. The back of the original form issued by a Commission Agent is for COMMISSION USE ONLY and shall not be copied to any individual or entity outside the Commission Office.
3. INFRACTION FILE: Commission Auditors, Inspectors, and Investigators will establish and maintain the issued Notice of Infractions in an Infraction file in alphabetical order by last name.
 4. After corrective action has been completed, the Notice of Infraction will be filed in the Infraction file for future reference.
 5. Issued Notices of Infraction that have been concluded shall be stored for no less than three (3) years and then properly shredded and disposed of.
 6. The Commission, in the process of suitability determinations, or in the process of license suspension or revocation actions, may refer

to the Infraction File.

7. Final determination or action on each Notice of Infraction rests with the Isleta Gaming Commission.

B. Notice of Violation

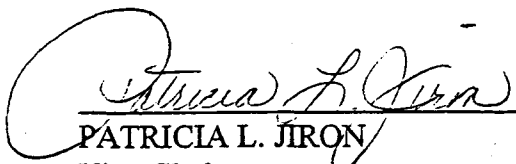
1. In the event Management of any Isleta Gaming Operation fails to respond or to take adequate corrective action when a Notice of Infraction is issued by a Commission Agent, the Commission may issued an outright Notice of Violation. A Notice of Violation shall also be utilized in the event that an entity, other than a Pueblo of Isleta Gaming Operation, violates any Commission Regulations, Standard Operating Procedure, or other applicable gaming laws.
2. Depending on the severity of any infraction, the Commission reserves the right to overstep the Notice of Infraction process above and issue a Notice of Violation or suspend or revoke any Gaming License. (For details on suspension or revocation of a Gaming License, see IGCR Chapter 5 Licensing)
3. Only a Commissioner may sign and issue a Notice of Violation.
4. All Notices of Violation shall be promulgated on official Commission letterhead and include at least the following:
 - a. A log number,
 - b. Name and address of Individual or Entity involved,
 - c. The words "NOTICE OF VIOLATION",
 - d. The citation and qualifying criteria,
 - e. Penalty assessment, of any type, and due date, as applicable, that the Commission is imposing,
 - f. Commissioner signature.

CERTIFICATION

We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulations, Chapter 2, Promulgating Internal Procedures & Regulatory Provisions, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant _____

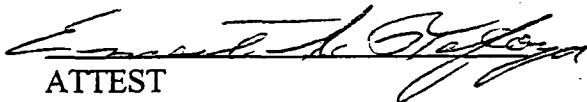
Chairman



PATRICIA L. JIRON
Vice-Chairman



ERNEST C. JARAMILLO
Secretary-Treasurer

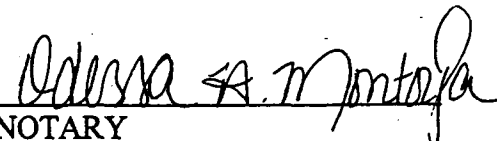


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires: May 08, 2002



NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 3

Gaming Participation & Operation

Pueblo of Isleta Gaming Commission Regulation

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Chapter 3

Gaming Participation & Operation

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Resolution 95-03 enacted January 28, 1995 and any ordinance adopted thereto.

II. PURPOSE

The purpose of this regulation is to address an ongoing "perception" problem with some functions of the Palace. The Commission understands the gaming industry is perception driven. If the Palace's games are perceived as fair and legitimate, the Palace will attract players. To this end, the Gaming Commission shall create, from time-to-time, regulations which will address such concerns.

III. SCOPE

This regulation applies to all functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other resolution adopted thereto, the Indian Gaming Regulatory Act, and the Isleta/State of New Mexico Indian Gaming Compact. This regulation does not apply to other tribal entities or agencies within the Pueblo of Isleta Tribal Government.

This regulation shall override all previous Palace policies and rules that speak to the matters enumerated herein.

IV. GAMING PARTICIPATION

A. Patrons

1. Participation in any Class II or III Gaming by any person under the age of twenty-one (21) is prohibited.

B. Employee

1. Employee Practices

- a. Discrimination of the employment of persons to work for the gaming Enterprise or in the Gaming Facility on the grounds of race, color, national origin, gender, sexual orientation, age, or handicap is prohibited.

- a. The hiring or job assignment of any person under the age of twenty-one (21) or who has not been licensed in accordance with tribal law, the Compact, and the IGRA to work in Class II or III Gaming activities is prohibited.
- b. **Exception:** Food & Beverage employees working in Class II areas only. Food & Beverage employees may be under twenty-one (21) years of age, but must be over eighteen (18) years of age to be employed by any Isleta Gaming Operation.

2. Employee Benefits

- a. Standards for the Gaming Operation of the Tribe are at least equivalent to those contained in the federal Fair Labor Standards Act of 1938, the federal Occupational, Safety, and Health Act of 1970, the federal Family and Medical Leave Act, and the regulations issued pursuant to those acts.
- b. Employment benefits will be provided to all employees of a gaming establishment, including, at a minimum, sick leave, life insurance, paid annual leave and medical and dental insurance as well as unemployment insurance and workers' compensation insurance through participation in programs offering benefits at least as favorable as those provided by comparable state programs.

V. GAMING OPERATIONS

A. Checks and Credit

1. A gaming enterprise will not cash any paycheck or any type of government assistance check, including Social Security, AFDC, pension and other similar checks, for any patron.
2. A gaming enterprise will not extend credit by accepting IOU's to markers from its patrons.

B. Automatic Teller Machine(s) (ATM)

1. Automatic teller machines on Gaming Facility premises will be programmed so that the machines will not accept cards issued by the State to AFDC recipients for access to AFDC benefits.

C. Management Contractor(s)

1. Any Management Contract regarding the Tribe's Class II or III Gaming Activity will conform to the requirements of Tribal Law, the IGRA, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact and the regulations issued thereunder.
2. All Management Contracts must be submitted to the Isleta Gaming Commission prior to signing or entering into said contract. In turn, the Isleta Gaming Commission must submit all Management Contracts to the NIGC for compliance approval. (*Also, see IGCR, Chapter 17, Notification to the Commission, V, D*)

D. Construction Standards**1. Safety and Construction**

- a. Safety and construction of all Gaming Facilities or additions thereto shall be minimally regulated by and maintained in accordance with the National Electrical Code, the Uniform Building Code, the Uniform Mechanical Code, the Uniform Fire Code, and the Uniform Plumbing Code.

2. Inspection(s)

- a. Inspections will be conducted with respect to the above construction standard at least annually.
- b. If the State Gaming Representative requests sufficiently in advance of an annual inspection, the State Gaming Representative may be present during such inspection and must be escorted by a Representative of the Commission at all times when inspecting any sensitive area.
- c. The Tribe agrees to correct any deficiencies noted in such inspections within a time agreed upon between the State and Tribe.
- d. The Commission will provide copies of such inspection reports to the State Gaming Representative, if requested to do so in writing.

3. Federal Funding and Wages

- a. On any construction project involving any Gaming Facility or related structure that is funded in whole or in part by federal funds, all workers will be paid wages meeting the standards established for New Mexico under the federal Davis-Bacon Act.

E. Political Contributions

1. The Tribe, the Tribal Gaming Agency, or a Management Contractor is prohibited from contributing directly, or through an agent, representative, or employee, revenue from the Gaming Enterprise owned by the Tribe, or anything of value acquired with that revenue, to a candidate, political committee, person holding an office elected or to be elected at an election covered by the State's Campaign Reporting Act.

G. Funding Assistance for Treatment Support Programs

1. The Gaming Enterprise will spend an amount that is no less than one-quarter of one percent (0.25%) of its net win annually to fund or support programs for the treatment and assistance of compulsive gamblers and for the prevention of compulsive gambling.

VI. ENFORCEMENT ACTIVITY

A. The Commission reserves the right to enforce this policy as follows:

1. an imposition of a fine,
2. disciplinary action up to and including suspension or revocation of employee gaming license,
3. disciplinary action up to and including suspension or revocation of vendor gaming license,
4. the placing of restrictions or conditions on the licensee's retention of their gaming license, and/or
5. the combination of any of the above

VII. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

A. All Management, Employees, and Vendors of any Isleta Gaming Operation are subject to the following action:

1. Refusal to comply or violation of this policy. Fine, denial, suspension, revocation, termination of and/or restrictions on Gaming License.

VIII. ACKNOWLEDGMENTS

Employee compliance with this Regulation is a condition of employment at or with the Isleta Gaming Operation(s). Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, nor shall any provisions of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealings, either expressed or implied.

Vendor compliance with this Regulation is a condition of performing business at or with the Isleta Gaming Operation(s). Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or vendor, of any business dealings or any continued business dealings whatsoever, nor shall any provision of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of business expressed or implied, or any obligation of business rights created by covenants of good faith and fair dealings, either expressed or implied.

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate nor shall it constitute any waiver of or limitation on all employees and vendors responsibility.

To the fullest reasonable extent possible, confidentiality is to be maintained in all applications of this Regulation.

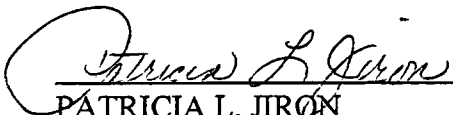
This Regulation may be amended as necessary to meet the interests of the objectives of this Regulation as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.

CERTIFICATION

We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 3, Gaming Participation & Operation, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant

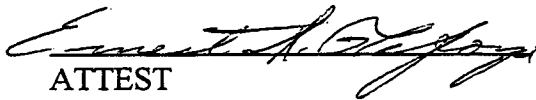
Chairman



PATRICIA L. JIRON
Vice-Chairman



ERNEST C. JARAMILLO
Secretary-Treasurer

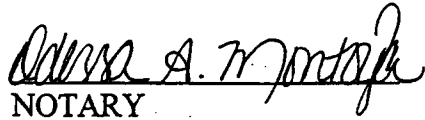


ATTEST

Subscribed and sworn before me this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires: May 08, 2002



NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 4

Gaming

Equipment or Devices or Supplies

Pueblo of Isleta Gaming Commission Regulation

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Chapter 4

Gaming Equipment or Devices or Supplies

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Resolution 95-03 enacted January 28, 1995 and any ordinance adopted thereto.

II. PURPOSE

The purpose of this regulation is to set forth a comprehensive set of Minimum Internal Controls Standards (MICS) for Gaming equipment, devices, electronic gaming devices (EGD), or supplies for all Gaming Operations of the Pueblo of Isleta. In order to maintain and insure the integrity of all Gaming equipment, devices, or supplies incorporated into any Gaming Operation, the Commission deems it necessary that appropriate safeguards be implemented via workable procedures. The following, set of procedures, are intended to address minimal standards that the Commission requires of all Gaming Operations of the Pueblo of Isleta. The State of Nevada Standard, Regulation 14, Manufacturers, Distributors, Gaming Devices, New Games and Associated Equipment (herein after, Nevada Standards) is hereby adopted (copies attached) to aid as an additional Minimum Internal Control Standard. Any standards; 1) promulgated by the Isleta Gaming Commission; or 2) practiced by the Pueblo of Isleta Gaming Operations, Standard Operating Procedures (SOP's), equal to or more stringent than the Nevada Standards, shall prevail in that order.

III. SCOPE

This regulation applies to all functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other Resolution or Ordinance adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact. This regulation does not apply to other tribal entities or agencies within the Pueblo of Isleta Tribal Government.

IV. PROCEDURES

A. Authorities

1. The persons authorized to implement the following procedures are limited to the following:
 - a. Commissioner or their designee,
Duties: Confirm by their signature or initials what actions were taken with the respective machine(s).

- b. Slot Department Manager or their designee,
Duties: Invoke any remedial action required and confirm by their signature what actions have been completed.
- c. Palace Security Officer,
Duties: Security personnel are to witness and confirm by their signature (if applicable) what actions took place and by whom.

B. Procedure for the Control of Electronic Gaming Devices (EGD's)

1. License required; applications

- a. A person may act as a manufacturer only if that person holds a non-restricted license specifically permitting the person to act as a manufacturer or distributor.
- b. Applications for manufacturer's or distributor's licenses must be made, processed, and determined in the same manner as applications for non-restricted gaming licenses, using such forms as the Commission Chairman may require or approve.

NOTE: See Chapter 5, Licensing, hereto, for further information on obtaining a Vendor License.

2. Approval of Gaming Device; applications and procedures

- a. A manufacturer or distributor shall not distribute a gaming device in the Pueblo of Isleta Reservation and a license shall not offer a gaming device for play unless it has been approved by the Commission or is offered for play pursuant to a field test ordered by the Commission Chairman.
- b. Applications for approval of a new gaming device must be made and processed in such manner and using such forms as the Chairman may prescribe. Only licensed manufacturers may apply for approval of a new gaming device. Each application must include, in addition to such other items or information as the Chairman may require:
 - 1. A complete, comprehensive, and technically accurate description and explanation in both technical and lay

language of the manner in which the device operates, signed under penalty of perjury; and

2. A Statement under penalty of perjury that to the best of the manufacturer's knowledge, the gaming device meets the Standards of Nevada, Section 14.040 (*attached hereto*) adopted by the Isleta Gaming Commission on August 29, 1997.
3. A copy of all executable software, including data and graphic information, and a copy of all source code for programs that cannot be reasonably demonstrated to have any use other than in a gaming device, submitted on electronically readable, unalterable media.
4. All Electronic Gaming Devices must be certified and verified by Gaming Laboratories International (GLI).

3. Access to Electronic Gaming Device (EGD)

- a. Slot Technicians will require the presence of a Security Guard and/or a Commission Inspector, and Surveillance will be notified as follows:
 1. Removal of a hopper from the Casino floor for any reason. This requires notification of Surveillance and the presence of Security only.
 2. Accessing the stacker in the bill validator. This requires notification of Surveillance and the presence of Security.
 3. Accessing the Logic Box or Logic Board. This requires the notification of Surveillance and the presence of Security. (*See number 4 below*)
 4. Accessing Chips on any logic board. This requires the notification of Surveillance and the presence of Security and the Commission. A Commissioner or their designee **must** be notified and present prior to any individual or entity gaining access to the Main Chip, Personality Chip, and/or the Supplemental Chip(s) residing on a logic board. No exceptions!

5. All deliveries of electronic gaming devices, regardless of origin, type, amount, or manufacturer must have a Commissioner or their designee present, Security present, and Surveillance must be notified prior to any products or merchandise being unloaded at or on the gaming facilities and/or premises. (*Also, see Chapter 17, Notification to the Commission, hereto*)
 - aa. Only a Commissioner or their designee are authorized to break the seal on delivery vehicles. In the event a delivery vehicle is not sealed, it may not be opened until a Commissioner or their designee is present.
 - bb. It is the responsibility of the Slots Manager or their designee to inform the Commission, in writing, at least five (5) days in advance of all expected deliveries of gaming devices.
- b. Technicians will sign the Machine Access Log, including date, time, and unit number when opening a machine and must notify Surveillance of all actions being taken to service the machine. Spot checks will be performed by the Gaming Commission Inspectors and designees to verify that this procedure is followed. In the event of an infraction, disciplinary action(s) will be taken as follows:
 1. 1st infraction - written up
 2. 2nd infraction - 3 day suspension
 3. 3rd infraction - termination and possible revocation of gaming license.
 4. Depending on the severity of the infraction, the Commission reserves the right to disregard numbers 1 and 2, above and implement number 3. (*Also, see Chapter 5, Licensing*)
- c. Any action performed within any respective slot machine or EGD will be recorded by the Slot Technician on the "Isleta Gaming Palace Slot Security Control Log" as follows:
 1. Machine #
 2. Slot Serial #
 3. Date
 4. Time

5. Signature of Slot Technician
6. Brief notation of action taken.

d. The above is continuously subject to inspection, audit, and investigation by the Pueblo of Isleta Gaming Commission.

C. Procedures for Certifying/sealing, Kobetron Testing, and Verification of Electronic Gaming Devices (EGD)

1. Procedure for Sealing Logic Board

- a. Each Electronic Gaming Device in the inventory of any Isleta Gaming Operation and its' subsidiary operations must have its master program logic board sealed by a Commission Inspector with the Commissions sequentially numbered seal tape, hereinafter known as, Commission Seal.
- b. Each seal tape affixed onto the program/logic board must be confirmed by the signature of the Commissioner or their designee listed in Subsection A., 1., a. above. The title of each seal tape must have sequential numbering and read as follows:

ISLETA GAMING COMMISSION

By: _____ No. 000001 Date: _____

- c. The Slot Security Control Log placed in the machine must contain the signature of the Slot Tech when entering an EGD. (See Section IV, A., 1., b., herein).

2. Procedures for Certifying and Sealing all EGD

- a. The Slot Technician will remove the Logic Board from the machine and write the Asset number and/or Serial number from the board.
- b. The Main Chip, Personality Chip and Supplemental Chip(s) must be removed from the Logic Board, tested (Kobetroned), witnessed, and recorded by a Commission Inspector, to verify EPROM signatures and GLI approval. This must occur prior to an electronic gaming device being utilized or depending on circumstances, at the discretion of the Commission.

- c. The following items will be recorded by the Commission Inspector on the "Isleta Gaming Commission EPROM Verification Work Sheet":
1. Machine Number
 2. Serial Number and/or Asset Number
 3. Main, Personality, and Supplement Chip Numbers
 4. Seal Number
 5. Kobetron Signature
 6. Date and Time
 7. Inspectors signature
- d. The Commission Inspector will affix the Official Commission Seal (tape) on the Main, Personality, and Supplemental chips as appropriate. The board will then be placed, by the Slot Technician, back into the EGD. The EGD will be turned on and tested for proper operation.
- e. If a Main, Personality, or Supplemental Chip(s) has previously been sealed and access becomes necessary, only a Commissioner or their designee may break the Commission Seal, allowing access. No exceptions! Penalties for breaking a Commission Seal without Commission authorization are severe.
- f. If the Main, Personality, or Supplemental Chips reside on different or several boards in an Electronic Gaming Device, each and every board that contains any one of these chips is considered a Logic Board and must be treated accordingly. This includes but is not limited to, slot machines, progressive meter, etc.
- g. No Main Chip, Personality Chip, or Supplemental Chip(s) or logic board will be installed, removed, or replaced in any EGD without first obtaining a Commission Seal and completing this process, herein.
- h. When the above actions occur, the Isleta Gaming Commission EPROM Verification Work Sheet(s) are to be kept on file, under protected mode, in the Commission Inspectors Office.
- i. The Kobetron shall be kept in the Commission Inspectors office.

D. Progressive Slot Machines

1. As used in this section:
 - a. **Progressive jackpot** - means a slot machine payoff that increases automatically over time or as the machine or another is played.
 - b. **Base amount** - means the amount of the progressive jackpot initially offered before it increases.
 - c. **Incremental amount** - means the difference between the amount of a progressive jackpot and its base amount.
2. A meter that shows the amount of the progressive jackpot must be conspicuously displayed at or near the machines to which the jackpot applies. At least once a day each Isleta Gaming Operation shall record the amount shown on each progressive jackpot meter at that Operations establishment except for those jackpots that can be paid directly from the machine's hopper. Explanations for meter reading decreases must be maintained with the progressive meter reading sheets, and where the payment of a jackpot is the explanation for a decrease, the Isleta Gaming Operation shall record the jackpot payout form number on the sheet or have the number reasonably available. Each Isleta Gaming Operation shall record the base amount of each progressive jackpot the licensee offers.
3. Any Isleta Gaming Operation may limit a progressive jackpot to an amount that is equal to or greater than the amount of the jackpot when the limit is imposed. The Isleta Gaming Operation shall post a conspicuous notice of the limit at or near the machine or machines to which the limit applies.
4. Any Isleta Gaming Operation shall not reduce the amount displayed on a progressive jackpot meter or otherwise reduce or eliminate a progressive jackpot unless:
 - a. A player wins the jackpot;
 - b. The Isleta Gaming Operation adjusts the progressive jackpot meter to correct a malfunction or to prevent the display of an amount greater than a limit imposed pursuant to subsection 3, and the Isleta Gaming Operation documents the adjustment and the reasons for it;

- c. The Isleta Gaming Operation may distribute the increment amount to another progressive jackpot at the Operation's establishment and:
1. Must document the distribution;
 2. Any machine offering the jackpot to which the Isleta Gaming Operation distributes the incremental amount does not require that more money be played on a single play to win the jackpot than the machine from which the incremental amount is distributed;
 3. Any machine offering the jackpot to which the incremental amount is distributed complies with the minimum theoretical payout requirement of the Pueblo of Isleta/State of New Mexico Indian Gaming Compact or the Nevada Standards, Regulation 14.040(1); and
 4. The distribution is completed within thirty (30) calendar days after the progressive jackpot is removed from play or within such longer period as the Commission Chairman or his/her designee may for good cause approve; or
- d. The Commission Chairman or his/her designee, upon showing of exceptional circumstances, approves a reduction, elimination, distribution, or procedure not otherwise described in this subsection, which approval is confirmed in writing.

E. Electronic Gaming Device (EGD) Pay-out and Odds Posting

1. Each electronic or electromechanical gaming device in use at the Gaming Facility will pay out a mathematically demonstrable percentage of all amounts wagered, which must not be less than eighty percent (80%);
2. Odds will be posted on each electronic and electromechanical gaming device.

F. Central Computerized Reporting and Auditing System

1. All Gaming machines on the premises of the Gaming Facility will be connected to a central computerized reporting and auditing system on the Gaming Facility premises, which shall collect on a continual basis the activity of each gaming machine in use at the Gaming Facility, and

all such data be electronically accessible to the State Gaming Representative upon entry of appropriate security codes.

G. Gaming Supply Purchasing

1. For purposes of purchasing supplies for Gaming, the Nevada Standards, Regulation 14 will be adhered to.
2. For purposes of purchasing and disposing of EGD's, the Johnson Act, the Transportation of Gambling Devices Act, and IGCR, Ch. 13, Surplus Palace Property shall be strictly adhered to.
3. For purposes of purchasing supplies for Gaming, the Isleta Gaming Operation, Standard Operating Procedures (SOP's) Manual, Purchasing will be strictly adhered to.
4. The purchase, removal, storage, replacement, and/or relocation of any EGD must be in compliance with IGCR, Ch. 17, Notification to the Commission (V)(A).
5. See IGCR, Chapter 18, Code of Conduct, for details on Conflict of Interest, hereto.
6. See IGCR, Chapter 5, Licensing, for details on Vendor licensing procedures, hereto.
7. See IGCR, Chapter 17, Notification to the Commission, for details on Casino Games, Contracts, Construction, etc., hereto.

NOTE: Attached herein are copies of adopted State of Nevada Standards, Regulation 14 for Gaming Equipment or Devices or Supplies.

V. EXCEPTIONS

A. Emergencies

1. Commission agents are available and on-call twenty-four (24) hours a day seven (7) days a week in the event of an emergency. The Palace Security Office has an Emergency Contact List for the Commission in which any Agent may be reached via pager and/or home phone number.
2. All emergency situations must be immediately brought before the Isleta Gaming Commission and will be considered on a case-by-

case basis. All Commissioners are available twenty-four (24) hours a day seven (7) days a week and can be contacted via pager, cellular phone, or home phone number found on the Commission's Emergency Contact List.

3. **The above mentioned Commission Emergency Contact List, especially home phone numbers, may not be given out to any employee, patron, or entity. In the event of an emergency, it is the responsibility of the Isleta Gaming Operation Security Office to contact the appropriate individual listed.**

VI. ENFORCEMENT ACTIVITY

A. The Commission reserves the right to enforce this policy as follows:

1. an imposition of a fine of no less than fifty dollars (\$50.00) and no more than five hundred dollars (\$500.00) for employees,
2. an imposition of a fine of no less than five hundred dollars (\$500.00) and no more than twenty-five thousand dollars (\$25,000.00) for vendors,
3. disciplinary action up to and including suspension or revocation of employee gaming license,
4. disciplinary action up to and including suspension or revocation of vendor gaming license,
5. the placing of restrictions or conditions on the licensee's retention of their gaming license, and/or
6. the combination of any of the above

VII. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

All Management, Employees, and Vendors of the Isleta Gaming Palace are subject to the following action:

1. Refusal to comply or violation of this policy. Fine, denial, suspension, revocation, termination of, and/or restriction on a Gaming License.

VIII. ACKNOWLEDGMENTS

Employee compliance with this Regulation is a condition of employment at or with the Isleta Gaming Operation(s). Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, nor shall any provisions of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealings, either expressed or implied.

Vendor compliance with this Regulation is a condition of performing business at or with the Isleta Gaming Operation(s). Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or vendor, of any business dealings or any continued business dealings whatsoever, nor shall any provision of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights expressed or implied, or any obligation of business rights created by covenants of good faith and fair dealings, either expressed or implied.

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate nor shall it constitute any waiver of or limitation on all employees and vendors responsibility to obtain a Gaming License prior to beginning work or performing business for or with the Isleta Gaming Operation(s).

To the fullest reasonable extent possible, confidentiality is to be maintained in all applications of this Regulation.

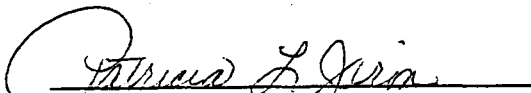
This Regulation may be amended as necessary to meet the interests of the objectives of this Regulation as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.


CERTIFICATION

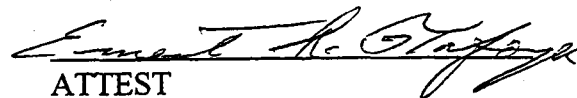
We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 4, Gaming Equipment or Devices or Supplies, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant

Chairman


PATRICIA L. JIRON
Vice-Chairman

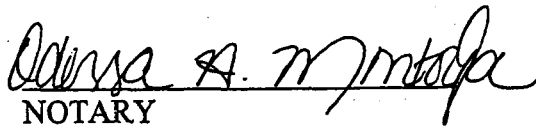

ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
By commission expires: May 08, 2002


NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 01, 1999)



Chapter 5

Licensing

Pueblo of Isleta Gaming Commission Regulation

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Licensing

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Licensing

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I. AUTHORITY

The Isleta Gaming Commission has regulatory authority for all Gaming Operations of the Pueblo of Isleta to include functions contained in the Indian Gaming Regulatory Act of 1988, and the regulations promulgated thereunder; any Tribal-State Compact to which the Pueblo is a party; any procedures instituted by the Secretary of the Interior; and other regulatory authority as it may be properly assigned from time to time. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Resolution 95-03 enacted January 28, 1995 and any ordinance adopted thereto.

II. PURPOSE

The purpose of this regulation is to create a licensing system that will protect the integrity of all Gaming Operations of the Pueblo of Isleta. This regulation will also serve as a guide to potential employees and vendors seeking to participate in the regulated gaming operations of the Pueblo of Isleta.

This Regulation shall ensure the following:

1. that the gaming operations of the Pueblo of Isleta remain free of criminal activity;
2. that investigations are conducted on all vendors and employees who participate in any Pueblo of Isleta gaming enterprise;
3. that patrons of the gaming operations of the Pueblo of Isleta are protected from harm; and
4. that the property and assets of the Pueblo of Isleta are protected from harm.

III. SCOPE

This regulation applies to all individuals and entities that are currently participating or seeking to participate in the Gaming Operations of the Pueblo of Isleta in any way. A license issued before July 1, 1996 shall be valid only if it meets the requirements of this regulation.

IV. DEFINITIONS

The following definitions are intended to clarify the items covered in this regulation. Throughout this document the use of these definitions in the singular, also includes the plural.

Applicant - any employee or vendor who applies to the Isleta Gaming Commission for a license to participate in the Gaming Operations of the Pueblo of Isleta.

Commission/Gaming Commission/Isleta Gaming Commission – pertains to the Chairman, Vice-Chairman, or Secretary-Treasurer, in whole or individually, of the Isleta Gaming Commission. See the Pueblo of Isleta Gaming Commission By-laws enacted April 27, 1998.

Commission Investigator/Agent - an employee of the Isleta Gaming Commission, who performs the duties and responsibilities as specified by the Commission in the job description for the Commission Investigator or Agent. The Commission has direct supervision over the Commission Investigator or Agent(s).

Compact - the Indian Gaming Compact between the Pueblo of Isleta and the State of New Mexico providing for the conduct of Class III Gaming.

Confidential Information - any information whose unauthorized disclosure could be prejudicial to the Isleta Gaming Commission, the Pueblo of Isleta Gaming Operations, or other interested parties. The Commission has the discretion to determine what constitutes "confidential information." Confidential information may include information governed by the Privacy Act or information that affects the proprietary integrity of the Pueblo of Isleta Gaming Operation(s).

Employee - any person/individual employed by any Gaming Operation of the Pueblo of Isleta.

Employment Application - an application for employment to work in any Gaming Operation of the Pueblo of Isleta.

Entity - any partnership, corporation, trust, association, company, firm, joint venture, syndicate, vendor, or other organization.

Gaming Equipment - any device, equipment, machine, or material used in a game of chance.

Gaming Vendor - any person or entity who manufactures, distributes, or sells gaming equipment to any Gaming Operation of the Pueblo of Isleta.

Human Resources - the personnel department at any Gaming Operation of the Pueblo of Isleta.

IGCR - Isleta Gaming Commission Regulation.

Key Employees mean:

1. a person who performs one or more of the following functions:
 - a. Bingo caller;
 - b. Counting Room Supervisor;
 - c. Chief of Security;
 - d. Custodian of gaming supplies or cash;
 - e. Floor Manager;
 - f. Pit Boss;
 - g. Dealer;
 - h. Croupier (person who collects or pays bets)
 - i. Approver of credit ; or
 - j. Custodian of gambling devices, including persons with access to cash and accounting records within such devices.
2. any other person whose total cash compensation exceeds fifty thousand dollars (\$50,000.00) per year;
3. if not otherwise included, the four most highly paid persons in the gaming operation.

Licensee - any person or entity, who has received a Gaming License, issued by the Isleta Gaming Commission, to participate in any gaming operations of the Pueblo of Isleta.

License Application - an application for a Gaming License to participate in the Gaming Operation of the Pueblo of Isleta.

Licensing Clerk - a Commission employee charged with the duties of handling licensing records, correspondence, files, etc.

NIGC – means the National Indian Gaming Commission.

Non-gaming Vendor - any person or entity who sells goods or services, other than gaming equipment, to any Gaming Operations of the Pueblo of Isleta.

Person - any individual.

Primary management official means:

1. any person who has management responsibility for a management contract: or
2. any person who has the authority:

- a. to hire and fire employees;
 - b. to set up working policy for the Gaming Operation; or
3. The chief financial officer or other person who has financial management responsibility.

Revocation - The withdrawal or cancellation or rescission of an individual's or entities license privilege of participating in the gaming activities of any Isleta Gaming Operation.

State Gaming Representative (SGR) - the person designated by the Governor of the State of New Mexico, who is responsible for the actions of the State as set forth in the Compact.

Suspension - A temporary cutting off or withdrawal or cessation or debarring an individual or entity, as from the privileges of participating in the gaming activities of the Isleta Gaming Operation.

Vendor - any person or entity who sells goods or services to any Gaming Operations of the Pueblo of Isleta.

V. APPLICATION FOR A LICENSE

- A. Any license, permit, certification, registration, renewal, finding of suitability, or other approval, issued by the Isleta Gaming Commission is deemed a revocable privilege. No person or entity holding such a license, permit certification, registration, renewal, finding of suitability, or other approval is deemed to have any rights therein.
- B. Any application submitted under the provisions of this Regulation or this rule constitutes the seeking of a privilege, and the burden of proving qualification is, at all times, on the applicant.
- C. Any application for a license, permit, certification, registration, renewal, finding of suitability, or other approval, from the Isleta Gaming Commission, will constitute a request to the Isleta Gaming Commission for a decision on the applicant's suitability, character, integrity, and ability to engage in, or be associated with, gaming activity with the Pueblo of Isleta Gaming Operation. By filing an application with the Isleta Gaming Commission, the applicant specifically consents to investigation to the extent deemed appropriate by the Isleta Gaming Commission. Without limiting the foregoing, the investigation may include background investigation and a credit check of the applicant and all persons having a substantial interest identified in the application.

- D. By applying for and obtaining any license, permit, certification, registration, renewal, finding of suitability, or other approval from the Isleta Gaming Commission, the holder agrees to abide by all provisions of the Isleta Gaming Commission Regulations, the IGRA, applicable Federal and Tribal Law, the Indian Gaming Compact, and any applicable Standard Operating Procedures of the Isleta Gaming Operation.
- E. **Waiver of privilege.** An applicant may claim any privilege afforded by the Constitution of the United States, the State of New Mexico, the Pueblo of Isleta, or the Indian Civil Rights Act of 1968, in refusing to answer questions by the Commission. However, a claim of privilege with respect to any testimony or evidence pertaining to an application may constitute sufficient grounds for denial.
- F. The required applications for employees, gaming vendors and non-gaming vendors are available in the Office of the Isleta Gaming Commission. These applications contain inquiries required by federal law, tribal law and the Compact. They also contain inquiries required by the Commission. The Commission, in its discretion, may revise the content of these applications. However, such revisions must be consistent with the requirements of Federal law, Tribal law and the Compact.
- G. All employees shall complete an application for a Gaming License (which includes but is not limited to, detailed information of all questions asked, a signed release(s) of information, a background check, fingerprint card, current photograph, and fee required) and must receive, at least, a Temporary Work Permit (*See Article VII. Temporary Work Permits, herein*) before participating in any Gaming Operations of the Pueblo of Isleta in any way. Employee license applications must be completed in the Office of the Isleta Gaming Commission. No exceptions!
- H. All vendors shall complete an application for a Gaming License (which includes but is not limited to, detailed information of all questions asked, signed release(s) of information, background check, business profile report, and licensing fee) and must receive, at least, a Temporary Vendor Permit (*See Article VII. Temporary/ Work Permit or Vendor Permit, herein*) before participating in the Gaming Operations of the Pueblo of Isleta in any way.
- I. All applicants are expected to provide truthful and accurate information in their applications. Falsification of or misrepresentation on a Gaming License Application will result in denial of license.
- J. Identification cards (hereinafter, ID Cards) are required by the Commission for the purpose of positive identification of all individuals or entities applying

for a Gaming License, Temporary Work Permit, etc. Therefore, one of the following forms of identification are acceptable and must be presented, along with a Social Security Card when applying for and processing a Gaming License Application:

1. Any valid picture ID card issued by a U. S. Federal Agency, i.e. Resident Alien Card, Naturalization Certificate, Military ID, etc.
 2. A valid Driver's License or picture ID card issued by the Motor Vehicle Division of any State of the United States.
 3. A membership ID card issued by any Tribal Government of a Federally recognized Indian Tribe (picture ID preferred).
 4. No other ID card is acceptable for the purpose of positive identification.
 5. Individuals must present their Social Security Card upon applying for a Gaming License. Social Security Cards are required to verify an Applicant's Social Security Account Number, trace verification, and to access the motor vehicle division records.
 6. In the case of vendor applicants, only the agent signing off on the Gaming License Application must present a valid ID and Social Security Card.
- K. At any time before the completion of a background investigation under Article VIII of this Chapter, an applicant may petition, in writing, to amend the information provided in the application to the Commission.
- L. Each application shall be accompanied by the nonrefundable licensing fee or an acceptable arrangement for payment of the fee required under Article VI, herein.
- M. It is the responsibility of all applicants (employee or vendor) to inform the Commission, by way of written amendment, of any change(s) to an application immediately as may occur. This includes, but is not limited to, name, address, phone number, ownership, other pertinent information asked in the application, etc. This responsibility shall remain in effect from the time the license application is submitted to the Commission until such time said license expires or is otherwise terminated.
- N. 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 addition material requested, the license

may be denied.

- O. All applicants must cooperate fully with the Commission and any agent of the Commission with respect to the background investigation of the applicant.
- P. All applicants must adhere to all applicable Isleta Gaming Commission Regulations and Isleta Gaming Operations, Standard Operating Procedures, when in the employ of the Isleta Gaming Operation or conducting any business with or on, any Isleta Gaming Operation premises.
- Q. Employees of the Isleta Gaming Organization are ineligible for a Gaming or Non-Gaming Vendor License, which would be deemed a conflict of interest by the Commission. (Also see, IGCR, Chapter 18, Code of Conduct, hereto).
- R. Acceptance of an Isleta Gaming Commission License or Permit or renewal thereof by a licensee or permit holder constitutes an agreement on the part of the licensee or permit holder to be bound by all the regulations of the Commission as the same now are or may hereafter be amended or promulgated. It is the responsibility of the licensee to keep informed of the content of all such regulations, and ignorance thereof will not excuse violations.

VI. LICENSING FEE

- A. Licensing grants employees and vendors the privilege of participating in the regulated gaming operations of the Pueblo of Isleta. In exchange for this privilege, all applicants shall pay a nonrefundable licensing fee, as set forth in this Article.
- B. The Commission shall not issue a license (in any form) to an applicant until the applicant has paid or made arrangements to pay the licensing fee required under this Article.

1. Primary Management Officials:

- a. Prior to processing the license application, Primary management officials shall pay a nonrefundable licensing fee of five hundred dollars (\$500.00) to the Isleta Gaming Palace. However, one half (1/2) of the amount will be borne by the Isleta Gaming Palace and one half (1/2) by the applicant.
- b. If a primary management official chooses not to pay the fee up front, Human Resources shall deduct two hundred fifty dollars

(\$250.00) from the primary management's official's wages over a six month period.

- c. If a primary management official terminates his or her employment, either voluntary or involuntary before paying the entire fee, Human Resources shall deduct as much of the unpaid amount as allowed by federal law from the primary management official's final paycheck. Thereafter, the Commission may take legal action against the former primary management official to recover any portion of the fee, which remains or refer the matter to a collection agency.
- d. Pueblo of Isleta Tribal Members being hired as a primary management official will not be assessed a licensing fee. However, if that tribal member leaves the employment of the Isleta Gaming Operation either voluntarily or involuntarily, within six (6) months of employment, that employee will be liable to the Isleta Gaming Palace for the full amount of that employee's licensing fee. In this event, the Isleta Gaming Palace will garnish as much of the requisite amount as possible, allowed by federal law, from the employee's remaining paycheck(s).

2. All Other Employees

- a. Prior to processing the license application, all other employees shall pay a nonrefundable licensing fee of two hundred dollars (\$200.00) to the Isleta Gaming Palace. However, one half (1/2) of the amount will be borne by the Isleta Gaming Palace and one half (1/2) by the applicant.
- b. If an employee chooses not to pay the entire fee up front, Human Resources shall deduct ten dollars (\$10.00) from the employee's wages each pay period until the fee is paid in full.
- c. If an employee terminates his or her employment either voluntarily or involuntarily, before paying the entire fee, Human Resources shall deduct as much of the unpaid amount as possible, allowed by federal law, from the former employee's final paycheck(s). Thereafter, the Commission may take legal action against the former employee to recover any portion of the fee, which remains unpaid or refer the matter to a collection agency.

- d. Pueblo of Isleta Tribal Members will not be assessed a licensing fee. However, if a tribal member leaves the employment of the Isleta Gaming Palace either voluntarily or involuntarily, within six (6) months of employment, that employee will be liable to the Isleta Gaming Palace for the full amount of that employee's licensing fee. In this event, the Isleta Gaming Operation will garnish as much of the requisite amount as possible, allowed by federal law, from the employee's remaining paycheck(s).

3. Gaming Vendors

Prior to processing a license application, all Gaming Vendors shall pay, in full, a nonrefundable licensing fee of two thousand five hundred dollars (\$2,500.00), required under this Section, to the Commission before participating in the gaming operations of the Pueblo of Isleta. All Gaming Vendors shall renew their license every two (2) years. In order to renew a license, a gaming vendor shall undertake the entire licensing process, including fees, as set forth in this Chapter. (*Also, see IGCR, Chapter 17 Notification to the Commission*)

4. Non-Gaming Vendors

- a. Prior to processing a license application, all Non-gaming Vendors shall pay, in full, a nonrefundable licensing fee of two hundred dollars (\$200.00), required under this section, to the Commission before participating in the Gaming operation of the Pueblo of Isleta. All non-gaming vendors shall renew their license every two (2) years. In order to renew a license, a non-gaming vendor shall undertake the entire licensing process, including fees, as set forth in this Chapter. (*Also, see IGCR, Chapter 17, Notification to the Commission*)
- b. Pueblo of Isleta Tribal Members who own a business, which by Commission definition, is deemed non-gaming will not be assessed a licensing fee, but must comply with the entire licensing process as set forth in this Chapter. (*Also, see IGCR, Chapter 17 Notification to the Commission*)

VII. TEMPORARY/ WORK PERMITS or VENDOR PERMITS

- A. Immediately or within twenty (20) regular days of receiving a completed application, the Commission may issue a Temporary Work Permit (for employees) or a Temporary Vendor Permit (for vendors) to an applicant.
- B. The Commission shall not issue a Temporary Work Permit or Temporary Vendor Permit to an applicant if:
1. the background investigation of the applicant reveals that the applicant has been convicted of a felony, gross misdemeanor, numerous criminal offenses, excessive amounts of debt (cash handling positions), or other pertinent information deemed to be derogatory; or
 2. it is apparent from the application that the applicant is ineligible to receive a license under the requirements of Article IX, Eligibility Determination, of this Chapter.
- C. The Temporary Work Permit or Temporary Vendor Permit shall expire upon:
1. the issuance of a license under Article XII of this Chapter;
 2. the issuance of a NOTICE OF DENIAL;
 3. in the case of vendors, ninety (90) regular days after the temporary vendor permit is issued; or
 4. in the case of employees, ninety (90) regular days after the employee begins work, whichever occurs first.
- D. In the event a temporary work permit or a temporary vendor permit expires due to the ninety (90) day rule, Section C (3) and (4) above, the employee or vendor will be notified by the Commission to file for an extension of said permit.
- E. If the employee or vendor are not notified by the Commission to file an extension of the temporary permit, it is understood that the temporary permit will automatically continue to apply, extending the life of said permit until the completion of the background investigation and a Gaming License or a Notice of Denial is issued.
- F. The ninety (90) day rule contained in Section C (3) and (4) above, applies to gaming license applications only and is not to be construed to coincide or commingle with the ninety (90) day employee evaluation period undergone

for employment purposes with any Isleta Gaming Organization.

- G. The Commission, in its discretion, may suspend or revoke an applicant's temporary work permit or temporary vendor permit at any time, without notice or a hearing based, in whole or in part, upon Article IX, Eligibility Determination, of this Chapter.
- H. Only the Commission has the authority to sign a Temporary Permit of any type, thereby executing and rendering the Permit valid and usable. However, the Commission may designate, from time-to-time, this signatory authority to a Commission Agent. This designation must be explicitly stated in writing by the Commission and specify a time limit.

VIII. BACKGROUND INVESTIGATIONS

- A. Upon receiving a completed application and required licensing fee or satisfactory arrangement for payment of the fee, the Commission shall conduct a background investigation on the applicant. The background investigation shall be sufficient to allow the Commission to make an eligibility determination under Article IX of this Chapter.
- B. Background investigations shall be performed in the following manner:
 - 1. **Employees:**
 - a. All applicants must complete an application for a gaming license in the Office of the Isleta Gaming Commission after being hired by the Isleta Gaming Operation's Human Resources Department.
 - b. Upon completion of an Application for a Gaming License by the applicant, the Commission shall conduct a background investigation on the applicant. The Commission shall:
 - 1) contact all persons and entities identified in the application, either by telephone or in writing, in order to verify that the information in the application is truthful and accurate;
 - 2) interview a sufficient number of knowledgeable people, such as references, former employers, partners, business associates, and others, referred to in the application;

- 3) review the criminal record, if any, motor vehicle division record, social security check, credit history, and relevant financial records of the applicant; and
 - 4) contact any local, state, federal, tribal, or other government agency referred to in the application.
- c. If an applicant terminates his or her employment before the background investigation is complete, the investigation shall continue to completion. The Commission, in its discretion, may stop the investigation at the applicants written request, if the background investigation has not begun. The applicant, however remains liable for the nonrefundable licensing fee required under Article VI of this regulation, regardless of whether the Commission continues or stops the investigation. If the applicant reapplies for a license within one hundred eighty (180) calendar days after the date of termination, no additional licensing fee shall be charged. If the applicant reapplies for a license and the one hundred eighty (180) days has expired, the applicant must undergo the entire licensing process, including all fees set forth in this chapter.
- d. Employee applicants and licensees shall have a continuing duty to provide any facts, materials, assistance, or other information required by the Isleta Gaming Commission, and to fully cooperate in any investigation conducted by or on behalf of the Isleta Gaming Commission. Any information relevant to the application or to the licensee or applicant's character, or fitness to be involved with the Gaming Activity or Gaming Operation, shall be delivered to the Isleta Gaming Commission promptly, with or without a formal request from the Isleta Gaming Commission.
- e. **ALL EMPLOYEE APPLICATIONS MUST BE COMPLETELY FILLED OUT, REGARDLESS OF HOW MINIMAL THE INFORMATION MAY SEEM. IF THE QUESTION IS NOT APPLICABLE, THE WORDS "NOT APPLICABLE" OR ABBREVIATION "N/A" WILL BE INSERTED AS AN ANSWER TO THE QUESTION POSED. IF AN APPLICANT DOES NOT POSSESS THE INFORMATION TO COMPLETE THE APPLICATION, HE OR SHE MAY REQUEST ADDITIONAL TIME TO OBTAIN THAT INFORMATION, BUT THE**

**APPLICATION SHALL NOT LEAVE THE OFFICE OF
THE ISLETA GAMING COMMISSION.**

2. Vendors

- a. The Commission shall provide applications to all potential vendors upon request. To expedite a vendor application, vendors may take this application, if necessary, to their place of business for completion and return it, via fax, to the Office of the Isleta Gaming Commission, but the Original application with all original signatures, releases, etc. must be hand delivered and/or mailed to the Office of the Isleta Gaming Commission. A vendor application can not be completely processed without the Original documents. Failure to return the Original application to the Commission will result in denial of application. *(Also, see Article VI, Licensing Fee, B, 3, 4, or 5, herein.)*
- b. Upon receiving a completed application and the appropriate licensing fee, the Commission shall conduct a background investigation on the applicant. The Commission shall:
 - 1) contact all persons or entities identified in the application either by telephone or in writing, in order to verify that the information in the application is truthful and accurate;
 - 2) interview a sufficient number of knowledgeable people, such as references, former employers, partners, business associates and others referred to in the application;
 - 3) review the credit history and relevant financial records of the applicant for at least three (3) years preceding the application; and
 - 4) contact any local, state, federal, tribal or other government agency referred to in the application.
- c. If a vendor chooses to withdraw their License application before the background investigation is complete, the investigation shall continue to completion. The Commission, in its discretion may stop the investigation at the applicants written request, if the background investigation has not begun. The vendor however, remains liable for the nonrefundable licensing fee required

under Article VI of this regulation. If the vendor reapplies for a license within one hundred eighty (180) calendar days, no additional licensing fee shall be charged. If the vendor reapplies for a license and the one hundred eighty (180) days has expired, the applicant must undergo the entire licensing process, including all fees set forth in this chapter.

- d. The Commission requires that all Owner(s) (if proprietorship) and/or the Officer(s)/Director(s) (if a corporation, partnership, firm, etc.) and the Designated Agent(s) of the local subsidiary(s) and the Person signing off on the Vendor License Application, employed by the vendor, sign an individual Release of Information form. Through this form the Commission requests the divulgence of each specific individuals Name, Date of Birth (DOB), and Social Security Number (SSN) for processing purposes. Failure to supply the appropriate SSN may result in errors in processing the application, which may result in denial of the Vendor Gaming License.
- e. Vendor applicants and licensees shall have a continuing duty to provide any facts, materials, assistance or other information required by the Isleta Gaming Commission, and to fully cooperate in any investigation conducted by or on behalf of the Isleta Gaming Commission. Any information relevant to the application or to the licensee or applicant's character, or fitness to be involved with the Gaming Activity or Gaming Operation, shall be delivered to the Isleta Gaming Commission promptly, with or without a formal request from the Isleta Gaming Commission.
- f. **ALL VENDOR APPLICATIONS MUST BE COMPLETELY FILLED OUT, REGARDLESS OF HOW MINIMAL THE INFORMATION MAY SEEM. IF THE QUESTION IS NOT APPLICABLE, THE WORDS "NOT APPLICABLE" OR ABBREVIATION "N/A" WILL BE INSERTED AS AN ANSWER TO THE QUESTION POSED.**

C. In conducting a background investigation, the Isleta Gaming Commission or its' agents will keep confidential the identity of each person or entity interviewed in the course of the investigation.

D. Delegation of Commission's Obligation to conduct Background Investigations.

1. The Commission may delegate all or any part of its obligation to conduct background investigations under these regulations to an outside investigative agency(s).
2. Neither the Isleta Gaming Commission, the Tribe, or any agency with which the Commission contracts to conduct background investigations, or the employees of any of the foregoing, may be held liable for any inaccurate information obtained through such an investigation.

E. Review by the Commission

1. The Commission shall review the results of all background investigations.
2. If the Commission finds that the scope of a background investigation was not adequate or that sufficient information was not obtained, the Commission shall perform additional investigations on the applicant.
3. When reviewing the results of a background investigation, the Commission shall document any information that calls into question whether an applicant meets the eligibility requirements of Article IX, herein.
4. The Commission shall conduct follow-up investigations on all problem areas in an application, including but not limited to:
 - a. information omitted in the initial application, including but not limited to, information about former employers, criminal history, previous residences, ownership of businesses, etc.;
 - b. bad credit or unusually large amounts of debt; or
 - c. any other item that appears suspicious or unusual.
5. The Commission shall document the results of all follow-up investigations in detail.

F. Fingerprinting

The Commission shall collect fingerprints from all applicants and forward the fingerprints to the Isleta Police Department. The Isleta Police Department shall then forward the fingerprints to the National Indian

Gaming Commission. The National Indian Gaming Commission is responsible for obtaining a criminal history record from the Federal Bureau of Investigation (FBI) on each applicant and forwarding it to the Isleta Gaming Commission.

G. Additional Investigations

1. The Commission retains the right to conduct additional investigations, background or otherwise, of any individual or entity required to be licensed, at any time while the application or license of that person or entity is valid or in use.
2. Due to unforeseeable circumstances that may occur during the tenure of an issued gaming license of an individual or entity, the Commission reserves the right to conduct additional investigations as necessary. Therefore, licensees have a continuing responsibility to fully cooperate with any Official Commission Investigation, inquiry, or request for information regardless of the subject matter.
3. During the course of any Official Commission Investigation, Isleta Gaming Operation employees, other persons, or entities that are interviewed must maintain the confidentiality of the subject matter discussed with the Commission or its' agents and shall not breach this confidentiality to any third party unless otherwise required by law. A third party includes, but not limited to, outside entities, co-workers, supervisors, managers, the general manager, family members, relatives, government agencies, etc. Retaliation, in any form, by an employee or superior toward their co-worker(s) or subordinate(s) for refusal to breach this confidentiality may result in severe disciplinary action against the perpetrator.

H. Absolute Privilege of Certain Communications and Documents; Restrictions On and Protections against Disclosure.

1. Any communication or document of an applicant or licensee, or an affiliate of either, which is made or transmitted to the Commission or any of their agents or employees to:
 - a. Comply with any law or the regulations of the Commission;
 - b. Comply with a subpoena or order issued by the Commission; or
 - c. Assist the Commission in the performance of their respective duties,is absolutely privileged and does not impose liability for defamation or constitute a ground for recovery in any civil action.

I. Confidentiality of Commission Information

1. The Commission, Commission agents, and all employees who have access to or handle confidential information shall not reveal any information contained in an application, file, report, or investigation to any third party, including, but not limited to, immediate family members, relatives, or sources outside of the Commission.
2. Confidential information may be released for the following reasons, only upon the approval of the Commission:
 - a. to an investigative agency charged with conducting background investigations on applications pursuant to a delegation made under Article VIII (C), herein;
 - b. to the National Indian Gaming Commission;
 - c. to the Federal Bureau of Investigation; or
 - d. to an authorized representative of federal, tribal, state, local, or foreign government or a regulatory agency, when the information sought relates to a civil, criminal, or regulatory investigation or prosecution; provided, that the receiving representative/agency has entered into a written agreement with the Commission and/or submits a Release of Information, signed by the individual in question, to the Isleta Gaming Commission.
3. If any Commission agent or employee required to handle confidential information violates any of the provisions of this section, he or she shall be subject to immediate termination. If a member of the Commission violates any of the provisions of this section, he or she shall be subject to immediate removal from the Commission, as set forth in Article III of the Pueblo of Isleta Gaming Commission By-laws (Enacted, April 27, 1998).
4. The Commission shall hold training sessions on the handling of confidential information. Attendance at the training session shall be mandatory for all members of the Commission, as well as for all agents and employees who are required to handle confidential information. Training sessions shall be held annually, or whenever the Commission, in its discretion, deems it necessary.
5. The Commission retains the right to further restrict disclosure of confidential information and to enact regulations to ensure compliance with the provisions of this section. (*See IGCR Chapter 21 Confidential and Proprietary Information*).

6. All members of the Commission and all employees required to handle confidential information shall sign a statement, in which they shall pledge not to violate the provisions of this section.

IX. ELIGIBILITY DETERMINATION

- A. The Commission Investigator or the Commission's investigative agency shall review the results of an applicant's completed background investigation, along with any criminal history on the applicant provided by the Federal Bureau of Investigation. The Commission Investigator or the Commission's investigative agency shall make written findings with respect to:
 1. the applicant's prior activities;
 2. the applicant's criminal record, if any; and
 3. the applicant's reputation, habits, and associations.
- B. After reviewing the findings of the Commission Investigator or the Commission's investigative agency, the Commission shall determine whether the applicant is eligible to receive a license. The Commission may conduct further investigations on the applicant before making such a determination.
- C. In deciding whether an applicant is eligible to receive a license, the Commission shall consider:
 1. the applicant's prior activities;
 2. the applicant's criminal record, if any; and
 3. the applicant's reputation, habits and associations.
- D. The Commission shall deny an application if it determines that the applicant:
 1. poses a threat to the public interest or to the Gaming Operations of Pueblo of Isleta;
 2. poses a threat to the effective regulation of the Gaming Operation; or
 3. creates or enhances a danger of unsuitable, unfair, or illegal practices, methods, or activities in the conduct of gaming.

E. The Commission shall not issue a Gaming License, under this article, to any individual or entity that has previously been denied within three (3) years of the date of the newly submitted application provided that the applicant is determined to be ineligible under this Article (IX.) of this Chapter.

X. REPORTING REQUIREMENTS (KEY EMPLOYEES AND PRIMARY MANAGEMENT OFFICIALS ONLY)

A. When a key employee or primary management official begins work at a Gaming Operation of the Pueblo of Isleta, the Commission shall send the required information to the National Indian Gaming Commission and the State of New Mexico Gaming Representative.

B. Upon completion of a background investigation on a key employee or primary management official, the Commission Investigator or the Commission's designated investigative agency shall prepare a report on the investigation. The Commission Investigator or the Commission's designated investigative agency shall send the report to the National Indian Gaming Commission and the State Gaming Representative within sixty (60) regular days after an employee begins work. The report shall include:

1. the steps taken in conducting the background investigation;
2. the results of the background investigation;
3. the Commission's conclusion;
4. the basis for the Commission's conclusions; and
5. a copy of the eligibility determination made under Article IX of this regulation.

C. If the Commission decides not to issue a license to a key employee or a primary management official, it shall notify the National Indian Gaming Commission and the State of New Mexico Gaming Representative of its decision.

D. The Commission must retain copies of a key employee or primary management official's application for employment and background investigation for three (3) years after the date of termination of employment. During the three (3) year period, the Chairman of the National Indian Gaming Commission and the State Gaming Representative may inspect these records with forty-eight (48) hours prior written notice, not including weekends.

XI. DENIAL OF APPLICATION AND DENIAL OF A GAMING LICENSE

A. The Isleta Gaming Commission may deny an application based on Article IX, Eligibility Determination, herein. Without limiting the foregoing, the Commission may deny the application on any of the following grounds:

1. Evidence of an untrue or misleading statement of material fact, or willful omission of any material fact, in any application, statement, or notice filed with the Commission or made in connection with any investigation, including any part of the background investigation;
2. Conviction of any felony, gross misdemeanor, or history of excessive criminal activity in any jurisdiction, even though the convicted person's or entity's post-conviction rights and remedies have not been exhausted, if the crime or conviction discredits or tends to discredit the Pueblo of Isleta or the gaming industry;
3. Conviction of any gaming offense in any jurisdiction;
4. Conviction or charge of theft (Larceny), embezzlement, and/or fraud in any amount;
5. Committed, attempted, or conspiracy to commit larceny, fraud, or embezzlement against any Isleta Gaming Operation or upon the premises of a gaming establishment;
6. Excessive DWI or DUI charges or convictions in any jurisdiction or combination thereof;
7. Entry of a civil judgment against the applicant that is based, in whole or in part, on conduct that allegedly constitutes a crime;
8. Direct or indirect association with persons or businesses of known criminal background or persons of disreputable character that may adversely affect the general credibility, security, integrity, honesty, fairness, or reputation of the proposed activity;
9. Any aspect of the applicant's past conduct, character, or behavior that the Commission determines would adversely affect the credibility, security, integrity, honesty, fairness, reputation of the proposed activity, or adversely effects the regulation of Gaming;
10. Failure of the applicant or its employees to demonstrate adequate business ability and experience to establish, operate, and maintain the business for

the type of activity for which application is made;

11. Failure to demonstrate adequate financing for the operation proposed in the application;
12. Failure to satisfy any requirement for application or to timely respond to any request by the Commission for additional information;
13. Inconclusive results of an applicants background investigation or unverifiable information pertaining to a material fact contained in a Gaming License Application;
14. Approval of the application would otherwise be contrary to Pueblo of Isleta Tribal Law, Federal Law, the Indian Gaming Compact between the State of New Mexico and the Pueblo of Isleta, or public policy;
15. Circumvention of Commission authority;
16. Circumvention of any Commission Regulation, applicable gaming laws, Isleta Gaming Operation Standard Operating Procedure, or applicable Federal, Tribal, or State laws;
17. Concealment or refusal to disclose any material fact in any Commission Investigation.

B. Denial of a Gaming License Application constitutes a denial of a Gaming License by the Isleta Gaming Commission.

1. The Commission shall deny a Gaming License if there is evidence indicating that the applicant is not eligible to participate in the gaming operation of the Pueblo of Isleta under the requirements of Article IX, Eligibility Determination, herein.
2. The Commission may deny a Gaming License if the National Indian Gaming Commission or the State Gaming Representative provides the Commission with evidence indicating that the applicant is not eligible to participate in the gaming operation of the Pueblo of Isleta under the requirements of Article IX, herein, the Indian Gaming Regulatory Act of 1988, the Pueblo of Isleta/State of New Mexico Indian Gaming Compact, Isleta Tribal Law, and other applicable Federal Laws.
3. Upon denying a license, the Commission shall notify, in writing, the applicant of the DENIAL and the reason(s) thereof.

- C. An applicant for a Gaming License that has been deemed unsuitable or ineligible by the Commission has no appeal rights herein. Therefore, the Commission may deny a Gaming License Application without a hearing based, in whole or in part, upon Article IX, Eligibility Determination, of this Chapter.

XII. ISSUING A LICENSE

Only the Commission has the authority to sign a Gaming License of any type, thereby executing and rendering the License valid and usable. However, the Commission may designate, from time-to-time, this signatory authority to a Commission Agent. This designation must be explicitly stated in writing by the Commission and specify a time limit.

A. Key Employees and Primary Management Officials

1. After receiving the investigative report required under Article X(B), the National Indian Gaming Commission and the State Gaming Representative have thirty (30) regular days to notify the Commission of any objections to the licensing of the applicant.
2. Within the thirty (30) day period, The National Indian Gaming Commission or the State Gaming Representative may request the Commission to submit additional information on the applicant. Such a request shall suspend the thirty (30) day period until the National Indian Gaming Commission or the State of New Mexico Gaming Representative receives the additional information.
3. If, within the thirty (30) day period, the National Indian Gaming Commission and the State Gaming Representative notify the Commission that there are no objections to the licensing of the applicant, the Commission may issue a license to the applicant.
4. If, after the thirty (30) day period has expired, the National Indian Gaming Commission and the State Gaming Representative have failed to notify the Commission of any objections to the licensing of the applicant, the Commission may issue a license to the applicant.
5. If, within the thirty (30) day period, the National Indian Gaming Commission or the State Gaming Representative provides the Commission with a list of objections to the licensing of the applicant, the Commission shall reconsider the application in light of the objections. After reconsidering the application, the Isleta Gaming

Commission shall make the final decision to issue or not to issue a license to the applicant.

6. No gaming operation of the Pueblo of Isleta shall employ a key employee or primary management official who has not been issued a license under this Chapter after ninety (90) regular days of employment. For further detail, see Article VIII. (D, E, and F) herein.

B. Employees other than Key Employees or Primary Management Officials

1. The Commission may issue a license to any employee (other than a key employee or primary management official) after making a determination that the employee is eligible to receive a license under Article IX of this Chapter.
2. In the event that an employee with the Isleta Gaming Operation receives a promotion to a Primary Management Official or Key Employee position, that employee must immediately report to the Isleta Gaming Palace Human Resource Office to obtain transition documentation. Along with the said documentation, the employee must report to the Office of the Isleta Gaming Commission to complete any additional licensing forms and obtain a new ID Badge. This process must be completed prior to said employee beginning their new position. No exceptions! The employees retention of this new position shall depend on their capability to surpass an additional eligibility determination and be deemed suitable under all articles of this Chapter. No additional Licensing Fee is required.
3. In the event that any employee of the Isleta Gaming Operation transfers from one position to another, regardless of department, that employee must immediately report to the Isleta Gaming Palace Human Resource Office to obtain transition documentation. Along with the said documentation, the employee must report to the Office of the Isleta Gaming Commission to complete any additional licensing forms and obtain a new ID Badge. This process must be completed prior to said employee beginning their new position. No exceptions! The employees retention of this new position shall depend on their capability to surpass an additional eligibility determination and be deemed suitable under all articles of this Chapter. No additional Licensing Fee is required.

C. Vendors

1. The Commission, in its sole discretion, may grant or deny a license to

any vendor after making a determination that the vendor is or is not eligible to receive a license under Article IX, herein.

2. Failure to provide any information required or requested constitutes sufficient grounds for the Commission to deny or revoke any gaming license and/or require termination of the applicant's or licensee's gaming contract or agreement between the Isleta Gaming Operation and any person or entity who failed to provide the required or requested information. (See *IGCR, Chapter 17, Notification to the Commission V (D). Contracts, hereto*)

XIII. SUSPENSION, REVOCATION, AND REINSTATEMENT OF A GAMING LICENSE

A. Suspension

1. For a Noncompliance Violation

- a. The Commission reserves the right to invoke, as a disciplinary measure, for any non-compliance violation, a suspension of a Gaming License. The duration of such a suspension, shall be at the sole discretion of the Isleta Gaming Commission.
- b. Suspended licenses for a noncompliance violation are not entitled to a hearing.
- c. Suspension, in this form, shall be included in the NOTICE OF VIOLATION to the individual or entity holding said license.
- d. As an alternative to suspending a license, the Commission may impose fines or lesser penalties on all licensees'. The Commission may also place conditions or restrictions on the retention of any license.

2. For Investigative Purposes after a Gaming License has been issued

- a. The Commission reserves the right to suspend a license or permit pending the results of any investigation.
- b. The Commission shall suspend a license, of any form, if there is reasonable cause indicating that the licensee may no longer be eligible to participate in the gaming operations of the Pueblo of Isleta under the requirements of Article IX, herein.
- c. Upon suspending a license, the Commission shall notify the licensee,

in writing, of the reasons for this suspension and that upon the conclusion of the investigation, the Commissions will issue a written determination to either lift the suspension or revoke the license.

- d. The Commission investigation must be completed within ten (10) business days from the U. S. Post Mark date noted on the envelope of the Notice of Suspension.
- e. After the Suspension procedures are completed, the Commission must, within forty-eight (48) hours of the completion of the investigation, render a decision to either lift the suspension or revoke the license. The Commission shall, within twenty-four (24) hours of this decision, inform the licensee, via certified mail return receipt requested, of the reinstatement or issue a Notice of Revocation of Gaming License.
- f. If the suspension is lifted, the licensee is to follow the Reinstatement procedures under Article XIV(C) Reinstatement, herein.
- g. If the suspension is not lifted and the decision of the Commission is to revoke, then the license shall be revoked immediately.
- h. As an alternative to suspending a license, the Commission may impose fines or lesser penalties on all licensees. The Commission may also place conditions or restrictions on the retention of any license.

B. Revocation

1. A Gaming License is a revocable privilege, and no holder thereof shall be deemed to have acquired any vested rights therein or thereunder. The burden of proving qualifications to hold any license rests at all times on the licensee. The Commission is charged by law with the duty of observing the conduct of all licensees to the end that licenses shall not be held by unqualified, disqualified, or unsuitable persons or entities.
2. The Commission shall revoke a Gaming License, of any form, if there is reasonable evidence indicating that the licensee is no longer eligible to participate in the gaming operation of the Pueblo of Isleta under the requirements of Article IX, herein. Without limiting the foregoing, the Commission may revoke a Gaming License on any of the following grounds:
 - a. Evidence of an untrue or misleading statement of, willful omission of, or concealment of any material fact, in any application, statement, or notice filed with the Commission or made in connection with any

- investigation, including any part of the background investigation;
- b. Charge of any felony, gross misdemeanor, or history of excessive criminal activity in any jurisdiction. If the charged person's or entity's post-conviction rights and remedies have not been exhausted, if the crime or conviction discredits or tends to discredit the Pueblo of Isleta or the gaming industry;
 - c. Charge of any gaming offense in any jurisdiction;
 - d. Charge of theft (Larceny), fraud, or embezzlement in any amount;
 - e. Reasonable evidence implicating committed, attempted, or conspiracy to commit larceny, fraud, embezzlement or other criminal offense of any type and in any amount from any Pueblo of Isleta Gaming Operation;
 - f. Contumaciously defied any legislative investigative committee or other officially constituted bodies acting on behalf of the United States, any Tribe, State, County, or Municipality which seeks to investigate crimes relating to gaming, corruption of public officials, or any organized criminal activities;
 - g. Entry of a civil judgment against the applicant that is based, in whole or in part, on conduct that allegedly constitute a crime;
 - h. Direct or indirect association with persons or businesses of known criminal background or persons of disreputable character that may adversely affect the general credibility, security, integrity, honesty, fairness, or reputation of the gaming industry;
 - i. Any aspect of the applicant's past conduct, character, or behavior that the Commission determines would adversely affect the credibility, security, integrity, honesty, fairness, reputation of the proposed activity, or adversely effects the regulation of Gaming;
 - j. Failure of the licensee or its employees to demonstrate adequate business ability to operate, and maintain the business for the type of activity for which application is made;
 - k. Failure to maintain adequate financing for the operation undertaken in the application;
 - l. Failure to timely respond to any request, oral or written, by the

- Commission for additional information required in any investigation;
- m. Failure to follow and complete an issued Commission directive;
 - n. Circumvention of Commission authority;
 - o. Circumvention of any Commission Regulation, applicable gaming laws, Isleta Gaming Operation Standard Operating Procedure, applicable Federal, Tribal, or State laws;
 - p. Non-compliance with an Official Commission Investigation;
 - q. A single severe infraction or violation of any gaming regulation, applicable gaming law, criminal law, policy, or procedure;
 - r. Excessive infractions or violations of any gaming regulation, applicable gaming law, criminal law, policy, or procedure.
3. The Commission may revoke a license if the National Indian Gaming Commission or the State Gaming Representative provides the Commission with evidence indicating that the licensee is no longer eligible to participate in the gaming operations of the Pueblo of Isleta under the requirements of Article IX, herein, the Indian Gaming Regulatory Act of 1988, the Pueblo of Isleta/State of New Mexico Indian Gaming Compact, Isleta Tribal Ordinances, and other applicable Federal laws.
4. Upon revoking a license, the Commission shall notify, in writing, the licensee of:
- a. the reason(s) for revocation;
 - b. that the licensee has ten (10) business days from receipt of said notice in which to request, in writing, a Reconsideration Review Hearing to be heard by the Commission; and
 - c. that failure to request the Reconsideration Review Hearing by the tenth business day after receipt will result in the revocation being final.
5. The Commission shall schedule the Reconsideration Review Hearing within thirty (30) calendar days upon receipt of a Request for Reconsideration Review. The Commission shall notify the licensee, in writing, of:

- a. The date, time, and place of this Reconsideration Review Hearing;
 - b. That the licensee has the right to bring an advocate of his/her choosing to this Reconsideration Review Hearing; and
 - c. That the licensee and/or their advocate may present evidence in the form of documentation and verbally testify, to refute any allegation made against their license.
6. The advocate mentioned in Subsection 4(b) above can not be an employee of or affiliated with the Isleta Gaming Operation in any way.
 7. At the Reconsideration Review Hearing, the burden of proof lies, at all times, upon the person or entity holding said license. At this hearing, the licensee will have the opportunity to present documentation and verbally rebut the allegation under which their license was revoked. No license shall be reinstated unless and until the applicant has satisfied the Gaming Commission of their good character, honesty, and integrity. (*See Article IX, Eligibility Determination, herein*) The licensee may, prior to or at the Reconsideration Review Hearing, request that the Commission allow additional time (Request a Continuance) in order for the licensee to obtain and provide proof to refute allegations. A Continuance, if granted by the Commission, shall be held no later than ten (10) business days after the Initial Reconsideration Review Hearing.
 8. After the Reconsideration Review Hearing is complete, the Commission has ten (10) business days in which to inform the licensee, in writing via certified mail, of its final decision. **THIS DECISION IS FINAL!**
 9. As an alternative to revoking a license, the Commission may impose lesser penalties on all licensee's, such as fines. The Commission may also place conditions or restrictions on the licensee's retention of a license.

C. Reinstatement

1. The Commission may reinstate a license if it is proven, through sufficient documentation, that the allegations posed to a licensee, under the Revocation procedures, are in fact false and the licensee is found eligible under Article IX, herein. All documentation to this effect must be contained, in detail, in the Commission file.
2. When reinstating a license the following procedure must be completed:
 - a. **Employee**

1. The licensee will first report, as soon as possible, to the Office of the Isleta Gaming Commission to receive a Reinstatement Letter, the original Gaming License, if one has not already been issued, and other pertinent documentation or materials. Copies of all issued documents will be placed in the employee's file.
2. The licensee will then take the Reinstatement letter to the Human Resource Office (HR) as proof of their licensure and the HR Department will proceed from there.
3. An employee may not begin work at the Isleta Gaming Operation or enter the facility until the above mentioned procedures are complete.

b. Vendor

1. The Commission will send to the vendor, via U. S. Mail, a Reinstatement Letter along with an original Vendor Gaming License, if one has not already been issued. Copies of all issued documents will be placed in the vendor file.

XIV. Reconsideration Review Hearing Procedures

- A. A quorum of at least two (2) Commissioner's shall be present at all Reconsideration Review Hearings.
- B. The licensee involved shall have the right to bring an advocate of his or her choosing to this Reconsideration Review Hearing.
- C. At this hearing, the Commission shall allow the licensee and/or his or her advocate a reasonable opportunity to present the licensee's argument against revocation of their license. The licensee and/or their advocate also have the right to present documented evidence to testify on the licensee's behalf.
- D. The Commission, in its discretion, may, for good cause, postpone this Review (Grant a Continuance), allowing the licensee additional time to obtain and submit further evidence on their behalf and/or to review submitted evidence presented at this Review Hearing.
- E. The Commission has ten (10) business days after the Reconsideration Review Hearing to render its final decision as to uphold or overturn the provisional revocation of said license. The Commission shall, in writing, inform the applicant or licensee of the final decision, via certified mail, return receipt. A copy of this decision shall be placed in the official licensee's file.

- F. After this reconsideration process is complete, the Commission's decision to revoke a license is final.
- G. The Commission shall not license or re-license any employee or vendor whose license has been revoked within three (3) years of the date of the action unless the applicant is determined to be eligible under Article IX of this Chapter.

XV. Method by which all Commission NOTICE'S shall be sent

If practicable, the Notice required under Article XI, B(3, 4, & 6), Article XIV, A[1(c)], [2(c & f)], B(3, 4, 6), C[2(b)], and Article XV, E shall be sent to the applicant or licensee via certified United States Mail, return receipt requested, otherwise, the Notice shall be hand delivered. If the Notice is Hand Delivered, it shall be accompanied by an official Commission Receipt, which must be signed by the applicant or licensee and witnessed by a Commissioner or their designee upon delivery.

1. Applicant/Employee

The Commission shall mail or hand deliver all required Notices to said applicant or employee within twenty-four (24) hours of the suspension, denial, or revocation decision or before the beginning of the applicants next work shift, whichever occurs first.

2. Vendors

The Commission shall mail or hand deliver all required notices to said vendor within twenty-four hours of the suspension, denial, or revocation decision.

XVI. LICENSE RENEWAL

A. Employees

All employees shall renew their license every three (3) years. In order to renew a license, an employee must resubmit to the entire licensing process as set forth in Articles V through XI herein. Employees shall pay the nonrefundable licensing fee required under Article VI each time they renew their license. However, the Commission in its discretion, may waive an employee's licensing fee if the employee has maintained an exemplary work record.

B. Non-gaming Vendors

All non-gaming vendors shall renew their licenses every two (2) years. In order to renew a license, a non-gaming vendor shall resubmit to the entire licensing process as set forth in Articles V through XI herein. Non-gaming vendors shall pay the nonrefundable licensing fee required under Article VI, herein, each time they renew their license.

C. Gaming Vendors

All Gaming Vendors must renew their licenses every two (2) years. In order to renew a license, a gaming vendor shall resubmit to the entire licensing process as set forth in Articles V through XI herein. Gaming vendors must pay the nonrefundable licensing fee required under Article VI, herein, each time they renew their license.

XVII. EXCEPTIONS

A. Waiver

1. The Commission, in its discretion, may grant a one-time waiver on a particular purchase(s) from a non-licensed vendor.
2. Management of the Isleta Gaming Operation must justify, in writing, the reasons why the waiver should be allowed and submit that justification along with the request for a waiver to the Commission.
3. Upon receipt of the Request for Waiver, the Commission has five (5) business days to render a decision and inform Management. The Commission may, if necessary, require more information on a particular waiver request, therefore, any request for additional information by the Commission to Management shall suspend the aforementioned five (5) day rule, until such information is provided by Management.
4. All waivers are handled on a case-by-case basis.

XVIII. ENFORCEMENT ACTIVITY

A. The Commission reserves the right to enforce this regulation as follows:

1. an imposition of a fine of no less than fifty dollars (\$50.00) and no more than five hundred dollars (\$500.00) for employees;

2. an imposition of a fine of no less than five hundred dollars (\$500.00) and no more than twenty-five thousand dollars (\$25,000.00) for vendors;
3. disciplinary action up to and including suspension or revocation of employee gaming license;
4. disciplinary action up to and including suspension or revocation of vendor gaming license;
5. the placing of restrictions or conditions on the licensee's retention of their gaming license; and/or
6. the combination of any of the above.

XIX. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

A. All Management, Employees, and Vendors of the Isleta Gaming Operation are subject to the following action:

- | | |
|---|--|
| 1. Refusal to comply or violation of this policy. | Fine, denial, suspension, revocation, termination of, and/or restrictions on any Gaming License. |
|---|--|

XX. ACKNOWLEDGMENTS

Employee compliance with this Licensing Regulation is a condition of employment at or with any Isleta Gaming Operation. Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, nor shall any provisions of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealings, either expressed or implied.

Vendor compliance with this Licensing Regulation is a condition of performing business at or with any Isleta Gaming Operation. Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or vendor, of any business dealings or any continued business dealings whatsoever, nor shall any provision of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of business expressed or implied, or any obligation of business rights created by covenants of good faith and fair dealings, either expressed or implied.

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate nor shall it constitute any waiver of or limitation on all employees and vendors responsibility to obtain a Gaming License prior to beginning work or performing business for or with the Isleta Gaming Operation.

To the fullest reasonable extent possible, confidentiality is to be maintained in all applications of this Regulation.


This Regulation may be amended as necessary to meet the interests of the objectives of this Regulation as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.


CERTIFICATION

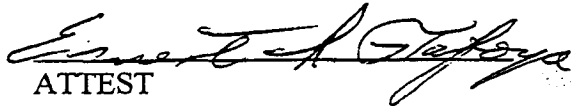
We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulations, Chapter 5, Licensing, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 1st day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant

Chairman


PATRICIA L. JIRON
Vice-Chairman

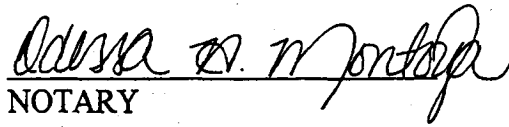

ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribed and sworn before me on this the 1st day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires: May 08, 2002


NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 6

Investigative Procedures

Pueblo of Isleta Gaming Commission Regulation

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Chapter 6

Investigative Procedures

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of the all Gaming Operation of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Resolution 95-03 enacted January 28, 1995 and any ordinances adopted thereto.

II. PURPOSE

The Isleta Gaming Commission shall investigate any and all illegal or suspicious activities, which occur in the day-to-day operations of the Isleta Gaming Palace or any other tribal gaming enterprise. This is in order to ensure and protect the integrity of all gaming operations of the Pueblo of Isleta. The purpose of this regulation is to effectively regulate the type and extent of investigations, which the Commission shall pursue with regard to gaming operations as it seeks to carry out its primary duty of safeguarding the assets to the Pueblo of Isleta.

III. SCOPE

This regulation shall apply to all investigations as the Commission may deem necessary in the pursuit of its primary duty. The Isleta Gaming Commission, by law, has unrestricted access to the Gaming Facility during all hours of Gaming Activity, and shall have immediate and unrestricted access to any and all areas of the gaming facility at any hour for the purpose of ensuring compliance with the provisions of the Compact, IGRA, Commission Regulations, Standard Operating Procedures, and all applicable Tribal, and Federal Laws. *(For further detail on unrestricted access see IGCR, Chapter 1, Commission Regulation Authority, V(B)11)*

IV. DEFINITIONS

The following definitions are intended to clarify the items covered in this regulation. Throughout this document the use of these definitions in the singular, also includes the plural.

Commission/Gaming Commission/Isleta Gaming Commission – pertains to the Chairman, Vice-Chairman, or Secretary-Treasurer, in whole or individually, of the Isleta Gaming Commission. See the Pueblo of Isleta Gaming Commission By-laws enacted April 27, 1998.

Commission Investigator - an employee of the Isleta Gaming Commission whose specific duties and responsibilities as specified by the Commission in the job description for the position of Commission Investigator or a specific designation delegated by the Commission to an individual to fulfill a specific

investigative task on behalf of the Commission. The Commission has direct supervision over all Commission Investigators.

Open Issue Investigation – a detailed overt inquiry or systematic examination of the circumstances leading to an infraction, violation, gaming license suspension or revocation, or dubious or suspicious activity(s) that may occur within any Pueblo of Isleta Gaming Operation or noncompliance with any applicable laws, to include gaming laws and regulations.

Closed Issue Investigation – a detailed covert inquiry or systematic examination of the circumstances leading to an infraction, violation, gaming license suspension or revocation, or dubious or suspicious activity(s) that may occur within any Pueblo of Isleta Gaming Operation or noncompliance with any applicable laws to include gaming laws and regulations.

V. TYPES OF INVESTIGATIONS

A. Open Issue Investigation:

1. “Open Issue” shall refer to a case where the facts or issues are readily apparent or where such facts are common knowledge to some or all of the Palace management structure. Regardless of the “openness” of such an investigation, the need for non-disclosure protections of all uncovered evidence shall be in full effect.
2. An “Open Issue” may be conducted in cooperation with various departments within the Palace in addition to/or other investigative agencies.
 - a. These investigations may occur in conjunction with:
 1. Various Palace personnel, as deemed necessary by the Commission Investigator;
 2. Commercial investigative contractors; or
 3. Local/municipal/county/state/federal/law enforcement agencies.
 - b. All national investigation standards and procedures, as applicable pursuant to the authority granted the Commission, are hereby adopted and enacted as the policies of the Pueblo of Isleta Gaming Commission [Refer to 18 U.S.C. 1-6001 (1948) *as applicable pursuant to the authority granted the Commission*].

- c. Rules of handling evidence for any and all evidence collected/formulated in the furtherance of each case will be applied [Refer to 18 U.S.C. 3001 - 3731 (1948) *as applicable pursuant to the authority granted the Commission*].

B. Closed Issue Investigation,

1. **“Closed Issue”** investigations shall be referred to as **“Operative Investigations.”** Unlike Open Issue investigations, issues and facts in such an investigation may not be apparent or known to the general Palace management. Palace management, at the discretion of the Commission and only on a *need-to-know* basis, may be informed of an **Operative Investigation**.

- a. All the stated rules addressed in the **“Open Issue”** investigations apply.
- b. These investigations are conducted under very limited circumstances and only under the closest of supervision and authorization of the Isleta Gaming Commission.
- c. Any and all informant evidence must be codified as **“OPERATIVE,”** thus eliminating any direct identification by name or other means.

- C. Each investigative report shall be identified by a case number, unique to the respective case. The case number will appear on all documentation relative to each investigation. The case number format shall be: two (2) digits for the year, a hyphen, then digits for the Julian calendar date followed by another hyphen and a three (3) digit sequence control number. Example: 96-0131-001, the preceding number indicates this is January 31, 1996 and the sequence control number indicates this is the first case for this date.

VI. CONFIDENTIALITY OF INVESTIGATIONS

- A. In conducting an investigation, the Isleta Gaming Commission or its' agents will keep confidential the identity of each person or entity interviewed in the course of the investigation.
- B. During the course of any Commission Investigation, Isleta Gaming Operation employees, other persons, or entities that are interviewed must maintain the confidentiality of the subject matter discussed with the Commission or its' Investigator(s) and shall not breach this confidentiality to any third party

unless otherwise required by law. A third party includes, but not limited to, outside entities, co-workers, supervisors, managers, the general manager, family members, relatives, government agencies, etc. Retaliation, in any form, by an employee or superior toward their co-worker(s) or subordinate(s) for refusal to breach this confidentiality may result in severe disciplinary action against the perpetrator.

VII. RELEASE OF INVESTIGATIVE INFORMATION

- A. The Isleta Gaming Commission shall not jeopardize any investigation. Therefore, the Isleta Gaming Commission will not release any investigative information, to include evidence, to any third party prior to the completion of the investigation. If, upon the completion of an investigation the Commission contemplates further disciplinary action against a Gaming License, the information will not be released until the disciplinary action is complete.
- B. Evidence may be released for the following reasons, only upon the approval of the Commission:
 - a. to the National Indian Gaming Commission;
 - b. to the Federal Bureau of Investigation; or
 - c. to an authorized representative of federal, tribal, state, local, or foreign government law enforcement agency(s) or court(s) when the information sought relates to a civil, criminal, or regulatory investigation or prosecution.

VIII. INVESTIGATIVE PROCEDURES

- A. An allegation of impropriety is made or suspicious activity is observed.
 - 1. The Isleta Gaming Commission is notified.
 - 2. The Commission shall immediately determine whether a further investigation is necessary.
- B. When an investigation is warranted, an investigative unit, headed by a Commission Investigator, will be assigned by the Commission.
 - 1. The investigative unit shall collect evidence in connection with the facts and circumstances surrounding the specific investigation.
 - 2. All evidence shall be reviewed, tagged, and cataloged.

3. The person collecting the evidence shall create an evidence log for all evidence collected during an investigation as follows:
 - a. This log shall contain a description of the evidence;
 - b. Date and time evidence was collected;
 - c. Location evidence was collected from. If necessary, a photograph shall be taken to indicate exact location of evidence when collected.
 4. All evidence collected shall be sealed in plastic bags and a chain of evidence log shall be created for all items collected in the furtherance of a particular investigation.
 5. All evidence shall be secured by the Gaming Commission Investigator in a locked and safe place.
 - a. If any of the items is handled or removed from this secured area, the person handling or removing said item(s) shall sign a log listing the date, time and reason for handling and/or removing items.
 1. The above log shall be maintained and shall be kept in the custody of the Gaming Commission Investigator at all times relevant to the investigation.
 6. Only persons authorized by the Commission may have access to evidence in an ongoing or concluded investigation.
- C. The Commission Investigation Division shall secure, as necessary and appropriate, the scene of any crime or suspicious activity.
1. The Investigative Division shall collect any evidence found at the scene and develop a list of suspects, possible suspects, witnesses, and possible witnesses to be interviewed at the discretion of the Lead Investigator.
 - a. Within a reasonable time, the Lead Investigator or their designee(s) assigned by the Commission shall interview and/or interrogate witnesses or suspects.
 - b. The most likely suspect(s) shall be interrogated last.
- D. Within a reasonable time, the Gaming Commission Investigator shall conclude the investigation and the facts, interviews, and evidence shall be

reviewed and a conclusion shall be formulated from said evidence.

- E. A timely verbal report of any conclusion(s) shall be given to the Commission by the investigator.
- F. A final written report shall be prepared by the investigator and presented to the Commission.

IX. LIMITATIONS ON INVESTIGATIONS

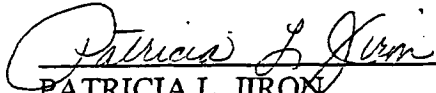
If during an investigation evidence is uncovered which implicates improprieties that go beyond the investigative parameters of the Commission, i.e., beyond mere regulatory violations, the Commission shall, at its discretion, cease all inquires and notify the proper authorities (Isleta Tribal Police, Federal authorities, or the appropriate state, county, or city authorities). The investigator, at the direction of the Commission, shall relinquish and obtain a receipt prior to releasing all gathered evidence and turn over the investigation to the appropriate authorities.

CERTIFICATION


We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 6, Investigative Procedures, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant _____

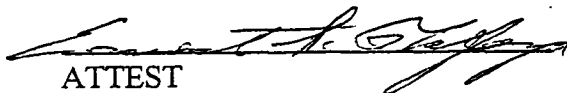
Chairman



PATRICIA L. JIRON
Vice-Chairman



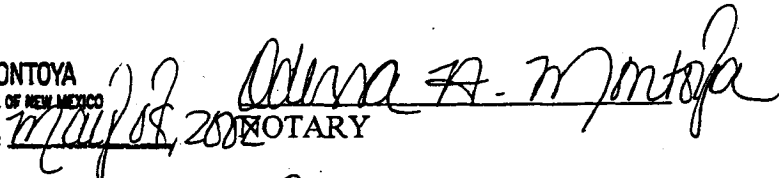
ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires: May 08, 2002



NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 7

Patron Dispute Resolution

**Pueblo of Isleta Gaming Commission
Regulation**

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Patron Dispute Resolution

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Resolution 95-03 enacted January 28, 1995 and any ordinance adopted thereto.

II. PURPOSE

The purpose of this regulation is to provide a comprehensive set of guidelines for the Isleta Gaming Commission to follow when considering or actually listening to patron disputes. In accomplishing this, the Commission shall act in a responsible and consistent manner while always adhering to its charge of safeguarding the assets, property, and interests of the Pueblo of Isleta.

III. SCOPE

This regulation applies to all adjudicatory functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other resolutions or ordinances adopted thereto, the Indian Gaming Regulatory Act of 1988 and the Isleta/State of New Mexico Indian Gaming Compact. This regulation does not apply to other tribal entities or agencies within the Pueblo of Isleta Tribal Government.

IV. DEFINITIONS

The following definitions are intended to clarify the items covered in this regulation. Throughout this document the use of these definitions in the singular, also includes the plural.

Commission/Gaming Commission/Isleta Gaming Commission – pertains to the Chairman, Vice-Chairman, or Secretary-Treasurer, in whole or individually, of the Isleta Gaming Commission. See the Pueblo of Isleta Gaming Commission By-laws enacted April 27, 1998.

DISPUTE – A conflict, controversy, or claim met by contrary claims or allegations that require a resolution.

GAMBLING PROBLEM - Lack of reasonable personal restraint, which may lead an individual to serious financial hardship.

INTERESTED PARTIES - Any person or entity, which has a significant interest in the outcome of any Isleta Gaming Decision or formal hearing.

PATRON – A customer of any Pueblo of Isleta Gaming Operation.

PROBLEM GAMBLER – An individual who knowingly and recklessly places a wager or puts up a stake on any game of chance to his/her serious financial detriment.

V. **PATRON DISPUTES**

The Commission derives its authority over patron disputes from Isleta Tribal Resolution 95-03 and any subsequent resolutions or ordinances thereto and from the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

A. **Procedure for Determination of a Patron Dispute/Grievance**

The Isleta Gaming Commission has the authority to hear any and all patron disputes. However, a dispute will be heard solely at the discretion of the Commission. Any dispute, which is brought before the Commission, must have first exhausted any existing Isleta Gaming Operation procedures before appealing to the Commission.

1. If after the General Manager has rendered a decision in a patron dispute, the patron shall have ten (10) business days from the U.S. Postmark date of the unfavorable decision to appeal it to the Commission.
2. Notwithstanding Palace procedures, the Isleta Gaming Commission shall have ten (10) working days from receipt of a patron grievance to review and make an official written determination on said grievance.
 - a. No later than the tenth (10th) business day after this review/determination period, the Commission will notify, by certified mail, the interested parties of its determination.
 - b. The notice shall include the Commission's reasoning for its determination and the determination itself. Each notice shall be delivered to interested parties by certified mail, return receipt or hand delivered.
 - c. The Commission, at its discretion, may deem it necessary to gather additional information from the interested parties. This may be accomplished, in written form or by formal hearing. Any request by the Commission for additional information shall nullify the ten- (10) day determination

period rule, above. The following will be included in any such written Request or Notice of Hearing:

1. The Commission shall give each party fifteen (15) business days from the date of receipt of said notice, to provide the Commission with all additional requested information.
2. Interested parties may request, in writing within the initial fifteen days, that the Commission allow additional time to submit the requested information. Any additional time allowed will be at the Commissions discretion.
3. If no Request for additional time is submitted or the additional time sought by the interested parties has lapsed and the requested information is not forthcoming, the Commission shall make a determination on the dispute/grievance using only the information in its possession and no other.

B. Formal Hearing by Commission on Patron Dispute

1. If the Commission deems it necessary to grant a formal hearing on the dispute/grievance, the NOTICE shall include the date, time, and place of the Hearing. This Hearing date shall transpire no later than thirty (30) regular days from the U. S. Postmark date on the notice.
2. Additionally, the notice shall include information on procedures to be followed by interested parties during the hearing.
3. The Commission's decision is final.

VI. Self Identified Problem Gamblers

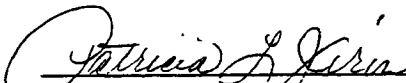
In the interest of protecting the Isleta Gaming Operation from personal injury litigation, any patron who identifies them self, to Palace employees, as having a gambling problem shall be permanently banned from all Isleta Gaming facilities. Isleta Gaming Operation employees and/or managers shall document every relevant fact pertaining to any such incidents. Any disputes arising out of this action should be forwarded to the Commission immediately.

CERTIFICATION

We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 7, Patron Dispute Resolution, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant

Chairman


PATRICIA L. JIRON
Vice-Chairman

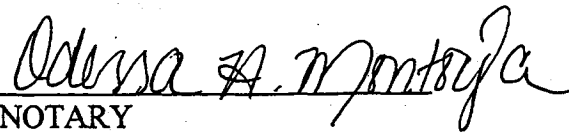

ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires

May 08, 2002  NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 8

Employee Grievance Procedures

**Pueblo of Isleta Gaming Commission
Regulation**

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta and to provide for the safety and protection of Palace employees. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Resolution 95-03 enacted January 28, 1995 and any ordinance adopted thereto.

II. PURPOSE

It has come to the attention of the Commission that a strong framework and, to some degree, employee grievances must be established to control the number of disputes that will be making their way through the formal process. However, the present process is just too broad to be effective. As the procedures are written, *any* employee with *any* grievance may appeal a Palace decision through all channels of the Palace including to the Tribal Council. In accordance with enacted tribal ordinances, such grievances may, if decided against an employee and if the circumstances meet the proscribed criteria, be appealed to higher levels of Tribal Government. The Commission understands that such procedures are necessary for fair and equitable adjudication of individual rights. However, with such a comprehensive grievance procedure, it is imperative that *only* appeals of egregious infringements of individuals rights be entertained beyond Palace Management. The framework outlined below shall ensure this desirable process.

III. SCOPE

This regulation shall insure that the Gaming Operations of the Pueblo of Isleta equally apply and afford to all employees, a Grievance process at least as stringent as set forth herein, without exception. No such grievance shall travel beyond the boundaries set within this document. The Commission retains jurisdiction and authority over such matters pursuant to Isleta Tribal Resolution 95-03 and any other resolutions or ordinances adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Isleta/State of New Mexico Indian Gaming Compact. This Regulation does not apply to other tribal entities or agencies within the Pueblo of Isleta Tribal Government.

IV. DEFINITIONS

The following definitions are intended to clarify the items covered in this regulation. Throughout this document the use of these definitions in the singular, also includes the plural.

Regular Employees - The policy reads "regular employees." This should be further defined as "regular full-time employees" who have satisfied the ninety (90) day probationary period, if that is the intent. Otherwise, as it reads, part-time regular employees (as defined by the employee handbook) may undertake an

appeal of their grievances. If that is the intent, it should be made clear in the Isleta Gaming Palace Human Resource Department's Standard Operating Procedures.

Interested Parties - Any person or entity which has a significant interest in the outcome of any Isleta Gaming Palace or Tribal Council Grievance process decision or formal hearing.

V. STEPS OF FORMAL GRIEVANCE PROCEDURE

A. Step I.

The first step, though not enumerated as such, in the grievance procedure should be an "informal" discussion of the concern(s) with the immediate "Supervisor". If the concern is about the Supervisor, the immediate supervisor is skipped and the concern is taken to the Department Manager, Personnel Director (Human Resources Manager), and then the General Manager. Though such individuals should be accessible to employees, in the context of the grievance process, an employee should first seek out his/her immediate supervisor with the concern(s). If need be, the upper echelons of management (Department Manager/Human Resource Manager/General Manager) will come into play at later stages of such procedures.

B. Step II.

An employee should feel free to informally bring a concern to the immediate supervisor or upper echelons of management. If no redress is forthcoming, the employee shall be informed and encouraged by the Isleta Gaming Palace Human Resource Department to pursue "Step II" of the grievance procedures which shall be the formal institution of a written grievance of the concern to the Human Resource Department. Though this may seem rather cumbersome, it merely poses a minor inconvenience for an employee. If the employee simply wants to spout off, he/she will have to invest a little time in doing so. And if an employee has a legitimate concern, writing out his/her concern will simply serve to make it that much more credible.

1. Employee's Responsibility in the Formal Grievance Procedure

If an employee feels aggrieved, it should be up to that employee to see any such actions to their conclusion. As the policy reads, it is up to the employee to carry the grievance to the next level. Once again, this poses a minor inconvenience for the employee, but if

the employee wants redress, the responsibility should be placed squarely on his/her shoulders to carry this through to the next level. An aggrieved employee shall be responsible for submitting his grievance form to the Isleta Gaming Palace Human Resource Department.

2. Grievance Form

The grievance form should be filled out by the aggrieved person(s) and should contain:

- a. Name of immediate supervisor. Unless this is a patron, in which case, the patron may fill in the name of the Palace personnel they dealt with.
- b. Name of aggrieved person or persons.
- c. Reasons, in detail, for filing the grievance. Must be supported by facts.
- d. Date of incident(s).
- e. Action(s) sought by formal filing of grievance form.
- f. The employees signature.
- g. The signature of the person accepting the grievance form.

C. Step III.

The next step in the procedure shall finally be the upper echelons of Palace Management. If no redress is forthcoming at the immediate Supervisory and Department Managers levels, the General Manager and/or his assistant shall become involved. Once again, it should be the employee's responsibility to forward his/her grievance form to this level.

Now, there are three (3) levels of grievance procedures in place within the Palace. This should be sufficient to handle most employee or patron grievances without involving the Gaming Management Board or any Tribal entity beyond that. Unless there is a managerial conspiracy afoot, most disputes should receive a fair and equitable solution at one or all levels of Palace Management.

D. Step IV.

"Step IV" should be a grievance appeal to the Gaming Management Board. Any employee grievance appeal beyond the General Manager must be of an extremely serious nature and must have infringed, egregiously, on the employee's rights. The Gaming Management Board shall determine and promulgate procedures for entertaining, hearing, and

processing such grievance appeals, with fundamental fairness, justice, and common sense. The Gaming Management Board shall maintain organized record of all appeals, whether actually heard or simply denied on the merits.

1. Petition

The Management Board shall be petitioned by the aggrieved for a formal hearing. Since the employee should have had two prior appeals (Employee Grievance Committee and General Manager) by this point, **there is no automatic right of appeal beyond the Palace General Management.** An employee wishing to appeal to this level shall do so of his own accord.

2. Contents of a Formal Petition

A formal petition to the Management Board shall be submitted in written form. This should **not** be the grievance form used at Palace level but a new pleading which shall include the procedural wrongs allegedly perpetrated by Palace Management when hearing the initial grievance. The aggrieved should plead with specificity, all alleged wrongs. If the Management Board believes a serious wrong has been committed, it may institute a formal hearing. If there is no serious wrong, the Management Board should inform, in writing, the aggrieved of its decision, with reasons, as soon as possible.

3. Hearing

If a formal hearing is deemed necessary, Palace management must provide an advocate to answer any and all charges made by the aggrieved at the formal hearing. It may be necessary for the Palace representative to submit the formal answer in written form. The Management Board shall give an appropriate amount of time for each party to prepare for the formal hearing.

4. Minimum Procedural Requirements of a Formal Hearing

The Management Board shall prepare procedural instructions for a formal hearing. The Management Board shall make these instructions available to all interested parties and the Isleta Gaming Commission (it will be these instructions that the Tribal Council will examine to determine if an appeal will be entertained beyond the Gaming Management Board, if the need should arise). Finally,

any such instructions shall be created with the sole purpose of providing a fair and convenient forum for all parties to be heard and all disputes adjudicated justly.

5. Final Determination

After the formal hearing, the Management Board shall consider the evidence and the testimony offered and make a final determination on the grievance. All interested parties shall be notified, in writing, of the Management Board's final determination within a reasonable time after the Board has made this determination.

E. Step V.

"Step V" shall be an appeal to the Pueblo of Isleta Tribal Council. Since the Tribal Council is the Legislative Body of the Tribe, appeals procedures will be in the form prescribed by the Council. However, an appeal should come in the form of a petition, in the same manner of a Gaming Management Board Appeal, including the same restrictions. After appropriate action, the Tribal Council shall make its final determination on the matter and notify all interested parties. The Pueblo of Isleta Tribal Council may waive this process and rest the final determination with the Management Board.

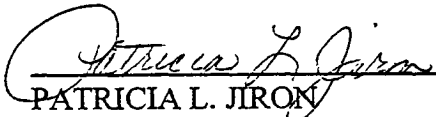
NOTE: ALL STEPS IN THIS PROCESS MUST BE COMPLETED WITHIN A REASONABLE AMOUNT OF TIME.

CERTIFICATION

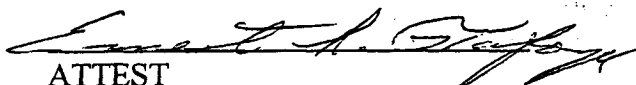
We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 8, Employee Grievance Procedures, was duly **REVISED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant _____

Chairman


PATRICIA L. JIRON
Vice-Chairman


ERNEST C. JARAMILLO
Secretary-Treasurer

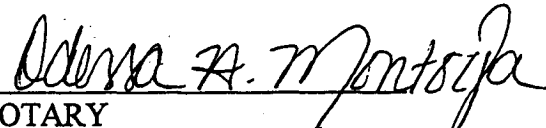

ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires:

May 08, 2002


NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 9

Concession & Restaurant Health Standards

Pueblo of Isleta Gaming Commission Regulation

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Concession & Restaurant Health Standards

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the health and safety of Palace patrons and employees. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Resolution 95-03 enacted January 28, 1995 and any ordinance adopted thereto.

II. PURPOSE

The purpose of this regulation is to provide a comprehensive guideline of health and safety standards, which shall be followed by all Isleta Gaming Operations Food and Beverage Department, i.e. Concessions and/or the Restaurant, management and employees. Further, this regulation will specifically enumerate the manner in which the Commission will exercise said authority in its oversight of all Isleta Gaming Operations Food & Beverage activity. In applying this authority to the Food and Beverage operations, the Commission shall act in a responsible and consistent manner when promulgating, adopting, approving, revising, implementing, administering, and enforcing the rules, regulations, policies, and decisions of the Commission.

III. SCOPE

This regulation applies to all Food and Beverage Operations located within a Pueblo of Isleta Gaming Operation or on the premises thereof. The Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other resolution adopted thereto, the Indian Gaming Regulatory Act, and the Isleta/State of New Mexico Indian Gaming Compact. This regulation does not apply to other tribal entities or agencies within the Pueblo of Isleta Tribal Government.

IV. DEPARTMENT OF HEALTH AND HUMAN SERVICES

Since the Pueblo of Isleta Gaming Palace resides solely within the boundaries of the Pueblo of Isleta, the State of New Mexico Health Inspectors have limited jurisdiction within the Isleta Gaming Operation and therefore, have only the authority to inspect the Concession and Restaurant kitchens per the Pueblo of Isleta/State of New Mexico Indian Gaming Compact. The Department of Health and Human Services, a federal agency, does have inspection authority. Working out of the Indian Health Service (IHS) Offices, located in Albuquerque, New Mexico, federal health inspectors regularly scrutinize the Food and Beverage/Concession and Restaurant kitchens. Though the Indian Health Service (IHS) may not have the direct authority to change kitchen conditions through its findings, there is an abundance of case law, particularly, **Blue legs v. United States Bureau of Indian Affairs 867 F.2nd 1094 (8th Cir. 1989)**, which suggests IHS may seek recourse through other federal agencies, i.e., the Department of Justice.

V. FOOD SERVICE ESTABLISHMENT INSPECTION REPORT

IHS has employed an inspection report during its visits to the Palace. The report utilizes one-hundred (100) point scale. The closer the facility gets to zero (0) on this scale, the more serious the health infractions. Through this regulation, the Pueblo of Isleta Gaming Commission hereby adopts the standards set forth in this inspection report. The Isleta Gaming Operation Food and Beverage Department, i.e. Concessions and the Restaurant shall now abide by the following:

A. 75 Points and Below

If in any inspection period the Concessions and/or Restaurant accumulated points on the Inspection Report are seventy-five (75) points or less, the Commission shall have the prerogative to immediately close all business in the Concessions and/or Restaurant until the Commission is satisfied that Concessions and/or the Restaurant can operate within acceptable health and safety parameters.

1. Management

If Concessions and/or the Restaurant receives two consecutive reports totaling seventy-five (75) points or less, The Commission shall consider revocation of the Kitchen Manager's and Assistant Kitchen Manager's license for failure to carry out this Regulation and/or Palace Policy.

B. 76 Points and Above

Any other infractions involving seventy-six (76) points or higher shall be considered on a case-by-case basis by the Commission. The Commission may implement, but shall not be limited to, the above-mentioned remedies in responding to any and all health violations within the Palace Concessions and/or Restaurant.

VI. STATE OF NEW MEXICO DEPARTMENT OF ENVIRONMENT

A. Inspection

1. State of New Mexico Department of Environment Inspectors will be permitted to inspect any Gaming Facility's food service operations during normal Gaming Facility business hours to assure that standards and requirements equivalent to the State's Food Service Sanitation Act are maintained.

2. In the event that the Palace Concessions and/or Restaurant do not pass the State Department of Environment inspections, only the Commission shall have the prerogative to immediately close all business in the Concessions and/or Restaurant until the Commission is satisfied that Concessions and/or the Restaurant can operate within acceptable parameters.

VII. ENFORCEMENT ACTIVITY

- A. The Commission reserves the right to enforce this policy as follows:
 1. an imposition of a fine,
 2. disciplinary action up to and including suspension or revocation of employee gaming license,
 3. disciplinary action up to and including suspension or revocation of vendor gaming license,
 4. the placing of restrictions or conditions on the licensee's retention of their gaming license, and/or
 5. the combination of any of the above

VIII. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

- A. All Management, Employees, and Vendors of any Isleta Gaming Operation are subject to the following action:
 1. Refusal to comply or violation of this policy. Fine, denial, suspension, revocation, termination of and/or restrictions on Gaming License.

IX. ACKNOWLEDGMENTS

Employee compliance with this Regulation is a condition of employment at or with any Isleta Gaming Operation. Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, nor shall any provisions of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealings, either expressed or implied.

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate.

To the fullest reasonable extent possible, confidentiality is to be maintained in all applications of this Regulation.

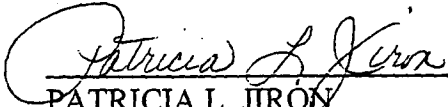
This Regulation may be amended as necessary to meet the interests of the objectives of this Regulation as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.

CERTIFICATION

We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 9, Concessions & Restaurant Health Standards, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant

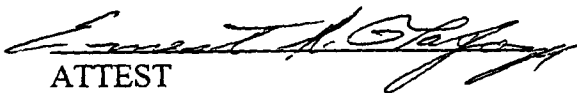
Chairman



PATRICIA L. JIRON
Vice-Chairman



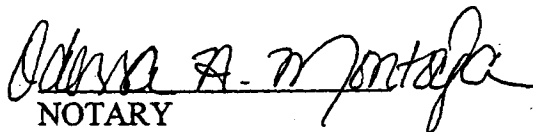
ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires: May 08, 2002



NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 10

Alcohol

**Pueblo of Isleta Gaming Commission
Regulation**

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Resolution 95-03 enacted January 28, 1995 and any ordinance adopted thereto.

II. PURPOSE

The purpose of this regulation is to provide a comprehensive guideline of alcohol serving standards that shall be followed by Palace Food and Beverage Operations management and employees. Further, this regulation will specifically enumerate the manner in which the Commission will exercise said authority in its oversight of all Palace Concession and/or Restaurant activity. In applying this authority to Food and Beverage operations, the Commission shall act in a responsible and consistent manner when promulgating, adopting, approving, revising, implementing, administering, and enforcing the rules, regulations, policies, and decisions of the Commission

III. SCOPE

This regulation applies to all functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other Resolution adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Isleta/State of New Mexico Indian Gaming Compact. These regulations do not apply to other Tribal entities or agencies within the Pueblo of Isleta Tribal Government.

IV. ALCOHOL PROCEDURES

A. Sale of Alcohol

1. Alcoholic beverages will not be sold, served, delivered, or consumed in the part of a Gaming Facility where gaming is allowed.
2. An employee of the Gaming Facility is prohibited from selling, serving, giving, or delivering an alcoholic beverage to an intoxicated person or from procuring or aiding in the procurement of any alcoholic beverage for an intoxicated person at the Gaming Facility.

B. Alcohol Education

1. Gaming Facility employees that dispense, sell, serve, or deliver alcoholic beverages will attend Alcohol Server Education Classes

similar to those classes provided for the New Mexico Liquor Control Act.

C. Certification

1. Gaming Facility employees that dispense, sell, serve, or deliver alcoholic beverages must be Liquor Certified and must carry their Certification Card at all times when working.

D. Liability Insurance

A liquor liability insurance policy that will provide, at a minimum, personal injury coverage of one million dollars (\$1,000,000.00) per incident and two million dollars (\$2,000,000.00) aggregate per policy year will be purchased and maintained.

E. Use of Alcohol/Food/Lodging as Promotional Items

A Tribal Gaming Enterprise and the Tribe are prohibited from providing, allowing, contracting to provide, or arranging to provide alcoholic beverages, food, or lodging for no charge or at reduced prices at a Gaming Facility or lodging facility as an incentive or enticement for patrons to game.

V. ENFORCEMENT ACTIVITY

- A. The Commission reserves the right to enforce this policy as follows:
1. an imposition of a fine,
 2. disciplinary action up to and including suspension or revocation of employee gaming license,
 3. the placing of restrictions or conditions on the licensee's retention of their gaming license, and/or
 4. the combination of any of the above

VI. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

A. All Management, Employees, and Vendors of any Isleta Gaming Operation are subject to the following action:

1. Refusal to comply or violation of this policy. Fine, denial, suspension, revocation, termination of and/or restrictions on Gaming License.

VII. ACKNOWLEDGMENTS

Employee compliance with this Regulation is a condition of employment at or with the Isleta Gaming Operation(s). Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, nor shall any provisions of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealings, either expressed or implied.

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate nor shall it constitute any waiver of or limitation on all employees responsibility to obtain their Liquor Certification prior to beginning work with the Casino.

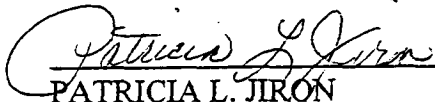
This Regulation may be amended as necessary to meet the interests of the objectives of this Regulation as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.


CERTIFICATION

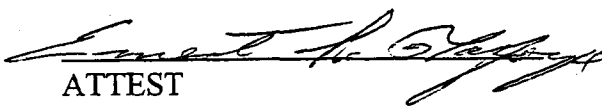
We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 10, Alcohol, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant

Chairman


PATRICIA L. JIRON
Vice-Chairman

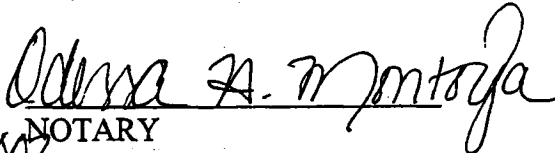

ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribe and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires: May 08, 2002


NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 11

Variance Reporting Requirements

Pueblo of Isleta Gaming Commission Regulation

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Tribal Resolution 95-03 enacted January 28, 1995 and any ordinance(s) adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

II. PURPOSE

The purpose of this regulation is to institute Minimum Internal Control Standards (MICS) that will safeguard the assets and protect the integrity of all gaming operations of the Pueblo of Isleta. This regulation also provides for the safekeeping of U. S. currency, foreign currency, casino chips, and any other such monetary units used and/or exchanged by all Pueblo of Isleta Gaming Operations.

III. SCOPE

This Regulation is designed to establish proper reporting procedures dealing with cash variances that result from any gaming activity, equipment failure, employee negligence, theft, and any other activities that create shortages or overages in the gaming operations. This Regulation applies to all gaming activities as defined in Pueblo of Isleta Ordinance 94-02 (January 20, 1994) and any ordinance or amendment adopted thereto.

IV. VARIANCE REPORTING REQUIREMENTS

- A. Any variance (cash shortages and overages) in excess of one hundred dollars (\$100.00) arising during the course of any gaming function, cash disbursement, or income activity, at any time, will be reported immediately to the Isleta Gaming Commission Internal Auditors and Investigators. Reports dealing with the cash shortage and/or overage will include a detailed written explanation for the shortage or overage, copies of all related gaming paperwork, and any additional information relevant to the reported shortage or overage. The Gaming Commission shall be responsible for maintaining records of all reports, paperwork, and other information provided by the Gaming Palace to the Commission as a result of a cash shortage and/or overage. Isleta Gaming Palace Management shall invoke corrective action, to include disciplinary action, in accordance with Standard Operating Procedures. Thereafter, the Commission may invoke disciplinary action as deemed necessary (See Section V and VI below).

- B. Any variance of less than one hundred dollars (\$100.00) shall be immediately reported to the Isleta Gaming Operations Management. Management must invoke corrective action, to include disciplinary action, in accordance with Standard Operating Procedures.
- C. Any unreported variance will result in disciplinary action by the Commission in accordance with this regulation. (See Section V and VI below)

V. ENFORCEMENT ACTIVITY

- A. The Commission reserves the right to enforce this policy as follows:
 - 1. an imposition of a fine,
 - 2. disciplinary action up to and including suspension or revocation of employee gaming license,
 - 3. the placing of restrictions or conditions on the licensee's retention of their gaming license, and/or
 - 4. the combination of any of the above

VI. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

- A. All Management and Employees, of any Isleta Gaming Operation are subject to the following action:
 - 1. Refusal to comply or violation of this policy. Fine, denial, suspension, revocation, termination of and/or restrictions on Gaming License.

VII. ACKNOWLEDGMENTS

Employee compliance with this Regulation is a condition of employment at or with the Casino. Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, not shall any provision of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealings, either expressed or implied.

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate.

To the fullest reasonable extent possible, confidentiality is to be maintained in all applications of this Regulation.

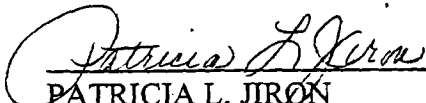
This Regulation may be amended as necessary to meet the interests of the objectives of this Regulation as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.

CERTIFICATION


We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 11, Variance Reporting Requirements, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant

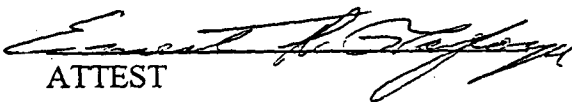
Chairman



PATRICIA L. JIRON
Vice-Chairman



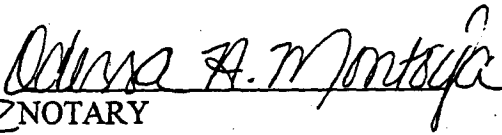
ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires:

May 08, 2002  NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 12

Marketing & Promotions

Pueblo of Isleta Gaming Commission Regulation

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Tribal Resolution 95-03 enacted January 28, 1995 and any ordinance(s) adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

II. PURPOSE

Henceforth, the Commission sets forth this declaratory order enacted in consideration for any and all Isleta Gaming Palace promotions, which involve the giving away of prizes (*please see definitions*), shall **not** be conducted without first informing the Isleta Gaming Commission. This notice shall be forwarded to the Commission at least one week (five business days) prior to the start of any given promotion.

III. SCOPE

This regulation applies to all functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other ordinance adopted thereto, the Indian Gaming Regulatory Act of 1988, 25 U.S.C. 2701, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact. This regulation does not apply to other Tribal entities or agencies within the Pueblo of Isleta Tribal Government.

IV. DEFINITION

The following definitions are intended to clarify the items covered in this regulation. Throughout this document the use of these definitions in the singular, also includes the plural.

Prizes - shall be defined as money, motor vehicles including motorcycles, boats, jet skies, any water craft, meals, any and all services (personal or professional), in short, any item given to a patron upon winning a promotional contest through voluntary or involuntary entry of said promotional activity which shall include, but is not limited to, drawings or contests sponsored by the Isleta Gaming Palace at the Isleta Gaming Palace, Palace West, or anywhere within the exterior boundaries of the United States proper.

V. DESCRIPTION OF THE PROMOTION

- A. It is the responsibility of the Marketing and Promotions Director or his/her designee to submit the following to the Gaming Commission at least five (5) business days prior to the start of any promotion:
1. This shall include the exact days in which the promotion shall take place (start to finish);
 2. who shall be allowed to participate;
 3. a detailed description of how the promotion shall be conducted; and
 4. which department(s) shall be responsible for conducting said promotion.

VI. MINIMUM CONTROLS

- A. The following detailed description of the Minimum Controls which shall be implemented by the Palace to ensure a fair and successful promotion shall also be given to the Commission at least five (5) business days prior to the start of any promotion:
1. This shall include the names of Palace employees authorized to conduct the promotion,
 2. The controls that will be implemented to ensure fair contestant entry into the promotion.

VII. THE GAMING COMMISSION WILL REVIEW ALL PROMOTION CONTROLS ESTABLISHED FOR SAID PROMOTION. ADDITIONALLY, FINAL WRITTEN COMMISSION CERTIFICATION OF SAID CONTROLS IS NECESSARY BEFORE ANY PROMOTION MAY BEGIN.**VIII. CONCLUSION OF PROMOTIONS**

- A. At the conclusion of any given promotion, the Palace shall provide the Commission with a Post Promotion Audit report. This report shall include, but is not limited to:
1. Originals or copies of winning document (coupon)

2. The winners' names.
3. Amounts or prizes won.
4. Personal information of winner(s):
 - a. Address
 - b. Drivers License Numbers (Photo Copy)
 - c. Social Security Numbers.
 - d. Any other information collected in connection with said promotion.

IX. A WRITTEN ACCOUNT OF ANY AND ALL REPORTS, ALLEGATIONS, OR RUMORS OF CHEATING, SCAMS, OR IMPROPER CONDUCT ON BEHALF OF THE PALACE EMPLOYEES OR PATRONS IN CONNECTION WITH THE PROMOTION.

X. ENFORCEMENT ACTIVITY

- A. The Commission reserves the right to enforce this policy as follows:
1. an imposition of a fine,
 2. disciplinary action up to and including suspension or revocation of any gaming license,
 3. the placing of restrictions and/or conditions on the licensee's retention of their gaming license, and/or
 4. the combination of any of the above.

XI. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

- A. All Management and Employees, of any Isleta Gaming Operation are subject to the following action:
1. Refusal to comply or violation of this policy. Fine, denial, suspension, revocation, termination of and/or restrictions on Gaming License.

XII. ACKNOWLEDGMENTS

Employee compliance with this Regulation is a condition of employment at or with the Casino. Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, nor shall any provision of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealings, either expressed or implied.

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate.

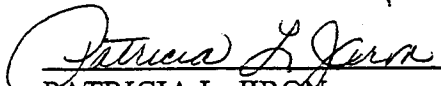
This Regulation may be amended as necessary to meet the interests of the objectives of this Regulation as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.

CERTIFICATION

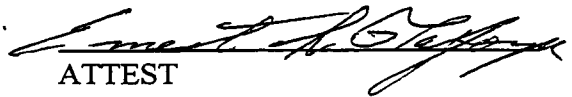
We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 12, Marketing & Promotions, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant


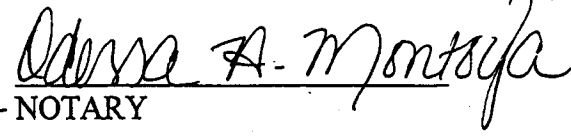
Chairman


PATRICIA L. JIRON
Vice-Chairman


ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.

 OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires: May 08, 2002  NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 13

Surplus Palace Property

Pueblo of Isleta Gaming Commission Regulation

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Tribal Resolution 95-03 enacted January 28, 1995 and any ordinance(s) adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

II. PURPOSE

The purpose of this regulation is to effectively regulate the disposal of any and all Palace property or equipment, which through normal wear or obsolescence, may be deemed surplus. This will ensure and protect any funds, which may have been expended in purchasing said property or equipment.

III. SCOPE

This regulation shall apply to all Palace and Palace West property and equipment. This regulation shall further apply to all functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other ordinance adopted thereto, the Indian Gaming Regulatory Act of 1988, 25 U.S.C. 2701, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact. This regulation does not apply to other Tribal entities or agencies within the Pueblo of Isleta Tribal Government.

IV. DEFINITIONS

The following definitions are intended to clarify the items covered in this regulation. Throughout this document the use of these definitions in the singular, also includes the plural.

Casino Games - includes, but is not limited to, all Electronic Gaming Devices (EGD's), all Table Games; all forms of Poker; Blackjack; Roulette; Craps; Let It Ride; Keno; Wheel of Fortune; Pai Gow; Bingo; any and all Class II or III games of chance.

Commission/Gaming Commission/Isleta Gaming Commission - pertains to the Chairman, Vice-Chairman, or Secretary-Treasurer, in whole or individually, of the Isleta Gaming Commission. See the Pueblo of Isleta Gaming Commission By-laws enacted April 27, 1998.

IGCR - Isleta Gaming Commission Regulation.

SURPLUS PROPERTY - shall be any and all Palace property or equipment, which has become obsolete or unusable for Palace purposes and is deemed so by the Palace General Manager.

Palace - Isleta Gaming Palace or its subsidiary(s).

V. PROCEDURES FOR DETERMINING SURPLUS PROPERTY

- A. Palace property that has been rendered obsolete or reasonably unusable for Palace purposes and is deemed so by Palace Department Managers shall notify the General Manager or his/her designee and the Isleta Gaming Commission of their determination.
- B. The General Manager shall inspect said property. Only when the General Manager determines the property is indeed surplus shall said property be disposed of.

VI. DISPOSAL OF SURPLUS PROPERTY

- A. When Palace property is deemed surplus by the General Manager, the Pueblo of Isleta Tribal Governor shall be notified of the surplus property. The Pueblo of Isleta Tribal Government shall be the sole entity that shall determine in what manner surplus Palace property shall be disposed of. Notification of all Surplus Property transactions must be given to the Commission, Surveillance, and security prior to its' disposal or disbursement.
- B. If the surplus property in question is a casino game, the Johnson Act, the Transportation of Gambling Devices Act, and IGCR, Chapters 4, 17, and 18 shall be strictly adhered to.

VII. ENFORCEMENT ACTIVITY

- A. The Commission reserves the right to enforce this policy as follows:
 - 1. an imposition of a fine,
 - 2. disciplinary action up to and including suspension or revocation of any gaming license,
 - 3. the placing of restrictions and/or conditions on the licensee's retention of their gaming license, and/or
 - 4. the combination of any of the above.

VIII. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

A. All Management and Employees, of any Isleta Gaming Operation are subject to the following action:

- | | |
|---|---|
| 1. Refusal to comply or violation of this policy. | Fine, denial, suspension, revocation, termination of and/or restrictions on Gaming License. |
|---|---|

IX. ACKNOWLEDGMENTS

Employee compliance with this Regulation is a condition of employment at or with the Casino. Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, not shall any provision of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealings, either expressed or implied.

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate.

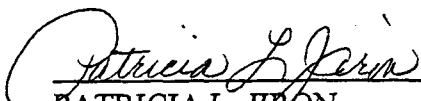
This Regulation may be amended as necessary to meet the interests of the objectives of this Regulation as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.

CERTIFICATION

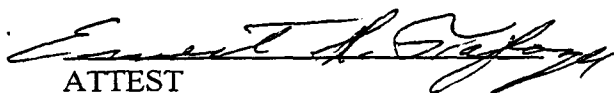
We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 13, Surplus Palace Property, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant

Chairman


PATRICIA L. JIRON
Vice-Chairman

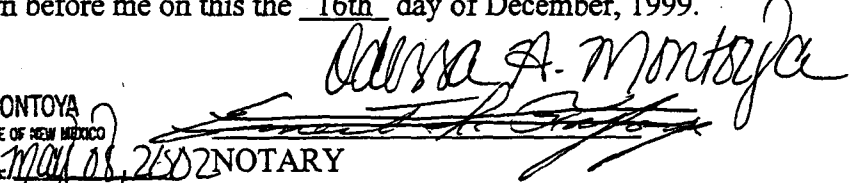

ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires: May 08, 2002


NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 14

Drug-Free Workplace

**Pueblo of Isleta Gaming Commission
Regulation**

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Chapter 14

Drug Free Workplace

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Tribal Resolution 95-03 enacted January 28, 1995 and any ordinance adopted thereto.

II. PURPOSE

The Commission intends to establish a Drug-Free Workplace, and to provide a safe and healthful environment for all licensed employees of the Pueblo of Isleta Gaming Operations to work in and to prevent accidents and casualties in casino operations that result from impairment of employees who use alcohol or other drugs. The Commission has determined that a uniform and effective drug policy is essential to establish that objective. The Commission has determined that such a policy should, not only protect the well being and property of the casino employees, but should provide the same protection to all persons coming on to the casino premises.

III. SCOPE

This regulation pertains to drugs, alcohol, and chemical substances. This regulation applies to all functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other resolution adopted thereto, the Indian Gaming Regulatory Act of 1988, 25 U.S.C. 2701, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact. This regulation does not apply to other entities or agencies within the Pueblo of Isleta Tribal Government.

IV. DEFINITIONS

The following definitions are intended to clarify the prohibited substances and items covered in this regulation. Throughout this document the use of these definitions in the singular, also includes the plural. The term "drug" is used interchangeably with the term's chemical or chemical substance or alcohol for the purposes of this policy.

Act-Alike Drugs - Those chemicals not manufactured to closely resemble controlled substances, but which are promoted in the same way and which contain the same ingredients as look-alike drugs.

Alcohol or Intoxicating Beverage - Any liquid that may be legally sold and consumed, and that has an alcohol content in excess of one-half (1/2) of one percent (1%) by volume.

Casino – pertains to any Pueblo of Isleta Gaming Operation, i.e., the Isleta Gaming Palace, Palace West, etc.

Commission/Gaming Commission/Isleta Gaming Commission – pertains to the Chairman, Vice-Chairman, or Secretary-Treasurer, in whole or individually, of the Isleta Gaming Commission. See the Pueblo of Isleta Gaming Commission By-laws enacted April 27, 1998.

Controlled Drug - Those drugs or chemical substances placed on a schedule or in special categories to prevent, curtail or limit their distribution and manufacture as defined by the Controlled Substance Act of 1970, as amended.

Designer (Synthetic) Drugs - Those chemical substances that are made in clandestine laboratories where the molecular structure of both legal and illegal drugs is altered to create a drug that is not explicitly banned by Federal law.

Drug - Any chemical substance, including alcohol, that either produces physical, mental, or emotional changes to the user, or one that is capable of altering the mood, perception, pain level, or judgment of the individual consuming it.

Drug Abuse - Drug abuse is the use of a drug or chemical substance for other than medical purposes which results in the impaired physical, mental, emotional well-being of the user.

Drug Misuse - The unintentional or inappropriate use of prescription or over-the-counter drugs or chemical substances, which results in impaired physical, mental, or emotional well-being of the user.

Drug-Related Paraphernalia - Any material, equipment, or items used or designed for use in testing, packaging, storing, injecting, ingesting, inhaling, or otherwise introducing into the human body an illegal, unauthorized controlled or dangerous substance.

Illegal Drug - Any drug; (a), which is not legally obtainable; or (b), which is legally obtainable but has not been legally obtained. The term includes prescribed drugs not legally obtained and prescribed drugs not being used for prescribed purposes.

Legal Drug - Any prescribed drug or over-the-counter drug or medication, which has been legally obtained and is being used for which it was prescribed or manufactured.

Look-Alike Drugs - A tablet, capsule, powder or liquid containing controlled over-the-counter ingredients whose physical appearance resembles various

prescription drug products which contain popular substances of abuse and are regulated under the provisions of the Controlled Substance Act of 1970, as amended.

Prescribed Drug - Any substance for which a prescription has been written by a licensed medical practitioner for consumption by the individual for whom it is written or ordered.

Prohibited Drug - Any drug which the use, possession, transfer, transportation, sale, or storage thereof is illegal, or any other drug, including but not limited to, a prescription drug(s) used for any reason other than a legitimate medical purpose as prescribed by a licensed medical practitioner.

Reasonable Suspicion - A supervisor or management level employee of the Isleta Gaming Operation, the Gaming Commission, or the Casino Licensee's belief based upon objective and articulable facts sufficient to lead a prudent person to suspect that any employee is using drugs or alcohol, or otherwise, is in violation of this policy.

Under The Influence - For the purposes of this policy, an employee is affected by a drug, chemical substance, or alcohol, or the combination of a drug, chemical substance, or alcohol in any detectable manner. The symptoms or influences are not confined to those consistent with misbehavior, nor to obvious impairment of physical or mental ability, such as slurred speech or difficulty in maintaining balance. A determination of influence can be established by a professional opinion, a scientifically valid test, and, as in case of alcohol, by a lay person's opinion.

V. POLICY

- A. The Isleta Gaming Commission and the Isleta Gaming Operation is hereby mandated to practice a zero tolerance policy for illegal drugs. Therefore, the Isleta Gaming Commission and the Isleta Gaming Operation will not employ any individual who tests positive for illegal drugs, either in the initial pre-employment drug test or a random drug test thereafter.
- B. The use, abuse, reporting to work with detectable amounts in the system, bringing into the casino, possession, transfer, storage, concealment, transportation, promotion or sale of the following substances and other items as listed below, by employees of the casino or the Gaming Commission is strictly prohibited.
- C. The possession of illegal drugs unauthorized controlled substances, look-a-like, inhalants of abuse, designer and synthetic drugs, alcohol or intoxicating beverages (including the possession of any detectable amount

in the employee's body while working), and any other drugs or substances which may affect a person's perception, performance, judgment, reactions, or senses while working or while on casino or Gaming Commission business, including any and all drugs declared to be illegal under any Federal, State, or Tribal law is prohibited.

- D. The possession or the reporting to work or working with detectable amounts in the system of alcohol or intoxicating beverages on the casino property which may affect an employee's mood, senses, responses, motor functions, or alter or affect a person's perception, performance, judgment, reactions, or senses while working or while on the casino premises, the bringing onto the property, or the possession, transfer, storage, concealment, transportation, promotion, or sale of alcoholic or intoxicating beverages is prohibited.
- E. The possession or the reporting to work or working with drug-related paraphernalia, including any material or equipment used or designed for use in testing, packaging, storing, injecting, ingesting, inhaling, or otherwise introducing into the human body an illegal, unauthorized controlled or dangerous substance as defined by this policy is prohibited.
- F. The legal use of prescription drugs (Legally Controlled Substances) prescribed by a licensed physician are permitted, however:
1. Employee shall immediately inform the supervisor prior to using prescribed drugs or medication on the job.
 2. Medication shall be in its original vial or be in a vial provided by the pharmacist commonly referred to as "day carriers" and shall be in the employee's name and shall have the doctor's name, phone number, and prescription number on the label, as well as the date of issuance.
 3. Each prescription shall not be older than one (1) year of the date of issue, unless specified by a Doctor.
 4. Employees shall only possess a reasonable amount of medication for a normal work shift.
 5. The employee whose name appears on the label of the vial shall not allow any other employee, visitor, guest, subcontractor, or any other person to consume the prescribed drug or medication.

6. The employee shall not consume the prescribed drug or medication more often than as prescribed by the employee's physician and as set out on the label of the vial.
- G. The Gaming Commission reserves the right to have its physician determine if use of a prescription drug or medication by an employee produces affects which may increase the risk of injury to employee or other employees. If such a finding is made, the Commission reserves the right to place such an employee on leave pending reinstatement of employment with a written note from the Commission's physician.
- H. Any employee who is convicted of any criminal drug statute must notify his/her supervisor or his/her designated representative and the Commission of the conviction within five (5) days.

VI. ENFORCEMENT ACTIVITY

- A. The Commission or the Management for the casino will enforce this Regulation by job site searches, urine/substance screening and blood plasma and/or saliva/breath testing.
- B. The Commission reserves the right to conduct security searches and inspections independently or through the Casino Management of employees, persons and their effects (such as, but not limited to, lockers, baggage, briefcases, lunch boxes, food/beverage containers, desks, tool boxes, clothing, and vehicles) for the purpose of determining if such employees are in possession, use, transportation, or concealment of any of the prohibited items and substances covered by this policy. All searches that are conducted by authorized outside search and inspection specialties will be in the presence of a Commission representative. At no time will employees be touched during a search or inspection by the outside search and inspection specialists, the Gaming Commission, security personnel, or any other person(s) representing the Gaming Commission or Gaming Palace.
- C. The Commission reserves the right to require employees to submit to urine drug and/or alcohol screens, blood or plasma tests, saliva/breath tests, or other examinations or tests as deemed appropriate to determine the use of illegal or unauthorized drug, alcohol, or chemical substance prohibited by this policy or to establish the employee's fitness for duty.
- D. Urine drug and/or alcohol screening, blood/and or plasma testing, or saliva/breath testing may be used by the Commission or the Casino Management in any of the following situations:

1. Post-counseling/rehabilitation testing as a condition of reinstatement upon completion of a reasonable drug-alcohol treatment or counseling program.
2. When an employee returns to work from an extended absence, illness or reduction-in-force in excess of thirty (30) days.
3. When an employee's supervisor or a Commission representative has a reasonable suspicion that an employee shows signs of possible intoxication, using or being under the influence of drugs/alcohol, or other articulable facts that would lead a prudent supervisor or regulator to be concerned about the employee's safety or the safety of others due to an employee's physical or emotional condition while at work.
4. If an employee suffers an on-the-job injury or accident (requiring treatment from a physician) or contributes to an on-the-job accident or injury to any other person or them self.
5. Employees, whom employer reasonably suspects, were involved in causing a serious or potentially serious accident or incident in which safety precautions were violated, or who gave unsafe instructions or orders in which equipment or property was damaged, or where careless acts were performed or where the cause was due to the employee's failure to wear prescribed personal protective equipment while working at the casino or the violation of an established work rule.
6. When an employee or person is found in possession of suspected illicit or unauthorized drugs and/or alcohol, or when any of these items are found in an area controlled or used exclusively by designated employees.
7. Part of an overall search, inspection and/or screening of an employee's work area, department or location of employment (including the premises of customers or other contractors), to determine the use or detectable amounts of any illegal or unauthorized drugs, alcohol, or chemical substances covered by this policy.
8. Employees will be subject to random testing. All employees (full-time, part-time, and temporary) subject to testing will be placed in a common selection pool for an equal chance of selection on a

statistically valid basis or the Commission or Casino Management may choose to do entire departments, at any time, at its discretion.

9. Employees will be tested in order to comply with contractual agreements, client/customer job site requirements, or governmental/regulatory regulations and requirements.
- E. Any Contractor licensed by the Commission may, to the extent permitted by law, conduct a search and inspection of its' own employees and the employees of any of its subcontractors performing work for the casino on casino property, provided that such contractor first notifies the Commission of such a purposed search and inspection.

VII. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

- A. No employee search, inspection, or testing procedure (urine, blood/plasma, saliva/breath) will be conducted without the written consent from the employee(s) involved. If an employee declines consent to a search, inspection, or test, the employee shall be terminated.
-
- B. Entry into the casino or onto the premises constitutes the recognition of the right of the Commission or its' authorized representatives to search, inspect, or test the employees for drugs or alcohol, as well as search their personal effects, vehicles, tool boxes, desks, lockers, food or beverage containers, clothing, and any other property of the employee(s) while entering, on, or departing the casino or premises.
- C. All employees of the Casino, the Casino Management, and the Gaming Commission are subject to the following action:
- | | |
|--|---|
| 1. Refusal to participate in search, provide a urine, Blood, plasma, saliva, or breath sample: | Termination of license and/or termination of employment. |
| 2. Positive result: | Disciplinary action up to and including termination of license and/or employment. |
- D. Any employee who is found in possession, use, or transportation of any illegal substances, contraband, or any of the herein mentioned drugs, chemical substances or property, or unauthorized items, or who has been convicted of a drug related offense, will be subject to disciplinary action, up to and including termination of license and or employment. Preliminary

findings of a policy violation may require that the employee be suspended, without pay, pending the results of an investigation.

- E. In the case of alcohol, the Commission requires an employee to enroll and attend an approved rehabilitation program and re-test before being allowed reinstatement of employment or a suspended or terminated license.
- F. In the case of illegal drugs, the Commission requires an employee to be terminated from employment with the Isleta Gaming Operation.

VIII. REQUIREMENTS OF TESTING FACILITY

- A. All searches, collection, and testing will be performed with concern for each employee's privacy. The results of any drug screening will be considered a confidential record to be disseminated strictly on a "need-to-know" basis or as may be legally required.
- B. All collections of urine samples must be supervised by the person making the collection and the collection person, along with the laboratory, will insure that a proper chain of custody is executed and the integrity of the sample is maintained.
- C. All collections will be performed by an approved third party security personnel who is familiar with the proper collection procedures of this policy.
- D. A representative of the Commission, Casino Management, and Security must be present during all testing.
- E. Testing will be performed by any laboratory chosen by the Tribe or its testing contractor which is accredited by the College of American Pathologists or certified by the Department of Health and Human Services.
- F. For drug urinalysis, each specimen may be tested to determine the presence of (including, but not limited to) amphetamines, cannabinoids (marijuana, THC, Hashish), cocaine, opiates, phencyclidine, barbiturates, benzodiazepines, methadone, metnaqualone and propoxyphene.
- G. For cannabinoids, a minimum of 50 NG per ml testing is cut-off for a positive screen by the laboratory.
- H. All positives reported by the laboratory must be confirmed by Gas Chromatography/Mass Spectrometry.

- I. All positives reported by the laboratory may be reviewed by a medical officer designated by the Commission.

IX. ACKNOWLEDGMENTS

Compliance with this drug-free workplace regulation, is a condition of employment at the casino(s). Nothing in this policy shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, nor shall any provisions of this policy constitute or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealing, either expressed or implied.

Nothing in this policy shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate nor shall it constitute any waiver of or limitation on all employees responsibility to protect, guard, and take adequate precautions for his or her own safety and health in the workplace.

To the fullest reasonable extent possible, confidentiality is to be maintained in all applications of this regulation.

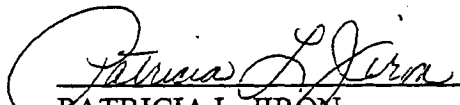
This policy may be amended as necessary to meet the interests of the objectives of this policy as may be determined, from time-to-time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.

CERTIFICATION

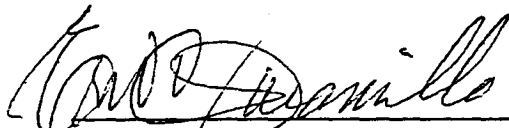
We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 14, Drug Free Workplace, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant _____

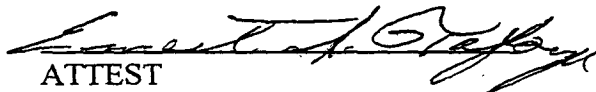
Chairman



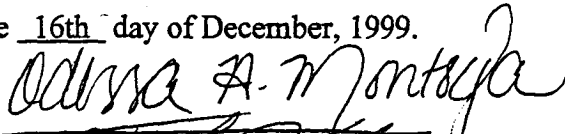
PATRICIA L. JIRON
Vice-Chairman



ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



NOTARY



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires: May 18, 2002

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 15

Race and Sports Book

(Computerized)

**Pueblo of Isleta Gaming Commission
Regulation**

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Chapter 15

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Computerized**

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity of the Isleta Gaming Enterprise pursuant to Tribal Resolution 95-03 enacted January 28, 1995 and any ordinance adopted thereto.

II. PURPOSE

The purpose of this regulation is to provide a comprehensive set of guidelines for Computerized Horse Race and/or Sports Book wagering which shall be followed by the Isleta Gaming Operation(s) management and employees. Further, this regulation will specifically enumerate the manner in which the Commission will exercise said authority in its oversight of all Palace Horse Racing or Sports Book activity. In applying this authority to Horse Racing or Sports Book operations, the Commission shall act in a responsible and consistent manner when promulgating, adopting, approving, revising, implementing, administering, and enforcing the rules, regulations, policies, and decisions of the Commission.

III. SCOPE

This regulation applies to all functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other resolution adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Class III Gaming Compact. This regulation does not apply to other tribal entities or agencies within the Pueblo of Isleta Tribal Government.

IV. SYSTEM SECURITY STANDARDS

- A. Access to the computer system is adequately restricted (e.g., passwords are changed at least quarterly, access to computer hardware is physically restricted, etc.).
- B. Procedures have been developed for use in case of hardware failure, power failure, fire, etc.

V. BETTING TICKET AND EQUIPMENT STANDARDS

- A. All race and sports book wagers must be transacted through the computer system. In case of computer failure, tickets may be written up to twenty-four (24) hours after the failure. In those instances where system failure has occurred and tickets are manually written, a log will be maintained which includes:

1. Date and time of system failure.
 2. Reason for failure.
 3. Date and time system restored.
- B. All manually written and/or paid tickets are entered into the computer system as soon as possible to verify the accuracy of the write and the payout (this does not apply to purged, unpaid winning tickets). All manually-paid tickets must be regraded as part of the end-of-day audit process should the computer system be inoperative.
- C. The Time generated by the computer during ticket writing is tested each day by a supervisor independent of the ticket writing and cashiering function (this person may also be independent of the book).
- D. The test, and any adjustments necessary due to discrepancies, is documented in a log (or in another equivalent manner) which includes the station number, date, time of test, time per computer, name or signature of the employee performing test, and any other relevant information.
- E. All date, time and numerical sequence stamping machines used by the book (for parlay cards, voiding cards/tickets, and payouts) are directly and permanently wired to the electrical supply system (or in another approved manner).
- F. Only maintenance, engineering or security employees/personnel have access to fuses or fuse-like devices used in connection with the machines.
- G. At least once during each eight (8) hours of operation each book examines and tests the stamping machines to ensure their date and time accuracy to the nearest minute.
- H. The above test is performed by someone independent of the ticket writing function. For books with casino operations the above test is performed at least weekly by someone totally independent of the book.
- I. The test, and any adjustments necessary due to discrepancies, is documented in a log (or in another equivalent manner) which

includes the station number, date, time of test, time on machine, name or signature of employee performing the test, and any other relevant information.

- J. Keys (originals and all duplicates) to the date, time and numerical sequence stamping devices are maintained and used by a department or personnel who are independent of the ticket writing and cashiering functions.

VI. WAGERING STANDARDS

- A. Whenever a betting station is opened for wagering or turned over to a new writer, the betting ticket writer signs on and the computer documents the writer's identity, the date and time, and the fact that the station was opened on either the unused ticket that is first in sequence or in a separate report.
- B. Whenever the betting station is closed or the writer is replaced, the writer signs off and the computer documents the date and time, and the fact that the station was closed out on either the unused ticket that is next in sequence after the last ticket written or in a separate report.
- C. Upon accepting a wager a betting ticket is created which consists of at least three parts:
 - 1. An original, which is transacted and issued through a printer and given to the patron.
 - 2. A copy, which is recorded concurrently with the generation of the original ticket either on paper or other storage media (e.g., tape or diskette).
 - 2. An internally recorded copy to which access by book employees is adequately restricted.
- D. If a book voids a betting ticket then:
 - 1. The word "Void" is immediately written/stamped and the date and time at which the ticket was voided is stamped on the original.
 - 2. A key employee and one other person signs the ticket at the time of voiding.

3. A written reason for the voiding is attached to the voided ticket.
- E. The computer system shall adequately document supervisory approval for appropriate transactions, as applicable.

VII. WAGERING CUTOFF

- A. A sporting event wager is not accepted after the start of the event unless "in progress" or a similar notation is written on the original and each copy of the betting ticket and unless a key employee other than the ticket writer initials the original and each copy of the ticket.
- B. A race wager is not accepted after the occurrence of post time, as defined by industry standards.
- C. The cutoff time for event wagering will be set up or established in the computer in accordance with industry standards.
- D. The computer either is incapable of transacting/accepting a wager subsequent to the above cutoff times or produces a report which specifically identifies such wagers.
- E. The computer either is incapable of voiding a ticket subsequent to the cutoff time or produces a report which specifically identifies such voided tickets.
- F. The computer is incapable of establishing or changing a cutoff/starting time to a time that is earlier than the current time of day.
- G. Tickets will not be written or voided after the outcome of an event is known.

VIII. PAYOUT STANDARDS

- A. Prior to patrons receiving payouts on winning tickets, results are input into the computer's administrative terminal for computerized grading of all wagers.

- B. Prior to making payment on a ticket or crediting the winnings to the patron's account the cashier inputs the ticket sequence number into the cashier's terminal.

Note: Alternatively, the computer system may automatically update the patron's account when the event results are posted.

- C. Upon computer authorization of payment the patron is paid, the patron's copy is marked "PAID", noted with the amount of payment, date stamped, and time noted.
- D. For all payouts, which are made without computer authorization, documentation supporting and explaining such payouts is maintained.
- E. The computer is incapable of authorizing payment on a ticket, which has been previously paid, a voided ticket, a losing ticket, or an unissued ticket.
- F. For net winnings greater than ten thousand dollars (\$10,000.00) (i.e., payout less initial wager) within 72 hours following payment of a winning ticket, an employee independent of the ticket verification confirms the integrity of the patron's copy by comparing it to, regrading, and initialing the patron's copy.
- G. If a progressive pool is used for wagers:
1. Adequate documentation is retained regarding the rules, increment procedures and any reductions in the progressive amounts.
 2. The progressive amount is displayed in the book.
 3. The progressive liability is recorded on a daily basis.
 4. Audit personnel recalculate the progressive increment on a sample basis, at least once a week.

IX. CHECKOUT STANDARDS

- A. For each writer and cashier station:

1. The system indicates the amount of cash that should be in a given drawer.
 2. Writers and cashiers are not permitted access to this information without supervisory approval.
- B. For each writer station a summary report is completed at the conclusion of each shift including:
1. Computation of net cash proceeds for the shift.
 2. Computation of cash turned in for the shift.
 3. Signatures of two (2) employees who have verified the cash turned in for the shift.

X. EMPLOYEE SEGREGATION

- A. Employees who write or cash tickets do not perform administrative or supervisory functions. (Administrative functions included setting up events, changing event data, and inputting results at any time. Supervisory functions include approving void tickets, large wagers, and access to cash information in the computer.)
- B. Race and sports book employees are prohibited from wagering on race/sports events.

XI. COMPUTER REPORTS

- A. At least the following types of reports are maintained (if applicable):
1. Write transaction reports.
 2. Payout transaction report.
 3. Telephone transaction report.
 4. Credit transaction report.
 5. Results report.
 6. Futures reports.
 7. Unpaid winners report.

8. Exception report (e.g., past-post voids, past-post write, voids, odds changes).
 9. Daily recap report.
 10. Personnel access listing.
- B. The reports contain at least the following information:
1. Write, payout, telephone, and credit transaction reports (daily):
 - a. Ticket number.
 - b. Date/time written/paid.
 - c. Type/amount of wager.
 - d. Animal/team identification.
 - e. Amount of payout.
 - f. Telephone identification.
 - g. Total telephone account, writer/cashier and day.
 2. Futures report (daily or when applicable):
 - a. Ticket number.
 - b. Date/time written.
 - c. Amount of wager.
 - d. Future wagers for the day by total and broken out by dates of events.
 - e. Summary of future wagers by dates of events and in total at the time of revenue recognition.
 3. Unpaid winners report (daily)
 - a. Ticket number.
 - b. Date/time written.
 - c. Amount of wager/payout.
 - d. Totals.
 4. Exception report (daily):
 - a. Ticket number.
 - b. Date/time written.
 - c. Type/amount of wager.
 - d. Exception.

- e. Time of exception.
 - f. Summary of exception (list sorted by exception type).
5. Results report (daily):
- a. Date and time of event per the cutoff time input to the computer.
 - b. Team names and team and animal number.
 - c. Event results and any other relevant payoff date.
6. Daily recap report:
- a. Date.
 - b. Total.
 - 1. Cash write for the day.
 - 2. Futures written for the day.
 - 3. Futures brought back into revenue (today's event).
 - 4. Accrual writ-(1) less (2) plus (3).
 - 5. Cash paid out on prior day's events.
 - 6. Cash paid out on today's event.
 - 7. Cash payouts for the day.
 - 8. Unpaid tickets for the day.
 - 9. Accrual payouts-(6) plus (8).
 - 10. Unpaid winners brought back into revenue.
 - 11. Taxable revenue-(4) less (7) or (1) less (7).
 - 12. Book (accounting) revenue- (4) less (9) plus (10).
7. Personnel access listing:
- a. Name.
 - b. Employee identification number.
 - c. Listing of functions employee can perform or equivalent means of identifying same.

XII. ACCOUNTING AND AUDIT FUNCTIONS

- A. The race and sports book accounting and audit procedure are performed by personnel who are independent of the transaction being audited/accounted for.

XIII. ACCOUNTING STANDARDS

Note: An adequate software analysis may result in reducing the following two (2) requirements.

- A. For a minimum of two (2) writer stations per shift per month (rotated among writers and between race and sports) accounting personnel:
 - 1. Foot the sequentially connected copy of written tickets and trace the totals to those produced by the system.
 - 2. Review the connected copies for sequential numbering and document follow-up on missing numbers or blank tickets.
- B. Accounting personnel foot the customer copy of paid tickets for a minimum of one (1) cashier station per month and trace the totals to those produced by the system.
- C. The write and payouts are compared to the cash proceeds/disbursements with a documented investigation being performed on all large variances (i.e., overages or shortages greater than one hundred dollars/\$100.00 per writer/cashier).

XIV. AUDITING STANDARDS

- A. For all winning and voided sports book tickets and parlay card tickets in excess of ten thousand dollars (\$10,000.00), for all winning and voided race book tickets in excess of one thousand dollars (\$1,000.00), and for a random sample of .2% (two tenths of one percent) of all other winning race book and sports book tickets:
 - 1. The tickets are recalculated and regraded using the computer record of event results.
 - 2. The date and starting time of the event/race per the results report are compared to the date and time stamp on the ticket and in the computer sales/transaction report.
 - 3. The terms of the wager (e.g., point spreads, money-lines, etc.) per the computer sales/transaction report or per the results report (if that summary lists all point spreads and money lines at which wagers were written or if a equivalent report satisfying this requirement is produced) are reviewed

and compared to an independent source for extravagant or questionable activity.

- B. For all voided tickets:
 - 1. The computer reports which display voided ticket information are examined to verify that tickets were properly voided prior to the cutoff time for event wagering.
 - 2. The voided tickets are examined for the word "VOID" and proper signatures.
- C. The book's computerized summary of events/results report is traced to an independent source for 5% (five percent) of all sporting events and 5% (five percent) of all races to verify the accuracy of starting times (if available from an independent source) and final results.
- D. Exception reports are reviewed on daily basis for propriety of transactions and unusual occurrences.
- E. Any investigation performed regarding the exception reports is documented.
- F. At least one day per calendar quarter, the computer-generated reports are reviewed for proper handling of future wager, unpaid winners, and telephone accounts.

XV. STATISTICS

- A. Reports are maintained for each month and year-to-date which indicate the total amount of wagers accepted, total amount paid out on winning wagers, the net amount won by the book, and the win-to-write percentage for:
 - 1. Each sport (e.g., baseball, basketball, football, hockey, golf, boxing, etc.) as required by industry standards.
 - 2. Sports parlay cards.
 - 3. Horse racing.

- B. This information is presented to and reviewed by management independent of the race and sports book on at least a monthly basis.
- C. The above referenced management investigates any unusual statistical fluctuations with race and sports book personnel. This review will be performed by comparing the current period statistics for each type of event with those of applicable prior periods.
- D. The results of such investigations are documented in writing and made available for inspection.

XVI. WAGERING ACCOUNTS

- A. Before a book accepts a wager or receives wagering information from a patron by wire communication:
 - 1. The patron must personally appear at the premises of the block.
 - 2. An employee of the book examines, in the patron's presence, the patron's valid drivers license or other reliable identity credential(s).
 - 3. The employee must record:
 - a. The patron's name, permanent home address (other than a post office box number), and home telephone number.
 - b. The patron's mailing address and, if the mailing address is not a post office box number and is a residence or place of business of the patron, the telephone number of the residence or place of business.
 - c. The patron's date of birth and social security number.
 - d. The method used to verify the patron's identity and residence, and a description, including the document number, of the identity credential examined.

- e. The patron's approved credit limit or the amount of the patron's initial front money deposit.
 - f. The patron's account number with the book.
 - g. The date the patron's account with the book is opened.
- B. For each account established by a book permitting a patron to wager on credit the book shall:
- 1. Record and verify such information as is necessary for the efficient collection of debts, including the name and address of the patron for whom the book establishes the account.
 - 2. Comply with the requirements for establishing wagering accounts to Section VI, Wagering Standards of this document.

XVII. TELEPHONE (Wire Communication) WAGERING (if applicable)

- A. Procedures are established to prevent the acceptance of wagers from persons other than the bettors for whom the wagering accounts are established, to ensure the proper identity of patrons making wagers by wire communication/over the telephone (e.g., account numbers or codes), and to verify that the patron is calling from within the authorized gaming jurisdiction.
- B. Prior to accepting a wager over the phone the bettor appears at the book and has evidence of his identity and residence verified by a book employee. (See Section XVI, Wagering Accounts)
- C. At the time of establishing the account the employee records the patron information required by industry standards and prepares a statement supporting the verification of the information with his/her signature and a key employee signature.
- D. For each account established, the computer shall maintain a detailed record documenting each wagering transaction and all deposits/withdrawals for that account as follows:

1. The date, amount, and a description of each debit and credit to the account.
 2. For each wager accepted:
 - a. The date the book accepts the wager.
 - b. The number of the betting ticket.
 - c. The amount of the wager.
 3. The personal identification number or other security code, if any, assigned to the patron.
- E. All credit limits in excess of a specified amount (not to exceed \$20,000.00) are approved in advance by management independent of the book, if possible, or at a minimum by an individual at the level of book manager. (See Section XVIII, Credit Wagering of this document).
- F. A master listing of all wagering accounts is prepared and reconciled to the individual account balances at least monthly.
-

XVIII. CREDIT WAGERING (if applicable)

- A. An account is not established until a documented credit check has been performed on the patron.
- B. All credit limits in excess of a specified amount (not to exceed \$20,000.00) are approved in advance by management independent to the book, if possible, or at a minimum by an individual at the level of book manager.
- C. The record of each account includes the patron's name and address, each extension of credit, payment on credit, and current balance.
- D. A master listing of all credit accounts is prepared to the individual account balances at least monthly.
- E. At specific intervals (to be determined by management) and upon failure of the patron to make payment within a reasonable time (to be determined by management) the gaming facility pursues collection of the patron's debt.

XIX. WRITE OFF STANDARDS

- A. Written off wagering accounts are authorized, in writing, by at least two (2) management officials from departments independent of the credit transaction.
- B. Access to written off wagering account/credit instruments is restricted to individuals specified by management.

XX. ENFORCEMENT ACTIVITY

- A. The Commission reserves the right to enforce this policy as follows:
 - 1. An imposition of a fine;
 - 2. Disciplinary action up to and including revocation of a gaming license;
 - 3. The placing of conditions and/or restrictions on the licensee's retention of their gaming license; and/or
 - 4. A combination of the above.

XXI. ACKNOWLEDGMENTS

Employee compliance with this Regulation is a condition of employment at or with the Casino. Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, not shall any provision of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealings, either expressed or implied.

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate.

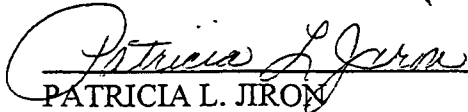
This Regulation may be amended as necessary to meet the interests of the objectives of this Regulation as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.

CERTIFICATION


We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 15, Race and Sports Book (Computerized), was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Absent

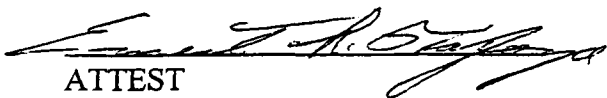
Chairman



PATRICIA L. JIRON
Vice-Chairman



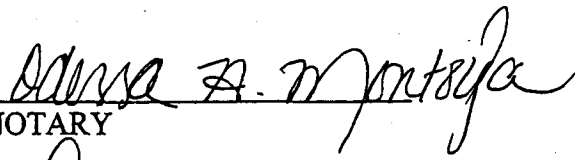
ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires:

May 08, 2002 
NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 16

Gifts, Gratuities, & Solicitations

Pueblo of Isleta Gaming Commission Regulation

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Chapter 16

Gifts, Gratuities, & Solicitations

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Tribal Resolution 95-03 enacted January 28, 1995 and any ordinance(s) adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

II. PURPOSE

The purpose of this regulation is to provide a code of ethics to be above reproach regarding any unethical business practices that might result in unusual or favorable treatment or allow undue influence of employee judgment with regard to daily business dealings with any vendor or patron or official (Tribal/Commission/Management/other). This regulation will specifically enumerate the manner in which the Commission will exercise said authority in its oversight of all Palace Gifts, Gratuities, and Solicitations. In applying this authority, the Commission will act in a responsible and consistent manner when promulgating, adopting, approving, revising, implementing, administering, and enforcing the rules, regulations, policies, and decisions of the Commission.

III. SCOPE

This regulation pertains to all functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other Resolution or Tribal Ordinance adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

This regulation applies to all Commissioners, Commission staff, Isleta Gaming Palace; Management, employees, agents, vendors, patrons, and all Pueblo of Isleta Tribal Officials, elected or appointed.

IV. DEFINITIONS

The following definitions are intended to clarify the items covered in this regulation. Throughout this document the use of these definitions in the singular, also includes the plural.

Agent - A person, corporation, or entity authorized by another to act for or on behalf of him/her or an agency; one entrusted with another's business, affairs, and/or dealings.

Bribery - The offering, giving, receiving, or soliciting of something of value for the purpose of influencing the action of an individual or official in the discharge of his or her public or legal duties pertaining to or within the Gaming Operation.

The corrupt tendering or receiving of a price for official action pertaining to or within the Gaming Operation.

Any gift, advantage, or emolument offered, given, or promised to, or asked or accepted by, any official or employee to influence his/her behavior pertaining to or within the Gaming Operation.

Any officer or employee or person acting for or on behalf of the Isleta Gaming Palace, or any department or agency or branch of the Isleta Gaming Palace thereof, in any official function or capacity.

Commission/Gaming Commission/Isleta Gaming Commission – pertains to the Chairman, Vice-Chairman, or Secretary-Treasurer, in whole or individually, of the Isleta Gaming Commission. See the Pueblo of Isleta Gaming Commission By-laws enacted April 27, 1998.

Commissioner(s) - means an officer/director (i.e., Chairperson, Vice-Chair, Secretary-Treasurer) of the Pueblo of Isleta Gaming Commission. A person to whom a commission is directed by the government or a court. An officer who is charged with the administration of laws and regulations relating to some particular subject matter, or the management of some bureau or agency of the government. Member of a commission or board. Specially appointed officer of a government or court.

Commission Staff - including but not limited to, a group of employees, assistants, agents, and clerks to an officer, director, executive, or another person in authority. The personnel who carry out a specific duty/duties in aide of or on behalf of a Commissioner(s).

Ethics - Of or relating to moral action, conduct, motive, or character; as, ethical emotion; also, treating of moral feelings, duties, or conduct; containing precepts of morality; moral. Professionally right or befitting; conforming to professional standards of conduct.

Employee - A person in the service of the Isleta Gaming Industry under any contract of hire, express or implied, oral or written, where the employer has the power or right to control and direct the employee in the material details of how the work is to be performed.

Gift - Anything of value bestowed voluntarily and without compensation.

Gratuity - A favor, gift, anything of value, or any benefit for which fair market value is not paid. It can include, but is not limited to, entertainment, meals, beverages, recreation, hospitality, transportation, discounts, tickets, passes, and promotional training.

Kickback - A sharp reaction; a repercussion. Including but not limited to a return of a percentage of a sum of money already received, usually as a result of coercion or a secret agreement. Payment back by seller of a portion of the purchase price to buyer or public official to induce purchase or to improperly influence future purchases or leases.

Management - The act, manner, or practice of managing; handling, supervision, or control of the Isleta Gaming Operation(s). The person or persons who control or direct the Isleta Gaming Palace, its subsidiary(s), or any part of the Gaming Operation/enterprise.

Patron - one who buys goods and services; a customer, internal or external.

Solicitation - Asking; enticing; urgent request. To seek, to obtain by persuasion, entreaty, or formal application. To petition persistently; importune. To entice or incite, to evil or illegal action. To approach or accost (a person) with an offer of sexual services or encouraging someone to engage in illegal conduct. The crime solicited need not be committed.

Tribal Official/Government Official - pertains to the Tribal Council member(s), Tribal Judge(s), Tribal Administrator(s), Governor, Lieutenant Governor(s), Tribal Treasurer, Commissioners, and Commission agents.

Tribal entities - Tribal Planner, Law enforcement, Emergency Medical Services/Fire Department, officials and/or inspectors.

Vendor - including but not limited to, a merchant, retail dealer, supplier, importer, wholesale distributor, corporation, entity; one who buys to sell; a seller. A seller of goods, products, and services.

V. GIFTS AND GRATUITIES

A. General

Any Official (Tribal/Commission/Management/other) or employee or agent or person or entity acting for or on behalf of the Isleta Gaming Palace or its subsidiary(s) will not accept any gift and/or gratuity, in any form whatsoever that might appear to be a solicitation, kickback, enticement, rebate, refund, "perk", or any other incentive "under the

table" items from any individual or entity, be it a contractor, vendor, patron, or other, at any time, at any place within the premises or away from the premises of any Pueblo of Isleta Gaming Operation(s).

B. Employees

1. Isleta Gaming Palace employees shall not allow their judgment or impartiality to be questioned by accepting any gift, gratuity, favor, or promise of such action, from any individual or vendor or official with whom the Isleta Gaming Palace is affiliated with or doing business or proposing to do business with. Gifts or gratuities of any value shall be returned to its place of origin or delivered to the Isleta Gaming Palace General Managers Office located at 11000 Broadway SE, Albuquerque, NM 87105.
2. The offering or giving of gifts, gratuities, or entertainment to Isleta Gaming Palace employees by any individual or vendor or tribal officials or personnel is strictly prohibited. The penalties for such action can be severe for both the giver and the receiver. No offer of a gift or gratuity or actual gift or gratuity, including meals, tickets to sporting events, transportation, etc., made to a Isleta Gaming Palace employee shall be accepted.

C. Tribal Government Officials

1. Pueblo of Isleta Government Officials shall not allow their judgment or impartiality to be questioned by accepting any gift, gratuity, favor, or promise of such action, from an Isleta Gaming Palace employee or individual or vendor or contractor with whom the Isleta Gaming Palace or its subsidiary(s) is affiliated with, doing business with, or proposing to do business with. Gifts or gratuities of any value shall be returned or delivered to the Pueblo of Isleta Tribal Government Offices. (*See NOTE below for address*)
2. The offering or giving of gifts, gratuities, or entertainment to Pueblo of Isleta Government Officials by Isleta Gaming Palace employees or vendors or contractors is strictly prohibited. The penalties for such action can be severe for both the giver and receiver. No offer of a gift or gratuity or actual gift or gratuity, including meals, tickets to sporting events, transportation, etc., made to a Government employee shall be accepted.

VI. EXCEPTION(S)

- A. Officials (Tribal/Commission/Management/other), employees, agents, and persons may, at the discretion of Isleta Gaming Palace General Management, receive small promotional items from the Isleta Gaming Palace only. Disbursement of small promotional items may only occur once every three (3) months and shall not exceed the total value of twenty-five dollars (\$25.00) per person per disbursement. In the event that the total amount of twenty-five (\$25.00) per person per disbursement is not utilized, it may not be applied to any other expenditure of any form. Small promotional items includes, but is not limited to pens, pins, lapels, cups, glasses, and other similar small items that are intended as "give away" products. Isleta Gaming Palace Management will control, record, and account for the above merchandise prior to disbursement. All established Accounting and Marketing and Promotion Regulations and Policies shall apply hereto.
- B. The Pueblo of Isleta Tribal Council may, at their discretion, authorize an individual(s) to serve in an official capacity, in representing and accepting gifts and gratuities, in any form and of any value, at public or private events on behalf of the Pueblo of Isleta. Any accepted gifts and gratuities must be immediately given or delivered to the Pueblo of Isleta Tribal Government.

NOTE: The Pueblo of Isleta Tribal Government Offices are located at 117A Tribal Road 40, Isleta, New Mexico 87022 or P. O. Box 1270, Isleta, New Mexico 87022.

VII. SOLICITATIONS

- A. **Individual**
1. Individuals soliciting money(s), in any form, from the Gaming Operations of the Pueblo of Isleta for specific items, circumstances, sponsorships, etc., must be referred to the Pueblo of Isleta Tribal Council Office. Such solicitations, if approved, **must not** be drawn on Gaming Operations accounts.
- B. **Employee**
1. Employees may not solicit or distribute, in any form, for charities or causes at, within, and/or on the premises of a Gaming Operation.

C. Non-employees

1. Non-employees are prohibited from soliciting or distributing products, materials, wares, food, or other merchandise at, in, and/or on the premises of a Gaming Operation without a vendor license. (See IGCR, Chapter 5, Licensing)

D. Tribal Government Officials

1. Officials (Tribal/Commission/Commission staff) may not solicit, in any form, for charities or causes at, within, and/or on the premises of any Gaming Operation.

VIII. ENFORCEMENT ACTIVITY**A. The Commission reserves the right to enforce this policy as follow:**

1. an imposition of a fine of no less than fifty dollars (\$50.00) and no more than five hundred dollars (\$500.00) for employees;
2. an imposition of a fine of no less than five hundred dollars (\$500.00) and no more than twenty-five thousand dollars (\$25,000.00) for vendors;
3. Disciplinary action up to and including suspension or revocation of any employee gaming license,
4. Disciplinary action up to and including suspension or revocation of any vendor gaming license,
5. Banishment from the Gaming Operation(s),
6. Prohibition of a particular event,
7. Criminal prosecution, and/or
8. the combination of any of the above.

IX. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

- A. All Management, Employees, and Vendors of any Isleta Gaming Operation and Pueblo of Isleta Officials are subject to the following action:

1. Refusal to comply or violation of this policy. Fine, denial, suspension, revocation, termination of and/or restrictions on Gaming License; and/or

Banishment, criminal prosecution, and/or prohibition of the particular event.

X. ACKNOWLEDGMENTS

Employee compliance with this Regulation is a condition of employment at or with the Casino. Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, nor shall any provision of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealings, either expressed or implied.

Compliance with this Regulation by all Officials is mandatory.

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate.

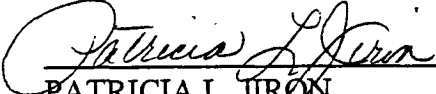
This Regulation may be amended as necessary to meet the interests of the objectives of this Regulation as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.

CERTIFICATION

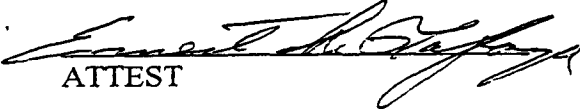
We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 16, Gifts, Gratuities, & Solicitations was duly **ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant

Chairman


PATRICIA L. JIRON
Vice-Chairman

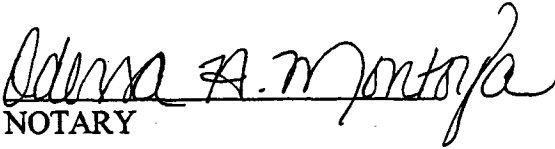

ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires

May 18, 2002 
NOTARY

My Commission Expires: May 18, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 17

Notification to the Commission

Pueblo of Isleta Gaming Commission' Regulation

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Chapter 17

Notification to the Commission

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Tribal Resolution 95-03 enacted January 28, 1995 and any ordinance(s) adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

II. PURPOSE

The purpose of this regulation is to provide a set of guidelines for the giving of sufficient information and timely notice to the Isleta Gaming Commission by any Pueblo of Isleta Gaming Operation prior to the purchasing of or the utilization of Casino Games, any construction or modification of any gaming facilities, any alteration/modification of Standard Operating Procedures (SOPs), and the submission of all contracts being considered by the Gaming Operation.

III. SCOPE

This regulation pertains to all functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other Tribal Resolution or Ordinance adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

This regulation applies to all Pueblo of Isleta Gaming Enterprises, Facilities, and/or Operation's which includes, but is not limited to, the Isleta Gaming Palace and Palace West. This regulation also applies to the Pueblo of Isleta Tribal Council and Governor when promulgating any policy or procedure changes or directives to the Isleta Gaming Operation(s). This regulation does not apply to other Tribal entities or agencies within the Pueblo of Isleta Tribal Government.

IV. DEFINITIONS

The following definitions are intended to clarify the items covered in this regulation. Throughout this document the use of these definitions in the singular, also includes the plural.

Casino Games - includes but is not limited to, all Electronic Gaming Devices (EGD's), all Table Games; all forms of Poker; Blackjack; Roulette; Craps; Let It Ride; Keno; Wheel of Fortune; Pai Gow; Bingo; any and all Class II or III games of chance.

Commission/Gaming Commission/Isleta Gaming Commission – pertains to the Chairman, Vice-Chairman, or Secretary-Treasurer, in whole or individually, of the Isleta Gaming Commission. See the Pueblo of Isleta Gaming Commission By-laws enacted April 27, 1998.

Gaming Facility - the building(s) or structure(s) or premises in/on which Class II or III Gaming is conducted within the exterior boundaries of the Pueblo of Isleta.

IGCR - abbreviation for Isleta Gaming Commission Regulations.

Tribal Official/Government Official - pertains to the Tribal Council member(s), Tribal Judge(s), Tribal Administrator(s), Governor, Lieutenant Governor(s), Tribal Treasurer, Commissioners, and Commission Agents.

V. POLICY

A. Casino Games

It is the responsibility of the Isleta Gaming Operation Management to notify the Isleta Gaming Commission, prior to any and all (new or old) purchases of or the placing or utilization of Casino Games on the Gaming Facility floor. This includes, but is not limited to, the purchase of all new Casino Games and/or the removal, storage, replacement, and/or relocation of any existing Casino Games. Prior to the aforementioned purchase/utilization, the following documentation must be given to the Commission at least thirty (30) days prior to any implementation or installation of any Casino Game and on a continuous basis thereafter:

1. A copy of any and all proposed Contracts pertaining to that specific purchase or purchases. (*See Section D. Contracts, 7, herein, below*)

REMINDER: All Contracts must be signed prior to any business transaction taking place. If the contract is for \$25,000.00 or more it must have a Tribal Council Resolution attached, no exceptions. (*See Section D. Contracts, 7, herein, below*)

2. Internal controls and procedures must be in writing and deemed in compliance by the Commission, also in writing, prior to any implementation/installation of any Casino Game(s) on the casino floor.

3. All necessary support documentation, i.e., what the game entails, how the game is played, odds of the game, par sheets, serial numbers, model numbers, casino floor placement (plan) schematic(s), machine number, and location number.
4. The Isleta Gaming Operation Management must notify all vendors that a license application must be filled out and received by the Commission thirty (30) days prior to any business transaction or dealings with the Isleta Gaming Operation(s) or its subsidiary(s). *(See IGCR, Chapter 5 Licensing)*
5. For sales of any outdated or unusable Isleta Gaming Operation property, including, but not limited to, gaming equipment, supplies, devices, etc., see IGCR, Chapter 13, Surplus Property.

NOTE: Also, see Isleta Gaming Operation, Standard Operating Procedures Manual, Electronic Gaming Devices, Procedures for Transportation of EGD's and IGCR, Chapter 4 Gaming Equipment or Devices or Supplies.

B. Construction/Modification of Gaming Facility

It is the responsibility of the Isleta Gaming Operation Management to, notify the Isleta Gaming Commission of any and all construction or modification to any Gaming Facility and/or the premises. Prior to any commencement of the aforementioned construction/modification, the following documentation must be given to the Commission at least thirty (30) days in advance and on a continuous basis thereafter:

1. A copy of any and all proposed Contracts pertaining to the intended construction/modification of or within the Gaming Facility and/or the premises. This includes but is not limited to, all contracts from Architects, Contractors, and/or Subcontractors.

REMINDER: All contracts must be signed prior to any work taking place. If the contract is for \$25,000.00 or more, it must have a Tribal Council Resolution attached. No exceptions! *(See Section D. Contracts, 7, herein, below)*

2. Copies of original Blueprints. All changes, as may arise during the construction/modification, to the original blueprints must be given immediately to the Commission.
3. All necessary support documentation pertaining to the costs, contract, blueprints, etc.

4. Written internal controls and procedures for how the Isleta Gaming Operation intends to manage, internally and externally, the flow of construction workers to assure that the security and integrity of Pueblo assets are not compromised and/or jeopardized in any way. The aforementioned documents must be, in writing, deemed in compliance by the Commission prior to commencement of any construction/modification to any Gaming Facility.
5. The Isleta Gaming Palace must notify all vendors (including, but not limited to, Architect firms, Contractors, Subcontractors, Suppliers, etc.) that a license application must be filled out and received by the Commission thirty (30) days prior to any business transactions or dealings with the Isleta Gaming Palace or its subsidiary(s). All Isleta Gaming Commission Licensing Procedures will be strictly adhered to (*See IGCR, Chapter 5, Licensing*).
6. All construction/modification to any Gaming Facility must follow safety and construction standards at least as stringent as the current editions of the National Electrical Code, the Uniform Building Code, the Uniform Mechanical Code, the Uniform Fire Code, and the Uniform Plumbing Code (*See, Pueblo of Isleta/State of New Mexico Indian Gaming Compact, August 29, 1997 also see, IGCR, Chapter 3 and Chapter 5, hereto*).
7. All individuals and entities involved in the construction/modification of any Gaming Operation Facility and/or premises must strictly adhere to all Security Procedures. No Exceptions (*See Isleta Gaming Palace Standard Operating Procedures Manual, Security Procedures*).

C. Modification/Alteration of Standard Operating Procedures (SOPs)

It is the responsibility of the Isleta Gaming Operation Management to notify the Isleta Gaming Commission of any and all modifications and/or alterations to the Isleta Gaming Operation, Standard Operating Procedures (SOPs). Prior to the aforementioned modification and/or alteration being implemented by the Operation, the following procedures must be completed:

1. Draft the suggested policy/procedure in accordance with the existing Isleta Gaming Operations Manual/Standard Operation

Procedures (SOPs) Manual making sure to adhere to the format, i.e., Chapters, headings, titles, policy numbers, table of contents, consistency within the entire document, etc.

2. Submit the newly drafted policy/procedure (type written only) along with a copy of the current policy/procedure in use, if one exists. Using the chain of command submit the draft to the Isleta Gaming Palace Compliance Department. The Compliance Department will work with the submitting Department Manager to rectify any problem areas. Upon approval the Compliance Department will forward the policy/procedure to the General Manager who will, upon approval, submit the aforementioned to the Isleta Gaming Commission. This applies to existing policy/procedure changes, as well as newly developed or needed policies/procedures.
3. The Commission has thirty (30) calendar days from receipt to review the proposed policy/procedure taking into account all standards necessary to reach an equitable conclusion;
4. If the Commission finds the suggested policy/procedure is in compliance with applicable regulatory requirements, the Commission will, in writing, inform the Isleta Gaming Operation Management of this decision. The Isleta Gaming Operation Management will then have the policy/procedure implemented and inform all necessary parties, including the Commission, as to when it will be implemented.
5. If the Commission finds the suggested policy/procedure is **not** in compliance with applicable regulatory requirements, the Commission will notify Isleta Gaming Operation Management, in writing, of this decision along with the reasons why the policy was deemed non-compliant. If such reasons are a matter of confidentiality, the Commission in its' discretion, may or may not divulge any reasoning to Management.
6. The Commission will inform, in writing, the Isleta Gaming Operation General Manager of any concerns or objections to any policy/procedure or portion thereof. Thereafter, Isleta Gaming Palace Management will have thirty (30) regular days from receipt, to correct/revise and resubmit the aforementioned policy/procedure to the Commission. Management may request, in writing, that the Commission grant a hearing to explore Commission concerns or objections. If such concerns and/or objections are not corrected

within the time allotted, the Commission reserves the right to prohibit the implementation of said policy/procedure and Management must start this compliance process again.

7. The Commission reserves the right to voice or hear concerns on any policy/procedure or portion thereof, new or old, via a written format (i.e. letter, memo, other), hearing (formal or informal), and/or both.
8. All newly developed or alterations/amendments to existing Isleta Gaming Operation, Standard Operating Procedures will not be made or implemented without the above process being completed and approved, in writing, by the Isleta Gaming Operation General Manager and the Isleta Gaming Commission. No exceptions!
9. If a situation occurs that does not have any governing policy or procedure, that situation will be handled on an, "as is" basis, but no later than thirty (30) days thereafter, Isleta Gaming Operation Management must set down in writing a policy and procedure to govern a future occurrence and submit the policy through this approval process.
10. No less than annually, Department Managers within any Isleta Gaming Operation must review and revise the Standard Operating Procedures for each department.
11. All decisions by the Commission are final.

D. CONTRACTS

It is the responsibility of the Isleta Gaming Operations Management to submit and receive compliance approval of all contracts or agreements, in the amount of ten thousand dollars (\$10,000.00) or more, to the Isleta Gaming Commission, prior to signing said contract, for a compliance review. All contract or agreements that accumulate to ten thousand dollars (\$10,000.00) or more in a three (3) month period must also be submitted to the Isleta Gaming Commission, prior to signing, for a compliance review. The following documentation must be submitted to the Commission at least thirty (30) days in advance:

1. A copy of any and all purposed contracts or agreements prior to the Operation entering into the contract or agreement.

REMINDER: All Contracts must be signed prior to any business transaction taking place. If the contract is for \$25,000.00 or more it must have a Tribal Council Resolution attached, no exceptions. (See Subsection 7, herein, below)

2. Any additional pertinent documentation, i.e. subcontract, costs involved, detailed plans, etc.
3. The Commission, upon receipt, shall have thirty (30) days to review such contracts or agreements. The Commission shall inform the Isleta Gaming Operations Management, in writing, as to whether or not the contract or agreement is in compliance.
4. If the contract or agreement is not in compliance, the Commission reserves the right to have Isleta Gaming Operation Management renegotiate said contract or agreement. The Commission reserves the right to place any contract or agreement on hold pending a satisfactory and equitable negotiations between the parties. After negotiations have occurred the contract or agreement must be resubmitted to the Commission for an additional compliance review prior to the execution of said contract or agreement.
5. In the event that a contract or agreement contains some sort of management clause, the Commission must, per NIGC Regulations, submit any such contract or agreement to the National Indian Gaming Commission for review, which may take an additional thirty (30) days to be reviewed and deemed in compliance.
6. Isleta Gaming Operations Management must, after a contract or agreement has been deemed in compliance and signed, submit a signed copy to the Commission. If the contract or agreement was for an amount of twenty-five thousand dollars (\$25,000.00) or more it must also have a signed copy of the Tribal Council Resolution attached.
7. All contract in the amount of twenty-five thousand dollars (\$25,000.00) or more must have a signed Tribal Council Resolution attached, authorizing and accepting said contract. Only the Pueblo of Isleta Governor has the authority to sign such a contract(s) or agreement(s) in order for it to be valid and implemented. [See Pueblo of Isleta Tribal Constitution, Article IV, Section 5, (f)]

8. Failure to provide any information required or requested constitutes sufficient grounds for the Commission to deny or revoke any gaming license and/or to require termination of the applicant's or licensee's gaming contract or agreement between the Isleta Gaming Operation and any person or entity who failed to provide the required or requested information. (*See IGCR, Chapter 5, Licensing*)
9. In the event a vendor license is denied or revoked in accordance with IGCR, Chapter 5, Licensing, by the Isleta Gaming Commission, any antecedent, pending, or future contract or agreement with the Isleta Gaming Operation shall be deemed null and void, terminating said contract with out penalty to either party.
10. Effective upon the adoption date of this regulation (January 20, 1999), no future contract(s) between the Isleta Gaming Operation and another party, may exceed two years in duration and are subject to renewal in accordance with IGCRs and Isleta Gaming Palace, Purchasing, Standard Operating Procedures (SOPs). Also, all contracts with any vendor should coincide with or within the valid Commission licensing date(s) issued on the vendors License. The Commission understands that it may be necessary, from time to time, that the duration of a contract exceed this two year rule. Therefore, such contract(s) will be regulated on a case-by-case basis.

VI EXCEPTIONS

A. Emergencies

1. All emergency situations must be immediately brought before the Isleta Gaming Commission and will be considered on a case-by-case basis.

NOTE: All Commissioner's and their agents are available twenty-four (24) hours a day, seven (7) days a week and can be reached via pager, home phone number, and/or cellular phone through the Commission Emergency Contact List located in the Isleta Gaming Palace Security Office. These numbers are confidential and may not be released or dispersed to vendors, patrons, other employees, or any person or entity for any reason. It is the responsibility of the Isleta Gaming Palace Security Office to contact the appropriate individual listed.

VII. ENFORCEMENT ACTIVITY

- A. The Commission reserves the right to enforce this policy as follows:
1. an imposition of a fine of no less than fifty dollars (\$50.00) and no more than five hundred dollars (\$500.00) for employees;
 2. an imposition of a fine of no less than five hundred dollars (\$500.00) and no more than twenty-five thousand dollars (\$25,000.00) for vendors;
 3. disciplinary action up to and including suspension or revocation of employee gaming license;
 4. disciplinary action up to and including suspension or revocation of vendor gaming license;
 5. the placing of restrictions or conditions on the licensee's retention of their gaming license, and/or
 6. the combination of any of the above

VIII. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

- A. All Management, Employees, and Vendors of any Isleta Gaming Operation are subject to the following action:
1. Refusal to comply or violation of this policy. Fine, denial, suspension, revocation, termination of and/or restrictions on Gaming License.

IX. ACKNOWLEDGMENTS

Employee compliance with this Regulation is a condition of employment at or with the Isleta Gaming Operation(s). Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, nor shall any provisions of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealings, either expressed or implied.

Vendor compliance with this Regulation is a condition of performing business at or with the Isleta Gaming Operation(s). Nothing in this Regulation shall be construed as

any guarantee or promise to any applicant or vendor, of any business dealings or any continued business dealings whatsoever, nor shall any provision of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of business expressed or implied, or any obligation of business rights created by covenants of good faith and fair dealings, either expressed or implied.

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate nor shall it constitute any waiver of or limitation on all employees and vendors responsibility to obtain a Gaming License prior to beginning work or performing business for or with the Isleta Gaming Operation(s).

To the fullest reasonable extent possible, confidentiality is to be maintained in all application of this policy.

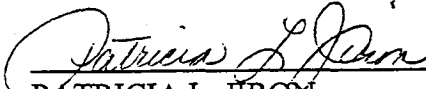
This policy may be amended as necessary to meet the interests of the objectives of this policy as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.

CERTIFICATION

We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 17, Notification to the Commission, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant

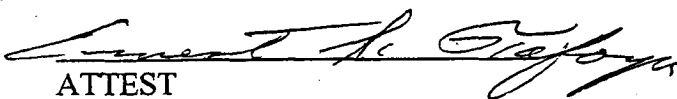
Chairman



PATRICIA L. JIRON
Vice-Chairman



ERNEST C. JARAMILLO
Secretary-Treasurer

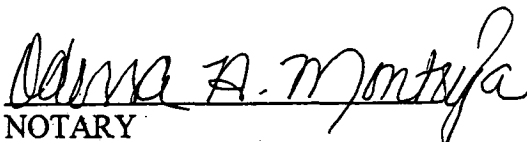


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires:

May 08, 2002 
NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 18, 1999)



Chapter 18

Code of Conduct

Pueblo of Isleta Gaming Commission' Regulation

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Code of Conduct

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Tribal Resolution 95-03 enacted January 28, 1995 and any ordinance(s) adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

II. PURPOSE

The purpose of this regulation is to provide a code of conduct to be above reproach regarding any unethical business practices that might result in unusual or favorable treatment or allow undue influence of employee judgment with regard to daily business dealings with any vendor or patron or other employee.

This regulation will specifically enumerate the manner in which the Commission will exercise said authority in its' oversight of all Conflicts of Interest within the Pueblo of Isleta Gaming Operation. In applying this authority, the Commission will act in a responsible and consistent manner when promulgating, adopting, approving, revising, implementing, administering, and enforcing the rules, regulations, policies, and decisions of the Commission.

III. SCOPE

This regulation pertains to all functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other Resolution or Tribal Ordinance adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

This regulation applies to all Commissioners, Commission staff, Tribal Government Officials, and Isleta Gaming Palace; Management, employees, agents, vendors, and patrons.

IV. DEFINITIONS

The following definitions are intended to clarify the items covered in this regulation. Throughout this document the use of these definitions in the singular, also includes the plural.

Conflict of Interest - A relationship or situation that exists or may appear to exist concerning any Commissioner, Commission staff, their immediate family, Isleta Gaming Palace employees, the employee's immediate family, agents, vendors, or

patrons which directly or indirectly relates to the Isleta Gaming Operation, and could:

- a. diminish the employee's impartiality,
- b. diminish a Commissioner's or Commission staff member's impartiality,
- c. result in a Commissioner, Commission staff member, or their immediate family, being given an unfair personal or financial advantage,
- d. result in the employee, or a member of the employee's immediate family, being given an unfair personal or financial advantage, or
- e. result in the vendor, patron, or agent being given an unfair personal or financial advantage.

Consultant - One who, while acting in other than an employment role, receives any form of compensation (except reimbursed travel expenses) for expert advise.

Financial Interest - Any right to some part of the profits, assets or other interests of a business or business entity, or in the case of a corporation, any interest in more than 1/10 of 1% of the outstanding shares.

Immediate family - an individual's spouse or any person residing with the individual, and the children, parents, siblings, grandparents, or grandchildren of the individual or the individual's spouse.

Outside Employment - Includes:

- a. self employment
- b. employment by another, and
- c. membership in a partnership, corporation, company, firm, etc.
- d. consultancy to, with, or for a partnership, corporation, company, firm, etc. for compensation.

Participate - Employees may consider that they participate in a transaction on behalf of the Isleta Gaming Operation when the employee acts directly for the Isleta Gaming Operation, or directs, recommends, authorizes, approves, or nullifies the action of another who acts for the Isleta Gaming Operation in a transaction, or is involved in the source selection, specification development, or technical evaluation of proposals for property or services to be procured, even though the employee may not be involved in the actual negotiation or transaction constitutes participation.

Personal Relationship - Any marriage (past or present), close friendship, or family relation with any employee, patron, vendor, supplier or any other organization which it appears could diminish the employee's impartiality.

Reportable Circumstances - Any financial interest in any vendor, supplier by the employee or a member of the employee's immediate family; any personal relationships with any supplier or any other organization where there may be a question of propriety; any transactions in which the employee proposes to participate on behalf of the Isleta Gaming Organization where the individual or the individuals immediate family has a financial interest or a personal relationship; any outside or self-employment the employee proposes to undertake.

Tribal Official/Government Official/Official - pertains to a Tribal Council member(s), Tribal Judge(s), Tribal Administer(s), Governor, Lieutenant Governor(s), Tribal Treasurer, Gaming Management Board Members, Commissioner(s), and Commission agents.

V. CODE OF CONDUCT AND PERSONAL CONDUCT

- A. The Isleta Gaming Commission, Commission staff, Tribal Official, and the Isleta Gaming Operation employees, agents, and vendors to the Gaming Operation are expected to:
1. Conduct business with the highest degree of integrity, honesty, candor, objectivity, and fairness.
 2. Deliver quality products and services that meet commitments made to sponsors concerning performance, cost, and schedule, and maintain and promote customers' confidence in the Isleta Gaming Operation.
 3. Provide an environment that recognizes diversity and demands respect for the individuals.
 4. Comply with both the letter and the spirit of all laws and regulations that apply to the Isleta Gaming Operation activities.
 5. Administer and perform contractual duties and programs in a manner that satisfies both legal obligations and Isleta's high standards of integrity and quality.
 6. Handle classified, unclassified controlled access, private, confidential and proprietary information in a proper manner.

7. Promptly report any suspected violations of laws, regulations, or standard operating procedures to appropriate Isleta Gaming personnel or the Commission.
8. Adhere to all standards of confidentiality set forth in all laws, regulations, and standard operating procedures.
9. Acquire goods and services only as authorized by the management, operating contract, and standard operating procedures.
10. Carefully avoid any situation, which will compromise Isleta's competitive position or result in a potential conflict of interest.

VI. CONFLICTS OF INTEREST

A. Employee

1. A conflict of interest occurs when any employee is in a situation in which he/she can gain from information or from personal contact and such gain or potential gain would not be available except through employment with Isleta Gaming Operations. Such conflict of interest is to the benefit of the employee or to the detriment of the Gaming Operation, either monetarily or to its public image. All such situations are strictly prohibited.
2. Employees must avoid financial, business, and personal relationships which might be opposed to Isleta Gaming Operation interests or which might impair independent judgment related to Isleta Gaming matters.
3. Every Isleta Gaming Operation employee who has an interest in, or a personal relationship with, a supplier, vendor, other employee, or Commission employee must report this fact and carefully follow any precautionary steps established by management and/or this regulation. The Isleta Gaming Operation Human Resource Department Standard Operating Procedure Manual details the policies and procedures for reporting possible conflicts of interest and outside employment.
4. All Isleta Gaming Operation employees are prohibited from participating or engaging in any business or activity or providing services outside the Isleta Gaming Operation which are in any way similar to the work he/she does for Isleta.

5. All Isleta Gaming Operation employees are strictly prohibited from receiving any compensation, loan, gift, benefit, or unusual hospitality of any value from any patron, supplier, vendor, other employee, or official to the Isleta Gaming Operation. (*See IGCR, Chapter 16, Gifts, Gratuities, & Solicitations, hereto, for further details*)
6. All Isleta Gaming Operation employees are strictly prohibited from disclosing, revealing, or sharing, in any way or form, confidential information, proprietary information, or inside information which may give an unfair advantage or benefit to a patron, vendor, official, or another employee when pursuing transactions, employment, employment promotions or activities with the Isleta Gaming Operation.
7. An employee in any management position will not directly supervise, in any way or form, an immediate family member in a subordinate position.
8. An employee in any management or authority position will not preside over or participate in a disciplinary process, in any way, of an immediate family member in a subordinate position. This includes, but is not limited to, grievances, disputes, etc.
9. An employee in any management or authority position will not preside over or participate in the evaluation process, in any way, of an immediate family member in a subordinate position. This includes, but is not limited to, employment evaluations, promotions, pay raises, etc.
10. An employee in any management or authority position will not participate in any business transaction, in any way or form, with a vendor who is an immediate family member.
11. In the event that a situation arises in which an employee, in any management or authority position, is related to a subordinate employee or business vendor, that employee will immediately excuse himself/herself from participating in any such proceeding and/or transaction and advise the other party that this situation needs to be dealt with by an objective individual(s) higher in the chain-of-command of the Isleta Gaming Operation. This may deem it necessary that the Gaming Management Board, Governor, or Tribal Council preside over said situation, proceeding, or transaction.

B. Vendor

1. A conflict of interest occurs when any vendor is in a situation in which they can gain from information or from personal contact and such gain or potential gain would not be available except through said contact with the Isleta Gaming Operation. Such conflict of interest is to the benefit of the vendor or to the detriment of the Isleta Gaming Operation, either monetarily or to its' public image. All such situations are strictly prohibited.
2. Vendors must avoid financial, business, and personal relationships with Isleta Gaming personnel which might be opposed to Isleta Gaming Operation interests or which might impair the independent judgment of such personnel related to Isleta Gaming matters.
3. All vendors who have an interest in or a relationship with an employee, of the Isleta Gaming Operation must report this fact and carefully follow any precautionary steps established by the Commission. The Isleta Gaming Commission Regulation Chapter 18, Section VI, B, 4, below, details the policies and the procedures for reporting possible conflicts of interest.
4. Vendors must report any conflict of interest or potential conflict of interest on the Vendor Licensing Application. In the event a potential conflict of interest arises at a later date, the Vendor must submit, in writing, all pertinent details of such a conflict, to the Commission. The Commission will then, in its discretion, address such a potential conflict in writing, via hearing or other acceptable method.
5. A vendor will not perform, propose to perform, or participate in any business transaction directly with an immediate family member who is employed by the Isleta Gaming Operation.
6. All vendors are strictly prohibited from giving or offering or proposing to offer any compensation, loan, gift, gratuity, benefit, or unusual hospitality of any value to any Commissioner, Commission staff member, Tribal Official, or Isleta Gaming Operation employee, with whom they are performing any activity or transaction.

C. Commissioner's, Commission Staff, and Tribal Officials

1. A conflict of interest occurs when any Commissioner, Commission staff member, or Tribal Official is in a situation in which he/she can gain from information or from personal contact and such gain or potential gain would not be available except through association with the Isleta Gaming Operation. Such conflict of interest is to the benefit of the Commissioner, staff member, or Tribal Official or to the detriment of the Isleta Gaming Operation, either monetarily or to its public image. All such situation are strictly prohibited.
2. Commissioner's, Commission Staff, and Tribal Officials must avoid financial, business, and personal relationships which might be opposed to Isleta Gaming Operation interests or which might impair independent judgment related to Isleta Gaming matters.
3. Each Commissioner, Commission staff member, or Tribal Official who has an interest in or a relationship with, a vendor, supplier or an employee of the Isleta Gaming Operation must report this fact and carefully follow any precautionary steps established by the Isleta Gaming Commission. The Isleta Gaming Commission Regulation, Chapter 18, Section C, 4, below, details the policies and procedures for reporting possible conflicts of interest.
4. Commissioners, Commission staff members, and Tribal Officials must report all conflicts of interest or potential conflicts of interest, in writing, via interoffice memo, letter, etc., to the appropriate Commissioner or Tribal Official. The Commission will then, if necessary, address such a potential conflict in writing, via hearing or other acceptable method.
5. In the event that a situation arises in which a Commissioner, Commission staff member, or Tribal Official is related, through immediate family ties, to a subordinate Commission employee, Isleta Gaming Operation employee, or business vendor, that Commissioner, Commission staff member, or Tribal Official will immediately excuse himself/herself from participating in any proceeding and/or transaction and advise the other party that this situation needs to be dealt with by an objective individual(s) either on the same level or higher in the chain of command of the Isleta Gaming Commission or Isleta Gaming Organization. This may, from time-to-time, deem it necessary that the Governor or Tribal Council preside over said situation, proceeding, or transaction.

6. A Commissioner, Commission staff member, or Tribal Official will not perform, propose to perform, or participate in any business transaction directly with an immediate family member who is a vendor to or employed by the Isleta Gaming Operation.
7. All Commissioners, Commission staff members, and Tribal Officials are strictly prohibited from giving or offering or proposing to offer any compensation, loan, gift, gratuity, benefit, or unusual hospitality of any value to another Commission staff member, Tribal Official, or Isleta Gaming Operation employee, vendor, or patron with whom they are performing any activity or transaction.

VII. Outside Employment

A. Employees

1. In general, outside employment is an approved activity if:
 - a. it is in a field not directly related to the Isleta Gaming Operation,
 - b. it will not interfere with the proper and effective performance of an individual's duties performed for the Isleta Gaming Operation,
 - c. it will not create or appear to create a conflict of interest, and
 - d. it will not subject the Isleta Gaming Operation to public criticism or embarrassment.
2. When determining whether outside employment should be approved or disapproved, the Isleta Gaming Operations General Management should consider the following:
 - a. current and past job performance,
 - b. attendance and tardiness records,
 - c. the reliability of the employee,
 - d. the appropriateness of the activity,
 - e. possible embarrassment to Isleta, and
 - f. all conflict of interest issues, i.e., Is it a field not directly related to the work performed for the Isleta Gaming Organization? Is it for a competitor of the Isleta Gaming Organization? Could confidentiality or proprietary information be an issue?

3. Employees shall not engage in outside employment, that is, perform work for pay or other compensation if such employment:
 - a. creates, or appears to create, a conflict of interest
 - b. in any manner interferes with the proper and effective performance of Isleta Gaming Operation duties.
 - c. is in a field directly related to the Gaming industry.
4. Employees of the Isleta Gaming Operation must disclose, in advance and in writing, all consulting or other outside employment, including self-employment, that the employee proposes to undertake. The proposed consulting or other outside employment shall not begin prior to approval by the employee's Department Manager and the General Manager. This approval must be in writing and a copy placed in the employee's Human Resource file.
5. All employees are required to report and obtain approval, in writing, for any outside employment, consulting, or other comparable employment services prior to participating or engaging in the activity.
6. In the event outside employment is approved, it is the employees responsibility to continuously keep the Isleta Gaming Operation informed of any and all changes in that outside employment throughout their tenure with the Isleta Gaming Operation.
7. Outside employment being approved for a particular occupation does not constitute approval for another occupation. Each time an employee changes outside employment he/she must report and obtain approval in accordance with this regulation and applicable SOP. *(See Subsection 5, herein, above)*
8. Outside employment that is not related to the Isleta Gaming Operation is generally acceptable as long as the activity does not interfere with the employee's effective performance of their jobs, and the employee does not use Isleta Gaming Operation resources or time to accomplish the tasks.

B. Commissioner's and Commission Staff

1. Employees shall not engage in outside employment, that is, perform work for pay or other compensation if such employment:

- a. creates, or appears to create, a conflict of interest
 - b. in any manner interferes with the proper and effective performance of Isleta Gaming Commission duties.
 - c. is in a field directly related to Gaming.
2. Commissioners or Commission staff members must disclose, in advance, all consulting or other outside employment, including self-employment, that the employee proposes to undertake. The proposed consulting or other outside employment shall not begin prior to approval by both the employee's supervisor and the Tribal Governor. *(For complete details see Pueblo of Isleta Personnel Policies and Procedures Manual, Policy No. 216, Outside Employment)*

VIII. ENFORCEMENT ACTIVITY

- A. The Commission reserves the right to enforce this policy as follows:
 1. an imposition of a fine of no less than fifty dollars (\$50.00) and no more than five hundred dollars (\$500.00) for employees;
 2. an imposition of a fine of no less than five hundred dollars (\$500.00) and no more than twenty-five thousand dollars (\$25,000.00) for vendors;
 3. disciplinary action up to and including suspension or revocation of any employee gaming license;
 4. disciplinary action up to and including suspension or revocation of any vendor gaming license. This includes, but is not limited to, suppliers, corporations, partnerships, companies, firms, contractors, subcontractors, etc. and their employees. Not allowing the aforementioned entities on premises (banishment);
 5. the placing of restriction and/or conditions on any gaming license;
 6. banishment from the Gaming Operation(s);
 7. criminal prosecution; and/or
 7. the combination of any of the above.

IX. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

A. All Commissioner's, Commission staff and any Isleta Gaming Operations Management, Employees, and Vendors are subject to the following action:

1. Refusal to comply or violation of this policy.
 - Fine, denial, suspension, revocation, termination of and/or restrictions on any Gaming License.
 - Banishment and/or criminal prosecution of any individual or Entity.

X. ACKNOWLEDGMENTS

Employee compliance with this Regulation is a condition of employment at or with the Isleta Gaming Operation or Isleta Gaming Commission. Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, nor shall any provisions of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealings, either expressed or implied.

Vendor compliance with this Regulation is a condition of performing business at or with the Isleta Gaming Operation. Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or vendor, of any business dealings or any continued business dealings whatsoever, nor shall any provision of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of business expressed or implied, or any obligation of business rights created by covenants of good faith and fair dealings, either expressed or implied.

Compliance with this Regulation by all Tribal Officials is mandatory.

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate nor shall it constitute any waiver of or limitation on all employees and vendors responsibility to obtain a Gaming License prior to beginning work or performing business for or with the Casino.

To the fullest reasonable extent possible, confidentiality is to be maintained in all application of this policy.

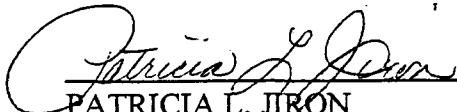
This policy may be amended as necessary to meet the interests of the objectives of this policy as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.

CERTIFICATION

We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulation, Chapter 18, Code of Conduct, was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant

Chairman


PATRICIA L. JIRON
Vice-Chairman

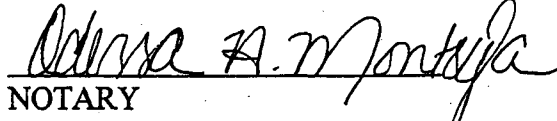

ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC STATE OF NEW MEXICO
My commission expires: May 18, 2002


NOTARY

My Commission Expires: May 08, 2002

Pueblo of Isleta Gaming Commission Regulation

(Revised December 16, 1999)



Chapter 19

Identification (ID) Badges

Pueblo of Isleta Gaming Commission' Regulation

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Chapter 19

Identification (ID) Badges

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Tribal Resolution 95-03 enacted January 28, 1995 and any ordinance(s) adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

II. PURPOSE

The purpose of this regulation is to provide a comprehensive set of guidelines for the identification of each employee or vendor, to ascertain the immediate status of each employee or vendor, and to control access to sensitive areas of any Pueblo of Isleta Gaming Operation.

III. SCOPE

This regulation pertains to all functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other Tribal Resolution or Ordinance adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

This regulation applies to all employees and vendors of all Pueblo of Isleta Gaming Enterprises, Facilities, and/or Operation's which includes but is not limited to the Isleta Gaming Palace and Palace West. This regulation does not apply to other Tribal entities or agencies within the Pueblo of Isleta Tribal Government.

IV. DEFINITIONS

The following definitions are intended to clarify the items covered in this regulation. Throughout this document the use of these definitions in the singular, also includes the plural.

Agent - A person, corporation, or entity authorized by another to act for or on behalf of him/her or an agency; one entrusted with another's business, affairs, and/or dealings.

Commission/Gaming Commission/Isleta Gaming Commission – pertains to the Chairman, Vice-Chairman, or Secretary-Treasurer, in whole or individually, of the Isleta Gaming Commission. See the Pueblo of Isleta Gaming Commission By-laws enacted April 27, 1998.

Commissioner(s) - An individual duly appointed by the Pueblo of Isleta Tribal Council to serve as one (1) of three (3) members of the Isleta Gaming Commission.

Commission Staff - including but not limited to, a group of employees, assistants, agents, and clerks to an officer, director, executive, or another person in authority. The personnel who carry out a specific duty/duties in aide of or on behalf of a Commissioner(s).

Employee - A person in the service of the Isleta Gaming Industry under any contract of hire, expressed or implied, oral or written, where the employer has the power or right to control and direct the employee in the material details of how the work is to be performed.

IGCR - abbreviation for the Isleta Gaming Commission Regulations.

Management - The act, manner, or practice of managing; handling, supervision, or control of the Isleta Gaming Operation(s). The person or persons who control or direct the Isleta Gaming Palace, its subsidiary(s), or any part of the Gaming Operation/enterprise.

Patron - one who buys goods and services; a customer, internal or external.

Sensitive Areas - include, but are not limited to, the Vault, Cage, MIS, Accounting, Internal Audit, Surveillance, Commission, and all non-public areas of any Isleta Gaming Operation facility or premises.

Vendor - including but not limited to, a merchant, retail dealer, supplier, importer, wholesale distributor, corporation, entity; one who buys to sell; a seller. A seller of goods/products and services.

V. ID BADGE POLICY

A. Employee

1. All employees of the Isleta Gaming Operation must possess and wear on their outer garment, an Identification Badge (herein after, ID Badge) issued by the Commission. The Isleta Gaming Palace Surveillance Department is the only exception to this policy. All Surveillance staff must adhere to Section V. (C) herein below.
2. All employee Temporary ID Badges will consist of the following information:
 - a. The Pueblo of Isleta Logo;

- b. The words, Isleta Gaming Palace;
 - c. The employees name;
 - d. Department name
 - e. Personal Photo.
 - f. The letter T, meaning temporary badge.
 - g. The phrase: UNDER 21 (if applicable)
3. All Permanent Employee ID Badges will consist of the following information:

The front of this ID Badge will consist of:

- a. The Pueblo of Isleta Logo;
- b. The words, Isleta Gaming Palace;
- c. The employees name;
- d. Department name;
- e. Personal Photo;
- f. The phrase: UNDER 21 (if applicable)

The back of this ID Badge will consist of:

- a. Pueblo of Isleta Logo;
- b. The words, PUEBLO OF ISLETA GAMING COMMISSION;
- c. The words, EMPLOYEE GAMING LICENSE;
- d. The employees name;
- e. Date of Issue;
- f. License number;
- g. Expiration date.

4. All employee ID Badges must be worn on the front torso above the waist, but no higher than the neck. Employee ID Badges may not be worn on arms or attached to short sleeves, etc.
5. All employees must visibly wear their ID Badge at all times while on the premises or inside the facility of any Isleta Gaming Operation (*See Number 3 above*). This includes, but is not limited to, working hours, mandatory meetings or training's taking place on any Isleta Gaming Operation premises, picking up a paycheck, etc.
6. No employee is allowed on the premises or in the facility of any Isleta Gaming Operation without an ID Badge. No exceptions!

7. Employees shall not wear, for any reason, any ID Badge not issued to that particular employee.
8. Only the Isleta Gaming Commission may issue an Employee ID Badge.
9. In the event an employee neglects to bring their ID Badge to work. That employee must be immediately sent home to obtain and return with their ID Badge.
10. In the event an employee loses their ID Badge and the Commission Office is closed, Security may issue a Visitors Badge for that immediate work shift. However, the employee must report to the Isleta Gaming Palace, Human Resource Department to obtain an Authorization for Payroll Deduction form, as soon as it opens on the next business day. With the aforementioned form or a copy thereof, the employee must then report to the Office of the Isleta Gaming Commission as soon as possible. This situation will be written up as a violation of procedure if the employee fails to appear at the Gaming Commission to obtain a new ID Badge.
11. Various Isleta Gaming Operation employees have access to highly sensitive areas of the Casino. Therefore, it is imperative that the Security Department verify the identity of all individuals carrying a Employee ID Badge, through visual observance or, if necessary, detainment of said individual before allowing access to such sensitive areas.
12. In the event an employee, voluntarily or involuntarily terminates their employment with the Isleta Gaming Operation, the issued ID Badge (regardless of type) must be returned to the Isleta Gaming Operation Human Resource Department before any final paycheck is issued to the individual. Thereafter, the issued ID Badge(s) is to be kept in that employees individual Human Resource file.

B. Vendors

1. All vendors and/or their agents conducting business, of any nature, with the Isleta Gaming Operation must possess and wear on their outer garment, an Identification Badge (herein after, ID Badge) issued by the Isleta Gaming Commission.
2. All Temporary Vendor Permits (ID Badges) will consist of the following information:

- a. The Pueblo of Isleta Logo;
- b. The words Pueblo of Isleta Gaming Commission;
- c. The words, Temporary Vendor Permit;
- d. The name of the vendor,
- e. Issue Date;
- f. Expiration Date;
- g. Authorized by: (insert Chairman's name)

NOTE: The Commission, in its discretion, may choose not to issue a Temporary Vendor Permit if the time in processing the background check is immediate or minimal.

3. All Vendor License Certificates (Permanent ID Badges) will consist of the following information:
 - a. The Pueblo of Isleta Logo;
 - b. The words, Pueblo of Isleta Gaming Commission;
 - c. The words, Vendor License Certificate;
 - d. The name of the vendor;
 - e. Issue Date;
 - f. Expiration Date;
 - g. License Certificate Number;
 - h. Authorized by: (insert Chairman's name)
4. All vendor ID Badges must be worn on the front torso above the waist, but no higher than the neck. Vendor ID Badges may not be worn on arms or attached to short sleeves, etc.
5. All vendors must visibly wear their ID Badge at all times while on the premises or inside the facility of any Isleta Gaming Operation (*See Number 3 above*). This includes, but is not limited to, working hours, mandatory meetings or training's taking place on any Isleta Gaming Operation premises, etc.
6. No vendor is allowed on the premises or in the facility of any Isleta Gaming Operation without an ID Badge. No exceptions!
7. Vendors shall not wear any ID Badge not issued to that particular vendor.
8. Only the Isleta Gaming Commission may issue a Vendor ID Badge.

9. In the event a vendor neglects to bring their ID Badge on premises, that vendor must report to the Isleta Gaming Commission.
10. In the event an vendor loses their ID Badge and the Commission Office is closed, Security may issue a Visitors Badge for that immediate situation. However, the vendor must report to the Office of the Isleta Gaming Commission as soon as it opens on the next business day. This situation will be written up as a violation of procedure if the vendor fails to appear at the Gaming Commission to obtain a new ID Badge.
11. Select vendors have access to highly sensitive areas of the Casino. Therefore, it is imperative that the Security Department verify the identity of all individuals carrying a Vendor ID Badge, through brief detainment of said individual before allowing access to such sensitive areas.
12. In the event a vendor, voluntarily or involuntarily terminates their business dealings with the Isleta Gaming Operation, the issued ID Badge (regardless of type) must be returned to the Office of the Isleta Gaming Commission before any final or outstanding payment is issued to the vendor. Thereafter, the issued ID Badge(s) is to be kept in that vendors individual Commission file.

C. Isleta Gaming Commission and Commission Staff Members

1. All Commissioners and Commission staff members must, during normal business hours, possess on their "person", an Identification Badge (herein after, ID Badge) issued by the Isleta Gaming Commission.
2. All Commission ID Badges will consist of the following information:
 - a. The Pueblo of Isleta Logo;
 - b. The words, ISLETA GAMING COMMISSION;
 - c. The employees name;
 - d. Department name;
 - e. Personal Photo.

4. All Commission ID Badges must be on the Commissioners or Commission staff members "person" at all times while on the premises or inside the facility of any Isleta Gaming Operation.
7. Commissioners and Commission staff members shall not wear, for any reason, any ID Badge not issued to that particular individual.
8. Only the Isleta Gaming Commission may issue a Commission ID Badge.
9. In the event a Commissioner or Commission staff member neglects to bring their ID Badge to work. That individual must be immediately sent home to obtain and return with their ID Badge.
10. In the event a Commissioner or Commission staff member is called into work for an emergency situation and neglects to bring their ID Badge, identification, in the form of a Drivers License, etc., to the appropriate Security Department Official shall suffice and a Visitors Badge will be issued thereto.
11. The Commissioner's and their designated agents have unrestricted access to all areas of any Pueblo of Isleta Gaming Operation. Therefore, it is imperative that the Security Department verify the identity of all individuals carrying a Commission ID Badge, through visual observance or, if necessary, detainment of said individual before allowing access to such sensitive areas.
12. In the event a Commissioner or Commission staff member, voluntarily or involuntarily terminates their employment with the Isleta Gaming Commission, the issued ID Badge must be returned to the Isleta Gaming Commission before any final paycheck is issued to the individual. Thereafter, the issued ID Badge is to be kept in that staff members individual Commission file.

VI. ISSUING ID BADGES

A. Employee

1. At the time of application and coinciding with the issuance of a Temporary Work Permit (*See IGCR Chapter 5, Licensing*), a Temporary ninety (90) day Employee ID Badge will be issued to the applicant, pending the completion of a favorable preliminary background investigation. (*See Section V, A(2), above*)

2. When the background check is complete and if a favorable suitability determination is made by the Isleta Gaming Commission, a Permanent Employee ID Badge (*See Section V, A(3), above*) shall be issued for a period of three (3) years coinciding with the valid dates of the newly issued Employee Gaming License. (*See Chapter 5, Licensing*)
3. In the event an employee, voluntarily or involuntarily terminates their employment with the Isleta Gaming Operation, the issued ID Badge (regardless of type) must be returned to the Isleta Gaming Operation Human Resource Department before any final paycheck is issued to the individual. Thereafter, the issued ID Badge(s) is to be kept in that employees individual Human Resource file.

B. Vendors

1. At the time of application, a ninety (90) day Temporary Vendor Permit (ID Badge) will be issued to a vendor, pending the completion of a favorable preliminary background investigation. (*See Section V, B(2), above and IGCR Chapter 5, Licensing, hereto*)
2. When the background check is complete and if a favorable suitability determination is made by the Isleta Gaming Commission, a permanent ID Badge (*See Section V, B(3), above*) shall be issued for a period of two (2) years coinciding with the valid dates of the newly issued Vendor Gaming License. (*See Chapter 5, Licensing*)
3. In the event a vendor, voluntarily or involuntarily terminates their business transactions with the Isleta Gaming Operation, the issued ID Badge(s), regardless of type, must be returned to the Office of the Isleta Gaming Commission before any final or outstanding payment is issued to the vendor. Thereafter, the issued ID Badge(s) is to be kept in that vendors individual Commission file.

C. Commissioners and Commission Staff Members

1. At the time of hire, a Commission ID Badge will be issued to a Commissioner and Commission staff Members.
2. In the event a Commissioner or Commission staff member, voluntarily or involuntarily terminates their employment with the Isleta Gaming Commission, the issued ID Badge must be returned

to the Isleta Gaming Commission before any final paycheck is issued to the individual. Thereafter, the issued ID Badge is to be kept in that staff members individual Commission file.

VII. ID BADGE FEES

A. Employees

1. The cost of the initial Temporary ID Badge and the initial Permanent ID Badge (if applicable) are included in the employee licensing fee. (*See Chapter 5, Licensing*)
2. In the event an employee loses their Commission issued ID Badge, a new ID Badge may be obtained from the Office of the Isleta Gaming Commission for a nonrefundable ten dollar (\$10.00) replacement fee, Monday - Friday between the hours of 8:00 AM and 4:30 PM.

NOTE: This ten dollar (\$10.00) replacement fee is for the Commission issued ID Badge only. This fee does not include any replacement fee that the Isleta Gaming Palace Human Resource Department may charge for the Bar Code Badge issued to employees for time recording purposes.

B. Vendors

1. The cost of one (1) initial temporary ID Badge (if applicable) and one (1) initial Permanent ID Badge issued by the Commission are included in the vendor licensing fee. (*See Chapter 5, Licensing*)
2. Vendors requiring more than one (1) initial ID Badge (temporary or permanent) issued by the Commission must pay a nonrefundable five dollars (\$5.00) fee per additional Badge.
3. In the event a vendor loses their Commission issued ID Badge (regardless of type), a new ID Badge may be obtained from the Office of the Isleta Gaming Commission for a nonrefundable ten dollar (\$10.00) replacement fee, Monday - Friday between the hours of 8:00 AM and 4:30 PM.

C. Commissioners and Commission Staff Members

1. There will be no fee charged to a Commissioner or Commission staff member for the initial Commission ID Badge.

2. In the event a staff member loses their ID Badge, a new ID Badge may be obtained from the Office of the Isleta Gaming Commission for a nonrefundable ten dollar (\$10.00) replacement fee, Monday - Friday between the hours of 8:00 AM and 4:30 PM.

VIII. ENFORCEMENT ACTIVITY

- A. The Commission reserves the right to enforce this policy as follows:
 1. an imposition of a fine of no less than fifty dollars (\$50.00) and no more than five hundred dollars (\$500.00) for employees;
 2. an imposition of a fine of no less than five hundred dollars (\$500.00) and no more than twenty-five thousand dollars (\$25,000.00) for vendors;
 3. disciplinary action up to and including suspension or revocation of employee gaming license;
 4. disciplinary action up to and including suspension or revocation of vendor gaming license;
 5. the placing of restrictions or conditions on the licensee's retention of their gaming license; and/or
 6. the combination of any of the above.

IX. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

- A. All Management, Employees, and Vendors of the Isleta Gaming Operation and Commission Staff are subject to the following action:
 1. Refusal to comply or violation of this policy. Fine, denial, suspension, revocation, termination of, and/or restrictions on any Gaming License.

X. ACKNOWLEDGMENTS

Employee compliance with this Regulation is a condition of employment at or with the Isleta Gaming Operation. Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or any employee, of any employment or any continued employment whatsoever, nor shall any provisions of this Regulation constitute

or be interpreted by any party or tribunal to constitute any contractual rights of employment expressed or implied, or any obligation of employment rights created by covenants of good faith and fair dealings, either expressed or implied.

Vendor compliance with this Regulation is a condition of performing business at or with the Isleta Gaming Operation. Nothing in this Regulation shall be construed as any guarantee or promise to any applicant or vendor, of any business dealings or any continued business dealings whatsoever, nor shall any provision of this Regulation constitute or be interpreted by any party or tribunal to constitute any contractual rights of business expressed or implied, or any obligation of business rights created by covenants of good faith and fair dealings, either expressed or implied.

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate nor shall it constitute any waiver of or limitation on all employees and vendors responsibility to obtain an I.D. Badge prior to beginning work or performing business for or with any Isleta Gaming Operation.

To the fullest reasonable extent possible, confidentiality is to be maintained in all applications of this Regulation.

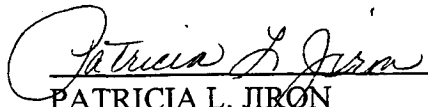
This Regulation may be amended as necessary to meet the interests of the objectives of this Regulation as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.

CERTIFICATION


We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulations, Chapter 19, Identification (ID) Badges was duly **REVISED, ORDAINED, ADOPTED, AND RATIFIED** on this the 16th day of December, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 2 voting for, 0 voting against, and 0 abstaining.

Vacant

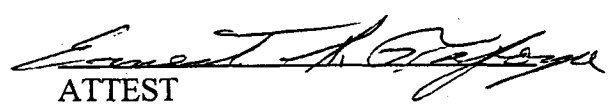
Chairman



PATRICIA L. JIRON
Vice-Chairman



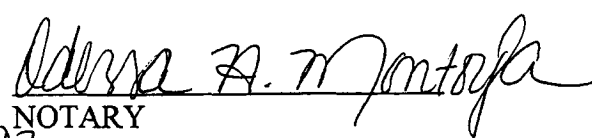
ERNEST C. JARAMILLO
Secretary-Treasurer


ATTEST

Subscribed and sworn before me on this the 16th day of December, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO
My commission expires:



NOTARY

My Commission Expires: May 08, 2002

**Pueblo of Isleta Gaming Commission
Regulation**

(Adopted March 05, 1999)

Chapter 20

**Training
Requirements**

Pueblo of Isleta Gaming Commission Regulations

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Chapter 20

Training Requirements

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I. AUTHORITY

The Isleta Gaming Commission has the authority and jurisdiction to promulgate regulations in order to ensure and protect the integrity and assets of all gaming operations of the Pueblo of Isleta. The Pueblo of Isleta grants this authority to the Isleta Gaming Commission pursuant to Tribal Resolution 95-03 enacted January 28, 1995 and any ordinance(s) adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

II. PURPOSE

The purpose of this regulation is to provide a comprehensive set of guidelines to act as a Minimum Internal Control, in which the Isleta Gaming Operation must meet or exceed, in providing adequate and timely training to all employees of any Isleta Gaming Operation.

III. SCOPE

This regulation pertains to all functions and duties over which the Commission retains jurisdiction and authority pursuant to Isleta Tribal Resolution 95-03 and any other Tribal Resolution or Ordinance adopted thereto, the Indian Gaming Regulatory Act of 1988, and the Pueblo of Isleta/State of New Mexico Indian Gaming Compact.

This regulation applies to all Pueblo of Isleta Gaming Enterprises, Facilities, and/or Operations which includes but is not limited to the Isleta Gaming Palace and Palace West. This regulation does not apply to other Tribal entities or agencies within the Pueblo of Isleta Tribal Government.

IV. DEFINITIONS

The following definitions are intended to clarify the items covered in this regulation. Throughout this document the use of these definitions in the singular, also includes the plural.

Commission - the Isleta Gaming Commission.

IGCR - the Isleta Gaming Commission Regulations.

New Hire - any individual that has been hired for employment purposes by any Isleta Gaming Operation.

SOP's - the Standard Operating Procedures of any Isleta Gaming Operation.

Subordinate Employee - includes, but is not limited to, Supervisors, non-exempt employees, regular employees, full-time employees, part-time employees, seasonal employees, etc. of any Isleta Gaming Operation.

Training - the process in which all employees, regardless of position, of any Isleta Gaming Operation will be informed and educated on all Commission Regulations, Isleta Gaming Palace Standard Operating Procedures (SOP's), and made aware of the behavior or performance required by the Palace to adequately perform in a particular position.

Upper Level Management - includes, but is not limited to, the General Manager, Department Managers, and Directors (if applicable).

V. POLICY

It is imperative that all employees of any Isleta Gaming Operation be fully informed and aware of all Isleta Gaming Commission Regulations and Isleta Gaming Palace Standard Operating Procedures to ensure an effective and productive working environment in any Isleta Gaming Operation.

A. General Manager

1. It is the responsibility of the Isleta Gaming Palace General Manager to assure that all Upper Level Management employees are fully trained and aware of all Isleta Gaming Commission Regulations and Isleta Gaming Palace Standard Operating Procedures. This shall include but is not limited to, the cross training of upper level management employees on interdepartmental Standard Operating Procedures.
2. The Isleta Gaming Palace General Manager shall hold a mandatory training session(s) for all Upper Level Management employees at least once a year, or as deemed necessary by circumstances. This training session(s) shall be sufficient enough in duration to review, at least, all materials mentioned in this regulation, allow for questions and answers posed to the provider of said training, and may provide for a test of said materials, if necessary.
3. Due to the fact that the material(s) to be covered is extensive, the training session(s) may be held consecutively over a period of days or even several weeks, but it is not to exceed more than ninety (90) calendar days in duration.

4. The Isleta Gaming Palace General Manager shall be responsible for documenting all training received by each Upper Level Management employee in order to maintain a record of job knowledge, training received by the management employee, the results of the training, if applicable, and forward said documentation to the Human Resource Department to be placed in the Upper Level Management employees official file. (For information on training forms see Section VI, The Role of the Human Resource Department, below)
5. The Isleta Gaming Palace General Manager will keep one (1) copy of the Isleta Gaming Commission Regulations and one (1) copy of each Department's Standard Operating Procedures in his/her administrative office or the general vicinity thereof.
6. In the event a new member of upper level management is hired by the Isleta Gaming Palace and the aforementioned training(s) has been concluded, it is the responsibility of the General Manager to train each new hire on all Isleta Gaming Commission Regulations and Isleta Gaming Palace Standard Operating Procedures prior to the new hire being allowed to take authority and begin the newly acquired position with any Isleta Gaming Operation.
7. Ignorance of any Commission Regulation or Isleta Gaming Palace Standard Operating Procedure shall not be acceptable as an excuse for a violation of any Regulation, policy, or procedure. If the General Manager does not know a regulation or policy or procedure, the General Manager should, at least, know where to look it up in order to make an informed decision on any situation.

B. Upper Level Management

1. It is the responsibility of the Isleta Gaming Palace Upper Level Management to assure that all subordinate employees are fully trained and aware of all Isleta Gaming Commission Regulations and Isleta Gaming Palace Standard Operating Procedures. This shall include but is not limited to, the cross training of subordinate employees on interdepartmental Standard Operating Procedures, as applicable.
2. Each Isleta Gaming Palace Department Manager shall hold a mandatory training session(s) for all subordinate employees at least once a year, or as deemed necessary by circumstances. This training session(s) shall be sufficient enough in duration to review,

at least, all materials mentioned in this regulation, allow for questions and answers posed to the provider of said training, and may provide for a test of said materials, if necessary.

3. Due to the fact that the material(s) to be covered is extensive, the training session(s) may be held consecutively over a period of days or even several weeks, but it is not to exceed more than ninety (90) calendar days in duration.
4. Each Isleta Gaming Palace Department shall maintain a Training Profile Folder on each of its subordinate employees in order to maintain a record of the training received by the employee and the results of the training. It is the responsibility of the Department Manager to assure that this folder is implemented and maintained. The Department Manager shall send all original documents on all pertinent information concerning training to the Human Resource Department to be placed in the employee's official file. The Department Manager shall retain a copy of all original documents on all pertinent information concerning training on each subordinate employee to be placed in the departmental Training Profile Folder. (For information on training forms see Section VI, The Role of the Human Resource Department, below)
5. Each Isleta Gaming Palace Department Manager will keep one (1) copy of the Isleta Gaming Commission Regulations and one (1) copy of each Departments Standard Operating Procedures (as applicable) in his/her administrative office or the general vicinity thereof.
6. Each Isleta Gaming Palace Department Manager shall make available, for continuous educational purposes, all materials covered by this regulation to all employees upon request.
7. Each Isleta Gaming Palace Department Manager shall be responsible for writing and implementing a Basic Tasks Manual, detailing the policies and procedures for the performance of the duties of the subordinate employees and shall give a copy to each employee. This Basic Tasks Manual shall be considered only as an aide in assisting employees in the performance of their duties and is not all inclusive of duties which may be assigned from time to time by the Isleta Gaming Operation.
8. In the event a new subordinate employee is hired by the Isleta Gaming Palace and the aforementioned training(s) has been

concluded, it is the responsibility of the Department Manager to train each new hire on all Isleta Gaming Commission Regulations and Isleta Gaming Palace Standard Operating Procedures prior to the new hire being allowed to begin the position or assist patrons at any Isleta Gaming Operation.

9. Ignorance of any Commission Regulation or Isleta Gaming Palace Standard Operating Procedure shall not be acceptable as an excuse for a violation of any Regulation, policy, or procedure. If a Department Manager does not know a regulation or policy or procedure, that Department Manager should, at least, know where to look it up in order to make an informed decision on any situation or request the assistance of the General Manager.

C. Subordinate Employees

1. It is the responsibility of each Isleta Gaming Palace Employee to assure and adhere to all Isleta Gaming Commission Regulations and Isleta Gaming Palace Standard Operating Procedures. Mandatory training will be provided by the Isleta Gaming Palace to aide all employees in accomplishing this goal.
2. Each Isleta Gaming Palace Employee is responsible for attending any mandatory training session(s) provided by the Isleta Gaming Palace. This training session(s) shall allow for the review of, at least, all materials mentioned in this regulation, allow for questions and answers posed to the provider of said training, and may provide for a test of said materials in which the Isleta Gaming Palace may mandate that the employee pass by a certain percentage, before being allowed to begin the position.
3. Each Isleta Gaming Palace Employee may review the Isleta Gaming Commission Regulations and each Departments Standard Operating Procedures at any time upon request to a Supervisor or Department Manager.
4. In the event a new subordinate employee is hired by the Isleta Gaming Palace and the aforementioned training(s) has been concluded, it is the responsibility of the Department Manager to train each new hire on all Isleta Gaming Commission Regulations and Isleta Gaming Palace Standard Operating Procedures prior to the new hire being allowed to begin the position or assist patrons at any Isleta Gaming Operation.

5. Although training is provided for each Isleta Gaming Palace Employee, it is still the responsibility of each employee to know, be aware of, and adhere to all Isleta Gaming Commission Regulations and Isleta Gaming Palace Standard Operating Procedures. No Exceptions!
6. If an Isleta Gaming Palace Employee does not feel comfortable in the understanding of the newly acquired knowledge, it is the responsibility of the employee to bring this to the attention of their Supervisor and/or Department Manager, so that the employee may receive additional training as necessary.
7. Ignorance of any Commission Regulation or Isleta Gaming Palace Standard Operating Procedure shall not be acceptable as an excuse for a violation of any Regulation, policy, or procedure. If an employee does not know a regulation or policy or procedure, that employee should, at least, know where to look it up in order to make an informed decision on any situation or request the presence of a Supervisor for assistance.

VI. THE ROLE OF THE HUMAN RESOURCE DEPARTMENT

- A. It shall be the responsibility of the Human Resource Department to develop standardized training form(s), certificate(s) of completion, etc. for use by all department of the Isleta Gaming Palace. All original documents, except for an issued certificate, shall be kept in the employees Official Human Resource File. Any issued certificate, if applicable, is to be given to the employee with a copy to the Human Resources file. A copy of all documentation shall be kept and maintained in each departmental employee training profile folder.
- B. Any standardized training form developed by the Human Resource Department shall include, but is not limited to:
 1. date(s) of training,
 2. what the training entailed,
 3. signature of the Employee acknowledging that he/she received said training, and
 4. signature of the Department Manager.
- C. Any certificate issued on behalf of the Isleta Gaming Operation shall include, but is not limited to:
 1. the name: Isleta Gaming Palace

2. the words: Certificate of (insert the name of the type of training),
3. date(s) of training,
4. the signature of the Isleta Gaming Operation General Manager,
and
5. the signature of the provider of the training.

VII. PROCEDURE FOR DISTRIBUTION OF ISLETA GAMING COMMISSION REGULATIONS

- A. The Isleta Gaming Commission shall have thirty (30) calendar days from the date of enactment to inform, in writing, the General Manager of any newly created or amendment to any existing Commission Regulation. A complete copy of the changes shall be given to the General Manager.
- B. The Isleta Gaming Palace General Manager shall have thirty (30) calendar days from the date of receipt, to duplicate, disburse, and train all Upper Level Management on the above mentioned documents. A complete copy of the changes shall be given to the appropriate Upper Level Management and it is their responsibility to maintain and insert any new or amended Commission Regulation in their individual Departments SOP Manual.
- C. The Isleta Gaming Palace Upper Level Management shall have thirty (30) days from the date of receipt of said documents, to train all subordinate employees on the new or amended regulation. Thereafter, the Isleta Gaming Commission will begin checking of compliance and will enforce said regulation(s) or amendment(s) thereto.

VIII. PROCEDURE FOR DISTRIBUTION OF ISLETA GAMING PALACE STANDARD OPERATING PROCEDURES (SOP's)

- A. After all appropriate approvals are secured and finalized, the Isleta Gaming Palace General Manager shall have thirty (30) calendar days from the date of enactment to duplicate, disburse, and train the appropriate Upper Level Management of any newly created or amendment to any existing Isleta Gaming Palace Standard Operating Procedure. A complete copy of the changes shall be given to the appropriate Upper Level Management and it is their responsibility to maintain and insert any new or amended SOP in their individual departments SOP Manual.
- B. The Isleta Gaming Palace Upper Level Management shall have thirty (30) days from the date of receipt of said documents, to train all subordinate employees on the new or amended SOP(s). Thereafter, the Isleta Gaming Commission will begin checking for compliance and will enforce said Standard Operating Procedure or amendment(s) thereto.

IX. ENFORCEMENT ACTIVITY

- A. The Commission reserves the right to enforce this regulation as follows:
1. an imposition of a fine,
 2. disciplinary action up to and including suspension or revocation of employee gaming license,
 3. the placing of restrictions or conditions on the licensee's retention of their gaming license, and/or
 4. the combination of any of the above.

X. NOTICE OF DISCIPLINARY ACTION FOR POLICY VIOLATIONS

- A. All Management and Employees of the Isleta Gaming Operation are subject to the following action:
1. Refusal to comply or violation of this policy. Fine, denial, suspension, revocation, termination of, and/or restrictions on any Gaming License.

XI. ACKNOWLEDGMENTS

Nothing in this Regulation shall be interpreted as constituting any waiver of or limitation on the Tribe's right to invoke disciplinary measures as may be appropriate nor shall it constitute any waiver of or limitation on all employees responsibility to obtain training prior to beginning work for or with any Isleta Gaming Operation.

This Regulation may be amended as necessary to meet the interests of the objectives of this Regulation as may be determined, from time to time. All rights to further amend, refine, and redefine are specifically reserved to the Isleta Gaming Commission.

CERTIFICATION

We, the undersigned, do hereby certify that the foregoing Pueblo of Isleta Gaming Commission Regulations, Chapter 20, Training Requirements, was duly **ORDAINED, ADOPTED, AND RATIFIED** on this the 5th day of March, 1999, at a duly called meeting of the Gaming Commission of the Pueblo of Isleta, at which a quorum was present, with 3 voting for, 0 voting against, and 0 abstaining.

Ray W. Abeita
RAY W. ABEITA
Chairman

Patricia L. Jiron
PATRICIA L. JIRON
Vice-Chairman

Ernest C. Jaramillo
ERNEST C. JARAMILLO
Secretary-Treasurer

Ernest A. Grayson
ATTEST

Subscribed and sworn before me on this the 5th day of March, 1999.



OFFICIAL SEAL
ODESSA A. MONTOYA
NOTARY PUBLIC-STATE OF NEW MEXICO

Odessa A. Montoya
NOTARY

My commission expires: May 08, 2002

My Commission Expires: May 08, 2002