



MASSACHUSETTS GAMING COMMISSION
PUBLIC MEETING#321

September 30, 2020
9:00 a.m.

VIA CONFERENCE CALL NUMBER: 1-646-741-5293
PARTICIPANT CODE: 111 339 7899



Massachusetts Gaming Commission

101 Federal Street, 12th Floor, Boston, Massachusetts 02110 | TEL 617.979.8400 | FAX 617.725.0258 | www.massgaming.com



NOTICE OF MEETING and AGENDA
September 30, 2020 – 9:00 a.m.

PLEASE NOTE: Given the unprecedented circumstances resulting from the global Coronavirus pandemic, Governor Charles Baker issued an order to provide limited relief from certain provisions of the Open Meeting Law to protect the health and safety of individuals interested in attending public meetings. In keeping with the guidance provided, the Commission will conduct a public meeting utilizing remote collaboration technology. If there is any technical problem with our remote connection, an alternative conference line will be noticed immediately on our website: MassGaming.com.

Pursuant to the Massachusetts Open Meeting Law, G.L. c. 30A, §§ 18-25, notice is hereby given of a meeting of the Massachusetts Gaming Commission. The meeting will take place:

Wednesday, September 30, 2020
9:00 a.m.

Massachusetts Gaming Commission
VIA CONFERENCE CALL NUMBER: 1-646-741-5293
PARTICIPANT CODE: 111 339 7899

All documents and presentations related to this agenda will be available for your review on the morning of September 30, 2020 by [clicking here](#).

PUBLIC MEETING - #321

1. Call to order
2. Plainridge Park Casino License Renewal – Karen Wells, Executive Director
 - a. License Renewal Process – Ombudsman’s Office, Joseph Delaney, Construction Oversight Manager
 - b. Massachusetts Gaming Commission Staff Testimony
 - i) Investigation and Enforcement Bureau – Loretta Lillios, Interim Investigations and Enforcement Bureau Director; Bruce Band, Assistant Director/Gaming Agents Division Chief; Andrew Steffen, Senior Supervising Gaming Agent
 - ii) Gaming Enforcement Unit – Capt. Brian Connors, Commander Gaming Enforcement Unit
 - iii) Finance and Accounting Division – Derek Lennon, Chief Finance and Accounting Officer
 - iv) Legal Division – Todd Grossman, General Counsel



Massachusetts Gaming Commission

- v) Racing Division – Dr. Alex Lightbown, Director of Racing
- vi) Information Technology Division – Katrina Jagroop-Gomes, Chief Information Officer; Scott Helwig, Gaming Technical Compliance Manager
- vii) Workforce, Supplier and Diversity Development – Jill Griffin, Director of Workforce, Supplier and Development; Crystal Howard, Program Manager
- viii) Research and Responsible Gaming – Mark Vander Linden, Director of Research and Responsible Gaming
- ix) Ombudsman’s Office – Joseph Delaney, Construction Oversight Manager
- c. Review of License Conditions – Joseph Delaney, Todd Grossman
- d. Commission **VOTE**

3. Commissioner Updates

4. Other business – reserved for matters the Chair did not reasonably anticipate at the time of posting.

I certify that on this date, this Notice was posted as “Massachusetts Gaming Commission Meeting” at www.massgaming.com and emailed to: regs@sec.state.ma.us, melissa.andrade@state.ma.us.

September 28, 2020

Cathy Judd-Stein, Chair

Date Posted to Website: September 28, 2020 at 9:00 a.m.



Massachusetts Gaming Commission



MEMORANDUM REGARDING PPC's 1st RENEWAL APPLICATION

TO: Chair Cathy Judd-Stein
Commissioner Gayle Cameron
Commissioner Eileen O'Brien
Commissioner Bruce Stebbins
Commissioner Enrique Zuniga

FROM: Bruce Band, Asst Director of IEB
Burke Cain, IEB Field Manager
Andrew Steffen, Senior Supervising Gaming Agent

RE: Gaming Agents Division Report on PPC's Current Compliance

DATE: September 21, 2020

In the recent suitability review of PPC that was performed in connection with the renewal application, the IEB presented to the Commission an historical review of PPC's compliance in each of the categories discussed in this Memo. The Commission issued positive determinations of suitability on July 30, 2020. This Memo focuses on PPC's *current* compliance, as of the date of this Memo.

The Gaming Agent Division of the Investigations and Enforcement Bureau (IEB) submits this memorandum to the Massachusetts Gaming Commission (MGC or Commission) to report on its review of Plainridge Park Casino (PPC) compliance with certain requirements of the category 2 license. Specifically, this memorandum focuses on PPC's current compliance, with an emphasis on the following:

- A. Compliance with Approved System of Internal Controls
- B. Compliance with Floor Plan
- C. Compliance with Surveillance Plan
- D. Compliance with Slot Machine Operation Plan
- E. Compliance with credit procedures/suspension of credit policies
- F. Compliance with gaming beverage license



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A. Compliance with Approved System of Internal Controls

Pursuant to 205 CMR 138.02(7), each gaming licensee is required to implement and abide by its system of Internal Controls as approved by the Commission's Executive Director.

The IEB reviews PPC's Internal controls on a daily basis and certifies that PPC is currently in compliance with their Internal Controls.

B. Compliance with Floor Plan

Pursuant to 205 CMR 138.07(1) and in accordance with 205 CMR 138.02(7), each gaming licensee is required to include provisions for the production and updating of a floor plan for the gaming establishment.

The IEB reviews Plainridge Park Casino floorplan on a monthly basis and certifies that PPC is currently in compliance with their submitted floor plan.

C. Compliance with Surveillance Plan

In accordance with 205 CMR 141.01(1), each gaming licensee must submit a plan to the commission for the system of effective closed-circuit television (CCTV) surveillance of the gaming establishment.

The IEB reviews PPC's surveillance system daily and certifies that PPC is currently in compliance with their surveillance plan.

D. Compliance with Slot Machine Operation Plan

Pursuant to 205 CMR 143 and in accordance with 205 CMR 144, each gaming licensee shall be in compliance with their slot machine operation plan.

The IEB completes daily audits of the slot operation plan and finds that PPC is currently in compliance their slot machine operation plan.

E. Compliance with credit procedures/suspension of credit policies

Pursuant to 205 CMR 138.43 and in accordance with 205 CMR 138.02(7), a system of internal controls submitted by a gaming licensee shall include a description of its policies

and procedures governing the issuance of credit to a patron to take part in gaming activity at its establishment.

PPC has remained compliant with regards to credit procedures and the suspension of credit. The IEB has documented zero issues in relating to credit and they are currently in compliance.

F. Compliance with gaming beverage license

Pursuant to G.L. c. 23K, § 26, each gaming licensee shall be in compliance with the terms of their Alcoholic Beverage license.

The IEB has reviewed the terms of PPC's license and its obligations with respect to the service and storage of alcoholic beverages under 205 CMR 136 and 138.12 and monitors those areas on a daily basis. PPC is currently in compliance with all requirements.



MEMORANDUM REGARDING PPC's 1st RENEWAL APPLICATION

TO: Chair Cathy Judd-Stein
Commissioner Gayle Cameron
Commissioner Eileen O'Brien
Commissioner Bruce Stebbins
Commissioner Enrique Zuniga

FROM: Captain Brian Connors, Unit Commander
Gaming Enforcement Unit
Massachusetts State Police

RE: Gaming Enforcement Unit Report on PPC Compliance Over Term of Initial License

DATE: September 22, 2020

I. Introduction

Pursuant to Massachusetts General Laws Chapter 23K, section 6(c), *Officers and employees of the gaming enforcement unit of the state police assigned to the commission under section 70 of chapter 22C shall work with employees of the bureau, under the direction of the deputy director, to investigate violations of this chapter by a licensee or to investigate any activity taking place on the premises of a gaming establishment.*

The Gaming Enforcement Unit, working in concert with the Investigations and Enforcement Bureau (IEB), submits this memorandum to the Massachusetts Gaming Commission (MGC or Commission) to report on its review of Plainridge Park Casino's (PPC) compliance with certain requirements of the category 2 license. Specifically, this memorandum focuses on PPC's compliance over the five year term of its initial license, with an emphasis on the following:



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A. Compliance with Emergency and Critical Incident Response Plan

II. Compliance Over Five Year Term of Initial License

Since the opening of Plainridge Park Casino on July 24, 2015, the GEU has provided a 24/7 law enforcement presence during which it has worked closely with PPC's Security and Surveillance Departments, as well as with their management team to immediately respond to incidents and to ensure a safe environment for staff and patrons. The GEU has been in a position to consistently evaluate many facets of PPC's Emergency and Critical Incident Response Plan and can report that PPC staff have consistently demonstrated their ability to effectively respond to various incidents in compliance with this plan. Fortunately, PPC and the GEU have not had to address many significant and challenging scenarios outlined in PPC's Emergency and Critical Incident Response Plan. However, the GEU has consistently observed the manner in which PPC staff has handled specific incidents involving crowd control, enhanced security measures for special events, medical emergencies and coordination of responses by the GEU as well as local medical/fire/police services. The GEU can report that PPC has consistently handled these matters efficiently and safely. Additionally, since opening, PPC staff has appropriately and safely responded to the following incidents and situations effectively minimizing or eliminating any safety concerns:

- August 6, 2017 – Power outage for a brief period of time. No significant issues.
- March 3, 2018 - Power outage for a brief period of time. No significant issues.
- September 6, 2018 – Power outage for a brief period of time which affected surveillance stations within the GEU/IEB office. PPC personnel responded quickly and were able to promptly address and correct the interruptions.
- July 17, 2019 - Power outage for a brief period of time. No significant issues.
- March 14, 2017 – Snowstorm caused the closing of PPC from 1:00 AM to 7:00 AM. The shutdown and reopening were handled with no significant issues.
- March 15, 2020 – the COVID-related shutdown of the facility and implementing enhanced security measures at that time. The shutdown was handled with no significant issues.

The GEU maintains strong communications with PPC's security and surveillance directors to address any areas pertinent to their Emergency and Critical Incident Plan and will continue to provide any guidance and support on a daily basis in furtherance of this plan. The GEU is provided with PPC Security radios which the GEU members carry and monitor. This critical communication piece allows for an immediate evaluation and response by GEU members to any incident at the facility and to further coordinate the response of any assisting assets including additional police, fire and EMS.

Consistent with the Gaming Agents Division report, the GEU can also report that any matters in this particulate area of incident response and management are addressed with the staff at PPC, particularly with the directors of the security and surveillance departments, and have been immediately and professionally addressed with no areas of concern.

III. Additional Measures Identified

At this time, the GEU has not identified any areas requiring additional measures. The GEU is committed to continuing to work collaboratively on a daily basis with the staff at PPC to provide an immediate response to any critical incident and ensure a safe environment for the patrons and staff.

IV. License Conditions to Consider

The GEU does not recommend any additional license conditions at this time.



MASSACHUSETTS GAMING COMMISSION

MEMORANDUM

To: Chair Judd-Stein and Commissioners Cameron, O'Brien, Stebbins, and Zuniga
From: Derek Lennon, CFAO, Douglas O'Donnell, Revenue Manager, Dana Fortney, CFO PPC
Date: 9/30/2020
Re: Finance Division's Report on Plainridge Park Casino's Compliance During Initial License Term

Introduction:

The MGC's Finance office, in conjunction with PPC's finance office submits this memorandum to the Massachusetts Gaming Commission (MGC or Commission) to report on its review of Plainridge Park Casino's (PPC) compliance with certain requirements of the category 2 license. Specifically, this memorandum focuses on PPC's compliance over the five-year term of its initial license, with an emphasis on the following:

- Compliance with Daily Tax Reporting
- Gaming Revenue and Taxes
- Compliance with Annual Audit
- Lottery Sales Agent
- Payment of Renewal Fee
- Compliance with Capital Expenditure Plan

Compliance During Five-Year Term of License

From opening the casino on July 24, 2015, the Finance Office has overseen several facets of the property, including but not limited to, billing and certifying the daily gross gaming revenue and tax amounts, reviewing slot machine variances, and reviewing jackpot transaction details for adherence to approved controls. The following portions of this memorandum are summaries of PPC's compliance in each of the areas outlined in the Introduction.

Compliance with Daily Tax Reporting

MGL C.23K Sec 55 Establishes the Commission's authority to collect taxes on gross gaming revenue (GGR) on a daily basis. Sec 55(b) requires a category 2 licensee to pay a daily tax of 40 per cent of its gross gaming revenue. Section 55(c) requires a category 2 licensee to pay an additional daily assessment of 9 per cent of its gross gaming revenue to the Race Horse Development Fund. Taxes are required to be submitted the day following each day of wagering. 205 CMR 140 was approved by the Commission to add details to the GGR certification and daily billing process. For purposes of compliance with both C.23K Sec 55 and 205 CMR 140 regarding timely payment of the daily GGR tax, the MGC's division of finance utilizes the day we send an invoice as the beginning for the licensee's requirement to pay the taxes by the following day.



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The two areas the MGC finance office measures for compliance with this area are:

1. Did the licensee remit taxes daily; and
2. Did the licensee remit taxes timely?

The MGC finance office has set goals for both measures above. For the first measure the goal and requirement are 100% compliance, and we are pleased to report PPC has complied 100% with remitting its daily GGR taxes. The second area regarding timely remittance, the MGC has set internal goals for licensees of 90% compliance on an annual basis. We are also pleased to report that for each year the licensee has been in operation it has exceed that goal as well.

Year	Daily Remittance of GGR Taxes	Timely Remittance
FY 2015 6/24/15 - 6/30/15	100.00%	100.00%
FY 2016 7/1/15 - 6/30/16	100.00%	94.50%
FY 2017 7/1/16 - 6/30/17	100.00%	95.06%
FY 2018 7/1/17 - 6/30/18	100.00%	98.90%
FY 2019 7/1/18 - 6/30/19	100.00%	96.98%
FY 2020 7/1/19 - 6/30/20	100.00%	97.53%

Gaming Revenue and Taxes

As referenced above, a category 2 licensee is required to pay taxes of 40% of GGR and an additional 9% assessment of GGR to the Race Horse Development Fund. This was a requirement of the RFA 2 issued by the Commission. PPC is in compliance with this requirement, and the chart below demonstrates that the facility generated \$759M in GGR in its initial license period, which resulted in \$303.6M in taxes and an additional \$68.3M to the RHDF for a total contribution of \$371.97M to state resources.

Year	Slot GGR	State Tax- 40%	RHDF - 9%	Total collected Tax and RHDF 49%
FY 2015 6/24/15 - 6/30/15	\$6,137,976.28	\$2,455,190.51	\$552,417.87	\$3,007,608.38
FY 2016 7/1/15 - 6/30/16	\$159,908,960.60	\$63,963,584.24	\$14,391,806.45	\$78,355,390.69
FY 2017 7/1/16 - 6/30/17	\$158,267,979.79	\$63,307,191.92	\$14,244,118.18	\$77,551,310.10
FY 2018 7/1/17 - 6/30/18	\$170,016,148.09	\$68,006,459.24	\$15,301,453.33	\$83,307,912.56
FY 2019 7/1/18 - 6/30/19	\$168,675,537.95	\$67,470,215.18	\$15,180,798.42	\$82,651,013.60
FY 2020 7/1/19 - 6/30/20	\$96,131,395.58	\$38,452,558.23	\$8,651,825.60	\$47,104,383.83
TOTAL	\$759,137,998.29	\$303,655,199.32	\$68,322,419.85	\$371,977,619.16



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Compliance with Annual Audit

205 CMR 139.07 requires gaming licensees to have an audit prepared by an independent certified public accountant of its financial statements relevant to the operation of its Massachusetts Gaming Establishment. The regulation also requires the licensee to file the report with the Commission on an annual basis. We are pleased to report the licensee is compliant with 205 CMR 139.07.

Lottery Sales Agent

MGL C.23K Sec 15 requires that a licensee will agree to the following:

- Become a licensed state lottery sales agent to sell or operate the MA lottery's products,
- Make the products readily accessible to patrons
- Not create, promote, operate or sell games that are similar to or in direct competition with games offered by the state lottery.

Prior to opening on June 24, 2015, the PPC was a licensed MA state lottery agent and they have continued to be a licensed state lottery agent. We are pleased to report the licensee is compliant with its requirements above.

Payment of Renewal Fee

MGL C.23K Sec 20(f) sets the term of a category 2 license as 5 years and allows the Commission to set the renewal fee based on the cost of fees associated with the evaluation of a licensee and ensures that the fee is at least \$100,000. The renewal fee for PPC was set at \$100,000, and the fee was paid to the Commission's Eastern Bank account via wire transfer on June 16, 2020. We are pleased to report the licensee is compliant with MGL C.23K Sec 20(f).

Compliance with Capital Expenditure Plan

MGL C.23K Sec 21 (a)(4) requires the Commission to include in PPC's license conditions a requirement for the licensee to either make capital expenditures to its establishment equal to or greater than 3.5 per cent of net gaming revenues or establish a multi-year capital expenditure plan equal to 3.5 per cent of net gaming revenues derived at the establishment which must be approved by the Commission. This requirement was further detailed in 205 CMR 139.09. In January of 2017 PPC submitted a five-year plan to the Commission requesting a variance from the 3.5 per cent net GGR capital expenditure requirement. In a public meeting in February of 2017 the Commission found good cause was demonstrated for the five-year plan as submitted to not equal or exceed the 3.5% of net gaming revenue threshold. As a basis for this finding, they looked at things such as the relative new nature of the facility, the outlined maintenance program, and the proposed improvements to the racing facilities. The Commission approved the plan with the following conditions:

1. The dollar amounts set out in the plan shall be considered minimum investment figures and can be exceeded;
2. The licensee shall annually file a written report, to coincide with its fiscal year, detailing its compliance with the approved plan;



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3. The licensee's May 2017 quarterly report and accompanying presentation shall include information by which the commission may verify that the 2016 expenditures included in the plan were made.
4. The Commission will review the plan periodically to determine whether it continues to satisfy the purpose of the capital expenditure provisions of the law and may direct any necessary adjustments; and
5. If the licensee anticipates being unable to satisfy any component of the plan, or seeks modification thereto, it shall request advance approval from the commission.

For compliance with their approved plan, PPC has been including capital expenditures in their quarterly spend figures as well as in their annual report. For the Commission to rely on the information reported, Commission staff and the PPC internal auditor have added audits of capital expenses to the PPC internal audit plan for fiscal years 2017, 2019 and 2020. The Commission has received and reviewed the reports for 2017 and 2019 and will review the report in 2020 when it is completed. The audit reports have revealed that through random sampling of fixed assets expenditures that compose the Capital Expenditure Plan, the information presented to the Commission can be relied on as true and accurate.

205 CMR 139.09 requires that a multi-year capital plan must, at a minimum, provide for the establishment of and contribution to a capital reserve account. 205 CMR 139.06 (1) requires the licensee to report quarterly on its contributions to the capital reserve account. PPC does have a construction in progress account established that is consistent with their approved capital plan. PPC should include the contributions to this account in their quarterly report to the Commission as required by 205 CMR 139.06 (1).

License Conditions to Consider

The MGC's Division of Finance does not have any recommendations for additional license conditions currently.



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MEMORANDUM

TO: Massachusetts Gaming Commission
FROM: Todd Grossman- General Counsel
RE: Compliance with obligations relative to intercept of past-due child support or tax liability
DATE: September 30, 2020

This memorandum will address the overall compliance by Plainville Gaming and Redevelopment, LLC (d/b/a/ Plainridge Park Casino) (“PPC”) with its legal obligations as a gaming licensee to review certain winners of cash or prizes to determine whether they have past-due child support or tax liabilities. Even in light of the few instances of non-compliance described below, PPC can be deemed in material compliance.

A gaming licensee’s obligations relative to past-due child support and tax liabilities derive from G.L. c.23K, §51 which provides:

Prior to disbursement of cash or a prize in excess of \$600, a gaming licensee shall review information made available by the IV–D agency, as set forth in chapter 119A and by the department of revenue to ascertain whether the winner of the cash or prize owes past-due child support to the commonwealth or to an individual to whom the IV–D agency is providing services and to ascertain whether the winner of the cash or prize owes any past-due tax liability to the commonwealth.

G.L. c.23K, §51(a). The \$600 figure referenced in this language was amended to \$1200. See G.L. c.62B, §2.¹ The remaining paragraphs of section 51 generally describe the process to be used if it is determined that an individual does in fact have past-due child support or tax liability to the Commonwealth.

In an effort to detail the review and intercept process and clarify obligations, a Memorandum of Understanding was executed between PPC, the Commission, and the Department of Revenue (“DOR”). PPC was, of course, the first gaming licensee to execute such an MOU and implement this process in Massachusetts.

¹ G.L. c.62B, §2, 8th paragraph, provides: “A person at a gaming establishment licensed in accordance with chapter 23K making a payment of winnings of \$1,200 or more from slot machine play shall file a form W–2G with respect to such payment. . . . Notwithstanding any general or special law to the contrary, any review or transmission of information required to be done by a gaming licensee relative to the disbursement of cash or prize winnings shall be administered consistent with this paragraph”.



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There have been three episodes of non-compliance with the aforementioned legal obligations to note as part of this review:

1. Shortly after the intercept system was implemented, it was determined that between 8/21/15 and 10/4/15 there was a communication error involving PPC's in-house system (ACSC) and the DOR system. Because of this, queries inputted to the system at PPC were not actually being checked against the DOR database and no intercepts were performed. This glitch was detected by DOR when it observed a lack of queries of its system and raised the issue with PPC. Calculations were subsequently performed as to the total amounts of past-due child support and tax intercepts that were not executed. The parties agreed that PPC would remit the full amount of the child support total and 50% of the tax total to DOR in resolution of the matter. After adjustments, this totaled \$26,921. This system-based approach involving the casino's internal management system was subsequently replaced with a web-based inquiry system which has proven to be successful and has been employed at each of the gaming establishments.
2. PPC reported to the Commission that between 8/30/18 and 1/28/19 one slot machine in its gaming area was incorrectly calibrated to lock up at \$1500 instead of \$1200 for intercept and tax purposes. Accordingly, the DOR system was not queried for wins in excess of \$1200, but under \$1500, on this device for that period of time. It was determined that the missed intercepts caused by this error were likely to be *de minimis*, and measures were put in place to prevent such an error in the future.
3. PPC reported to the Commission and DOR that as a result of its own internal review it determined that between 2/23/19 and 12/27/19 it had inadvertently distributed 43 non-cash and cash promotional prize winnings to 35 winners without querying the DOR system to determine whether an intercept was required. The statute and MOU require such checks to be performed for such prize and promotional winnings. PPC went back and determined that 3 of the 35 winners had past-due liabilities totaling \$3,775.23 which it subsequently remitted to DOR. Measures were put in place to prevent such errors in the future.

PPC submitted a compliance verification statement to the Commission in which it identified the aforementioned incidents of non-compliance and asserted that PPC has otherwise been in compliance with the terms of the MOU. I confirmed that assertion with colleagues at DOR. Accordingly, for the foregoing reasons, the Commission may deem the gaming licensee to be in material compliance with its past-due child support and tax liability related obligations for purposes of renewal of the gaming license.



MEMORANDUM

TO: Massachusetts Gaming Commission
FROM: Todd Grossman- General Counsel
RE: Compliance with obligations relative to the State Lottery
DATE: September 30, 2020

This memorandum will address the overall compliance by Plainville Gaming and Redevelopment, LLC (d/b/a/ Plainridge Park Casino) (“PPC”) with its legal obligations as a gaming licensee relative to the State Lottery. By all accounts PPC is in material compliance with its obligations.

“[E]nhancing and supporting the performance of the state lottery and continuing the commonwealth's dedication to local aid is imperative to the policy objectives of [G.L. c.23K]” G.L. c.23K, §1. To that end, to be eligible to receive a gaming license, PPC was required to:

agree to be a licensed state lottery sales agent under chapter 10 to sell or operate the lottery, multi-jurisdictional and keno games; demonstrate that the lottery and keno games shall be readily accessible to the guests of the gaming establishment and agree that, as a condition of its license to operate a gaming establishment, it will not create, promote, operate or sell games that are similar to or in direct competition, as determined by the commission, with games offered by the state lottery commission, including the lottery instant games or its lotto style games such as keno or its multi-jurisdictional games

G.L. c.23K, §15(1). PPC made the required commitment via attestation as part of its RFA-2 application. See RFA-2 application at page 226. In furtherance of that commitment, on June 16, 2015 the gaming licensee executed a Lottery Sales Agent Agreement with the Massachusetts State Lottery. That agreement remains in effect today. The agreement is a comprehensive document outlining the obligations of the parties and, in conjunction the aforementioned written commitment, satisfies PPC’s legal requirements under G.L. c.23K.

By way of attestation, PPC asserted that it is in material compliance with the agreement. I confirmed that assertion with senior leadership at the State Lottery Commission. Further, the Lottery officials confirmed that PPC has been cooperative and participatory with the Lottery regarding promoting lottery products. Accordingly, for the foregoing reasons, the



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Commission may deem the gaming licensee to be in material compliance with its state lottery related obligations for purposes of renewal of the gaming license.



Division of Racing

TO: Cathy Judd-Stein, Chair
Gayle Cameron, Commissioner
Eileen O'Brien, Commissioner
Bruce Stebbins, Commissioner
Enrique Zuniga, Commissioner

FROM: Alexandra Lightbown, Director of Racing

CC: Karen Wells, Executive Director
Todd Grossman, General Counsel

DATE: September 23, 2020

RE: Division of Racing Report on Plainridge Park Casino
Compliance Over Term of Initial License

Dear Commissioners:

The Division of Racing submits this memorandum to the Massachusetts Gaming Commission to report on the Division's review of Plainridge Park Casino's compliance with certain requirements of the Category 2 License that pertain to horse racing.

I. **Introduction**

Plainridge Park Casino complied with M.G.L. Chapter 23K Section 24.

M.G.L. Chapter 23K Section 24, Applicants holding live racing license under chapter 128A; number of live racing days; annual purse agreements, reads as follows:

Section 24. (a) An applicant for a gaming license who holds a live racing license under chapter 128A shall maintain an existing racing facility on the premises; provided, however, that the gaming licensee shall increase the number of live racing days to a minimum of 125 days according to the following schedule: (i) in the first calendar year of operation, a gaming licensee shall hold 105 racing days; (ii) in the second calendar year of operation, a gaming licensee shall hold 115 racing days; and (iii) in the third and subsequent calendar years of operation, a gaming licensee shall hold 125 racing days;

(b) A gaming licensee may increase the number of live racing days if the gaming licensee is holding a minimum of 125 racing days within 3 years of receiving a gaming



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license. If a gaming licensee does not conduct live racing for the minimum number of days set forth in subsection (a), the commission shall suspend the gaming license.

(c) After 3 years of operation of the gaming establishment and in consultation with the parties to the purse agreement, the commission may adjust the amount of required racing days at a gaming establishment based on fields, demand and racing performance.

(d) A gaming licensee with a live racetrack shall have an annual purse agreement in effect by December 31 of each year for the following year's racing; provided, however, that if the parties to a purse agreement at a gaming establishment cannot in good faith negotiate an agreement by December 31, the purse agreement shall be arbitrated by the commission.

II. **Compliance Over Five Year Term of Initial License**

- A. In Accordance with Section 24 (a):
 - 1. PPC has maintained an existing racing facility on the premises.
 - 2. PPC did hold 105 racing days in the first calendar year of operation, 2015.
 - 3. PPC did hold 115 racing days in the second calendar year of operation, 2016.
 - 4. PPC did hold 125 racing days in the third calendar year of operation, 2017.
- B. In accordance with Section 24 (b), PPC did conduct live racing for the minimum number of days set forth in subsection (a),
- C. In accordance with Section 24 (c), after 3 years of operation, the Massachusetts Gaming Commission, in consultation with the parties to the purse agreement (Harness Horseman's Association of New England and PPC), and based on fields, demand and racing performance, did adjust the amount of required racing days. In 2018 there were 110, and in 2019 there were 108. Before the global coronavirus pandemic of 2020, PPC was scheduled to race 110 days.
- D. In accordance with Section 24 (d), in March of 2019, PPC (Plainville Gaming and Development, LLC) and Harness Horseman's Association of New England (HHANE) executed a seven-year purse agreement to take effect January 1, 2019. The two parties agreed to 110 race days for each year. The previous purse agreement between the two parties was signed in 2014 for a five-year agreement.
- E. Plainridge Park Casino also is in compliance with M.G.L. Chapter 128A and M.G.L. 128C (the racing and simulcasting laws) and the rules and regulations



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promulgated thereunder. PPC has applied for and been granted a racing and simulcasting license by the MGC each of the last six years. There have been no issues related to noncompliance of the racing regulations. PPC is responsive, works collaboratively, and is in constant communication with the Division of Racing.

III. License Conditions to Consider

The Division of Racing does not recommend any additional license conditions at this time.



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TO: Chair Cathy Judd-Stein
Commissioner Gayle Cameron
Commissioner Eileen O'Brien
Commissioner Bruce Stebbins
Commissioner Enrique Zuniga
Karen Wells, Executive Director

FROM: Katrina Jagroop-Gomes, Chief Information Officer
Scott Helwig, Gaming Technical Compliance Manager
Kevin Gauvreau, Senior Converged Engineer
Priya Gandotra, Gaming Technical Compliance Engineer

CC: Todd Grossman, General Counsel

DATE: September 30, 2020

RE: Plainridge Park Casino - Information Technology and Gaming Technical Compliance Review for Renewal Application

The Information Technology Services division (ITS) submits this memorandum to the Massachusetts Gaming Commission (MGC or Commission) to report on its review of Plainridge Park Casino (PPC) compliance with specific requirements of the Category Two license. This memorandum focuses on PPC's compliance over the five-year term of its initial license, with an emphasis on the following:

- I. Certification and Verification of Electronic Gaming Device (EGD) Software
- II. Certification of Property On-line Monitoring and Validation System
- III. Information Security Plan (ISP)
- IV. License Conditions to Consider

I. Certification and Verification of EGD Software

The ITS Gaming Technical Compliance (GTC) team validated software used on active Electronic Gaming Devices (EGDs) at PPC, in accordance with all pertinent sections in 205 CMR 143 and 144.

PPC opened their doors on June 24, 2015, to the general public, while International Gaming Technology (IGT) worked on implementing the MGC Central Monitoring System (MGC-CMS), which launched on October 20, 2015. Prior to the MGC-CMS go-live date, the MGC



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Investigations and Enforcement Bureau Gaming Agents performed manual software validations, as necessary.

Post-implementation of the MGC-CMS, daily software validations became automated while still retaining the ability to run software validations on-demand by the Network Operations Center (NOC).

From October 20, 2015, to March 15, 2020, prior to the suspension of operations due to the COVID-19 pandemic, MGC-CMS performed daily software validations on all active EGDs at PPC. As a result, the MGC-CMS found no signature failures, and all active software installed was approved by one of MGC's Certified Independent Testing Labs (CITLs).

During the COVID-19 closures, the MGC-CMS continuously performed daily software validation checks, and those checks yielded no failures.

Following the Commission's approval to re-open on July 8, 2020, the MGC-CMS performed daily signature checks on 789 playable EGDs and the remaining out-of-service games. Once again, the MGC-CMS found no failures, and a CITL approved all active software.

As of September 30, 2020, the ITS-GTC has found no violations of unapproved software at PPC. Our verification excludes change requests as they may contain false positives due to ongoing work at the game level and by the NOC. Upon completion of a change request, the MGC-CMS system will force a software validation check on the EGD's before they are operational to the public.

II. Certification of Property On-line Monitoring and Validation System

The ITS-GTC team validated the On-Line Monitoring and Control System (MCS) and Validation Systems operating at PPC in accordance with all pertinent sections in 205 CMR 143.03(1).

PPC utilizes the Advanced Casino System Corporation (ACSC) Slot Marketing System from Scientific Games. The MGC ITS-GTC team verified and approved all software libraries used by the PPC's ACSC system according to the certified letters submitted by the CITLs. These libraries include critical ACSC files and MGC features like the Play My Way software actively used at PPC.

III. Information Security Plan

Under 205 CMR 138.02(4) (f) (and as further described in 205 CMR 143.12: Network Security), as part of its internal controls submission, a gaming licensee shall annually submit an infrastructure and data security plan to the Commission for review and approval. The plan should employ best practices (*i.e.*, NIST SP 800-53 or ISO/IEC 27001) for protecting infrastructure and data.

PPC's Information Security Plan (ISP) consists of multiple Policies, and Standard Operating Procedures (SOPs) submitted to the MGC ITS team for review. Upon initial inspection, the



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MGC ITS team found no violations of compliance, although we did make 115 recommendations/observations throughout the documents reviewed. PPC's technology and compliance teams were responsive to the suggestions and collaborative while completing the review process. Following the advice from MGC ITS, PPC adjusted the ISP documents where necessary.

The ISP submission included the following documents:

Policies

1. Policy 01 Password Protection and Security
2. Policy 02 Anti-Virus Policy
3. Policy 03 Change Management
4. Policy 04 System Downtime
5. Policy 05 Information Technology Third Party Access
6. Policy 06 Network Expiry
7. Policy 07 Firewall Policy
8. Policy 08 Hardware Sanitization
9. Policy 09 Service Level
10. Policy 10 Wireless Access Point
11. Policy 11 Data Backup and Restoral
12. Policy 12 System Admin Code of Conduct
13. Policy 13 IT Acceptable Use
14. Policy 15 User Changes
15. Policy 16 Disaster Recovery Plan

SOPs

1. SOP 01 Create a New AD User Account with Email
2. SOP 03 User Change Process, Terminations, Position Changes
3. SOP 04 Generate DUO for multi-factor authentication
4. SOP 05 Create a user in iSeries
5. SOP 06 Create a user in ACSC
6. SOP 10 Creating a Compdor Code for User
7. SOP 11 Adding a user to LMS -Finance
8. SOP 12 Create a non-hotel user in LMS
9. SOP 13 Adding a user to LMS-Hotel Operations
10. SOP 14 Create a user in KeyWatcher
11. SOP 15 Create a user in Stratton Warren
12. SOP 16 Request credentials for Great Plains
13. SOP 17 Create a user in Micros(EMC_Symphony)
14. SOP 18 Create a user in CHS Backoffice for NRT
15. SOP 24 Quarterly Firewall Review
16. SOP 25 Vulnerability Scanning & Remediation Protocol
17. SOP 26 Computer Security Patching
18. SOP 27 Server Administration Protocol



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- 19. SOP 28 SolarWinds Monitoring and Remediation
- 20. SOP 30 AD-Check-weekly
- 21. SOP 31 AD-Check-quarterly
- 22. SOP 32 AD-Check-monthly
- 23. SOP 38 Anti-Virus

IV. License Conditions to Consider

The Information Technology Services Division does not recommend any additional license conditions at this time.



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CITL Letter	Date	Library / File	Hash/Signature	Notes
SY-52-ADC-11-11	04/10/15	CASPGMPD/SMSPGMPD	BEE995D20D78FA7E1265D0480199731EA52479F0	11.5.0 E1150_12
SY-52-ADC-11-11	04/10/15	XCAPGMPD	254549DB407F7E023C912EF92CD40E9A74F27035	11.5.0 E1150_12
SY-286-ADC-13-01	04/10/15	TSPENMODP	8AC7CDE69978B158462DD875A04A45B918C2BDB4	Using ModPack IV
SY-286-ADC-13-01	04/10/15	TSPUMAPGM1 = TSPENPUMAP/TSPENCUSTP	28C90EAD7B01067158B0EA38125B24CC51B96500	TSPENPUMAD/TSPENCUSTD contain zero files; These libraries are part of ModPack IV
SY-129-ADC-15-02	06/04/15	TSPENFIXPD	8D157BF87C04E667826C79FE7E184AD93B51BEEC	Using Fix Pack 5 although up to FP 7 has been certified by GLI
SY-497-ADC-15-07	09/21/15	TSPENIDS = TSPEISIDS	BA54D95BF45156CFD0BB8738301FE9E7DE52AE7D	DOR Intercept - Disabled due to change in process to web-based solution provided by the DOR.
SY-497-ADC-17-01	05/31/17	TSPENPCS	0B098EDEC82DA366D47D64E12FCB29B341E7ECAE	Play My Way
SY-497-ADC-19-03	10/24/19	TSPENC2F	E4E71CC5B859523F6341829A5D9B5176ACB6B962	Penn Single Bucket Mod - Reporting fix



THIS REPORT CONTAINS SPECIAL NOTES (denoted by "LOOK")

Date of Report: April 10, 2015

Issued To: WEBSITE COPY
This report was sent to the
Massachusetts Gaming Commission

Issued By: Gaming Laboratories World Headquarters
Christine M. Gallo
Vice President of Technical Compliance and Quality Assurance
600 Airport Road, Lakewood, NJ 08701
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Certification of: One New Bally Technologies CMS/SMS Emergency Pack
Version 11.5.0 E1150_12 and ACSCGUI Version 11.5.0
E1150_12

GLI File Numbers: SY-52-ADC-11-11 (Emergency Pack Version 11.5.0 E1150_12
& ACSCGUI Version 11.5.0 E1150_12)
SY-52-ADC-11-05 (Service Pack Version 11.5.0 S1150_1)
SY-52-ADC-10-03 (Version 11.5.0)

Standards Tested Against and the Test Results:

Standards Tested Against	Test Results
205 CMR 143.00: Gaming Devices and Electronic Gaming Equipment	Pass
GLI-13 - Monitoring and Control Systems	Pass
GLI-16 - Cashless Systems	Pass
GLI-18 - Promotional Systems	Pass

THE RECIPIENT, BY ITS ACCEPTANCE OF THIS REPORT OR ANALYSIS, WILL BE DEEMED TO HAVE ACKNOWLEDGED AND AGREED TO ALL OF THE "TERMS AND CONDITIONS" SET FORTH BELOW. IF THE RECIPIENT DOES NOT AGREE TO ALL OF SUCH TERMS AND CONDITIONS, GLI WITHDRAWS THE CERTIFICATION PROVIDED OR ANALYSIS ESTABLISHED BY THIS REPORT AND THE RECIPIENT MUST IMMEDIATELY RETURN TO GLI ALL COPIES OF THIS REPORT AND MAKE NO REFERENCE TO THIS REPORT FOR ANY PURPOSE AT ANY TIME.



**Evaluating Location:**

GLI World Headquarters 600 Airport Road Lakewood, NJ 08701

SYSTEM**System Description:**

The Advanced Casino Systems Corporation (ACSC) on-line system has the ability to monitor slot machine activity for all machines connected to their electronic Slot Marketing System (SMS). The SMS will electronically monitor mechanisms within each machine to determine coin-in, tickets in, tickets out, drop, number of manual jackpots, the number and total value of coins or tokens paid by automatic jackpots and handle pulls. Further, the SMS will monitor currency drops associated with bill validators, and SMS has the ability to monitor certain individual patron activity and employee service activity through the use of a card reader attached to the slot machine. Finally, a two-line, fluorescent or graphic display or the iView™ display with the card reader will allow informational and diagnostic messaging to all machines connected to the SMS system.

Each employee card has a magnetic stripe that is able to store 26 characters of information. This magnetic stripe will be encoded with a card number. When a card is inserted into an SMS card reader, the card number will be communicated to the host computer where the number will be matched against authorized cards in use for the shift. Each patron card also contains a magnetic stripe able to store 26 characters of information. Specifically, these cards will be encoded with the patron's account number and name and when inserted into an SMS card reader, the account number will be communicated to the host computer and to the AS/400 in order to properly identify and rate the play for this patron.



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Application Server-AS/400 Software:

Licensed by the customer are the following ACSC SMS software products:

1. SMS Manager – Used to monitor and control the operation of the system.
2. SMS Slot Configuration – Used to identify all gaming devices within the system.
3. SMS Slot Accounting System – Used to audit and report revenues.
4. SMS Slot Data – Used to analyze historical performance information.
5. SMS Delphi Slot Data – Windows based analytical tool.

ACSC Ticketing Features:

ACSC's Cash Ticketing System supports a full range of functionality for the creation, redemption, validation and reporting of various types of coupons/ticket.

NOTE: In the ACSC lexicon coupon, voucher, and ticket are synonymous. However; ACSC uses both coupons and tickets. Coupons are always system generated and usually originate from marketing. These can be cashable or non-cashable. Tickets are usually generated by a slot machine and originate from monies being cashed out from a slot machine.



Ticket Issuance:

ACSC's Ticketing System allows for the generation of tickets at the slot machine level. Slot Ticket/Out Cashless Tickets are issued as cash valued tickets only. The validation numbers come from the NT board on System Validation, and the game on Enhanced Validation, when a cash-out is requested at a slot machine that has the cashless ticketing feature active. Each ticket is assigned a unique validation number with matching barcode. The validation number is written to a detailed Ticket Tracking File that includes game specific information for the game the ticket was generated from. The ticket may or may not be associated with a specific patron that requested the cash-out, based on existence of patrons' card in the game. Global control parameters, set by the property, define in days and hours how long from the date/time of issuance a ticket is valid. These tickets also have the following additional control features available:

1. Ability to require a patron card at time of redemption.
2. Ability to allow redemption at a slot machine.
3. Ability to define what authority level, if any, can override what restrictions, if any.

Ticket Out Overview:

Ticket Out allows slot machines to produce a ticket instead of coins. These tickets are then redeemable either at a slot machine or cashier. On a slot machine which has a ticket printer in place of, or in addition to, a coin hopper, a ticket is dispensed when a patron presses the cashout button. Each ticket will have a unique ticket number that will be added to the system once the ticket is successfully printed. The result of the ticket print will be logged both in the SMS Recall and within the system.





Ticket Redemption and Validation:

Tickets can be redeemed in several ways, depending upon how they were defined at the time of issuance. For example:

1. Point-of-Sale (providing POS vendor supports ticket redemptions)
2. Slot Machine Bill Validators (providing validator accepts bar-coded tickets)
3. Cashier Cages
4. Voucher Redemption Terminals (Kiosks)

Ticket In Overview:

Ticket In allows marketing coupons and cashout tickets to be collected at both the slot machine and from a cashier. When a coupon/ticket is inserted into a slot machine the coupon/ticket information will be passed to the system. The system will then check the validity of the coupon/ticket and instruct the slot machine to either accept or reject the coupon/ticket. The result of the coupon/ticket in will be logged both in the SMS Recall and within the system.

Cash Ticket Reporting:

From the Cash Ticket Menus, several ticket related reports can be produced, which contain coupon/ticket information as follows:

1. Tickets redeemed by cashier
2. Tickets redeemed by promotion code
3. Tickets redeemed by patron
4. Trip based redemptions
5. Promotions summary
6. Tickets redeemed with no patron play
7. Tickets redeemed at slots
8. Tickets created at slots
9. Ticket Liability report
10. Slot ticket exceptions
11. Slot cash ticket reconciliation report
12. Cashier drawer slot cash ticket settlement report
13. Ticket Drop reports



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Slot Machine Requirements and Operation:

For support of SMS Ticket In/Ticket Out, the slot manufacturers must have SAS version 5.01 or higher ticket in and ticket out within their software. Specifically for Ticket In, the slot manufacturer must support voucher redemption. Specifically for Ticket Out, there are two settings on the slot machine.

1. The first is Enhanced set to Secure Mode; where the slot machine generates the validation number. If the communications line is broken between the slot machine and the system, then one ticket can be printed prior to the printer disabling. Once communication is restored the ticket is sent up to the system.
2. The second is System; where the System Controller Board generates the validation number. If the communications line is broken between the machine and the system, the System Print Security Setting will determine whether or not to print tickets until communications are re-established.

System Print Security Setting:

SMS Ticket/Coupon Printing has four levels of printing security which the system can be set to: Print Always, Print Verify, Communication Verify, and Database Verify.

Print Always (01):

As long as the NT Controller Board is talking with the game, tickets will be printed. However, with this level of printing, if communication is lost with the system (network) for an extended period of time, records in Recall and Memory will begin to be overwritten and lost.



**Print Verify (02):**

When communication between the NT Controller Board and the System (network) is lost, printing will stop once the NT Controller Board Printing Buffer fills up. Games with SAS Protocol with System Validation: once the NT Controller Board Printing Buffer fills up, the NT Controller will not issue any more validation numbers. If a cashout occurs during this time, the game will either payout with a hopper pay or by a handpay lock up condition. Games with SAS Protocol with Enhanced Validation set to Secure Mode: once the NT Controller Board Printing Buffer fills up and the game's Ticket Buffer fills up, the game will disable itself.

NOTE: With this level, once communication is re-established with the system and the NT controller clears its printing buffer then the NT controller will begin to issue more ticket validation.

Communication Verify (03):

When communication between the NT Controller and the Gearbox is lost, printing will stop. Games with SAS Protocol with System Validation: once the NT Controller has lost communication with the Gearbox, then the NT Controller will not issue any more validation numbers. If a cashout occurs during this time, then the game will either payout with a hopper pay or by a hand pay lock up condition. Games with SAS Protocol with Enhanced Validation set to Secure Mode: once the NT Controller has lost communication with the Gearbox and the game's Ticket Buffer fills up, then the game will disable itself.

NOTE: With this level once communication is re-established with the system, the NT Controller will begin to issue more validation numbers. With this security level, the only time there would be a possibility of tickets not being in the Ticket Server would be when the system has lost its link to the Ticket Server. However, all the tickets generated while the link to the Ticket Server is down would be kept at the Gearbox and sent up for verification when the link is re-established. With the security level, if a Gearbox or line goes down, all slots connected will not print tickets.



**Database Verify (04):**

When communication between the System (network) and the Ticket Server is lost, printing will stop. Games with SAS Protocol with System Validation: once the system notifies the NT Controller that the Ticket Server is no longer present on the network or the NT Controller has lost communication with the Gearbox, then the NT Controller will not issue any more validation numbers. If a cashout occurs during this time, then the game will either payout with a hopper pay or by a handpay lock up condition. Games with SAS Protocol with Enhanced Validation set to Secure Mode: once the system notifies the NT Controller that the Ticket Server is no longer present on the network or the NT Controller has lost communication with the Gearbox and the game's Ticket Buffer fills up, the game will disable itself.

NOTE: With this level of security, once the NT Controller is notified that the Ticket Server is again present on the network or communication is re-established with the system, the NT Controller will begin to issue more validation numbers. With this security level if the Ticket Server goes down, all the slots on the floor will not print tickets.

Power Rewards Overview:

The objective of promotional credits (Power Rewards) is to provide a flexible method to offer promotions to both new and existing patrons. This is accomplished by directly crediting slot machines with either cashable or non-cashable credits upon play to a variable set amount in order to achieve the reward. Incorporated into the design is the ability for a patron to continue to accrue toward the reward even while playing different slot machines, which may or may not be of the same denomination. To use ACSC promotional/(Power Rewards), the player must first establish a player account and have a player card issued through the casino's Casino Management System (CMS).





The player then goes to any Power Rewards-enabled slot machine and inserts the player card into the card reader. If a promotional session is enabled at the time, the player will be notified on the card reader display that the promotion is available. The player then will play the machine normally until the predetermined credits required to obtain the promotion are achieved. Once the player meets the predetermined amount of play, the 'Promo' button on the card reader will flash. This notifies the player that the promotion is available for download. Pressing this button will transfer the awarded credits to the machine. A PIN (Personal Identification Number) will be required to transfer the credits to the machine. The display will then scroll a message stating that the promotion has been awarded successfully.

The CMS (Central Monitoring System) defines the conditions of Power Rewards, some of which correspond to ACSC's settings, and keeps track of Power Rewards information. Its functions include maintaining player accounts and PINs, informing the player that the promotion is active and available once reached, setting the play (amount the player must play to reach the promotion) and get (the amount awarded) amounts, type of promotional credits to be awarded (cashable or non-cashable), establishing a start and end date and time for which the promotion is available, as well as defining zones, manufacturers, or denominations in which the promotion will be available.

Power Promotions / Power Bank Overview:

The objective of Power Promotions is to provide a method for a patron to directly credit their "Incentive Cash" to slot machines with either cashable or non-cashable credits. To use ACSC Power Promotions the player must have a player account (which entails being issued a player card) with earned "incentive cash" (or "incentive cash") issued through the casino's Casino Management System (CMS) or establish a player account and earn "incentive cash" through play.





A player can go to any game that has Power Promotions enabled and insert their player card into the card reader. The player will be notified on the card reader display that they have incentive cash available for downloading by the illumination of the light on the “\$” key. Pressing this button will bring up a menu that will provide the patron with options relative to their incentive cash. They may either get their balance or transfer credits to the game. A PIN (Personal Identification Number) will be required to transfer the credits to the machine. If taking the option to transfer the credits, once completed, the display will then scroll a message stating that the credits were downloaded/transferred successfully.

The CMS tracks the patron’s play and credits the patron’s account with the incentive cash that is earned based on a certain number of points per dollars of play. The specific criteria for earned points and incentive cash are established by the individual property. The CMS will also track the transfer of the patron points to the slot machine and generate reports regarding the same. In general it maintains the player accounts and PINs.

Power Bank is an extension of the Power Promotions feature that allows for the downloading of patron deposited monies from their account to a gaming machine for play and uploading of monies from a gaming machine back to the patron’s account. The CMS tracks all of the patron’s transactions and is capable of printing out transaction reports detailing each transaction.

ACSC Graphical User Interface Overview

The ACSC Graphical User Interface (GUI) is a web-based interface developed to access the ACSC system. Several menu options are provided to the user which allows the user to change the GUI configurations and settings, enter patron rating, create and update promotions and view slot activity. Option availability is dependent on the user’s level of access. The GUI also allows the user to reconcile and upload currency and ticket drop data to the ACSC system accounting database.



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**System Software Being Certified:**Emergency Pack 11.5.0 E1150_12

Architecture Level	Software Group Name	Version	Libraries	SHA-1 Signature
AS/400	CMS/SMS	11.5.0 E1150_12	CASPGMXX/ SMSPGMXX	BEE995D20D78FA7E1265D04 80199731EA52479F0
AS/400	CMS/SMS	11.5.0 E1150_12	XCAPGMXX	254549DB407F7E023C912EF9 2CD40E9A74F27035

ACSCGUI Version 11.5.0 E1150_12

File Name	Version	GLI Verify® CDCK Signature	GLI Verify® SHA-1 Signature
ACSCGUI_INSTALLER.exe	11.5.0 E1150_12	FD7E	768CC4BBB0385577656749A 9BEF936F402FBBA2A
ACSC.ear	11.5.0 E1150_12	BD1D	78F1F37416A1B4F9DBC04A BCFB50D9BB50CC1445

System Software Notes:

Verification of the Emergency Pack version 11.5.0 E1150_12 software is to be completed after Service Packs version 11.5.0 S1150_1 and version 11.5.0 are installed. In the event that the verification process is performed prior to the installation of the service pack and emergency pack, the signature that is generated will not match the signature listed on the **Gaming Laboratories International, LLC** certification letter.

LOOK

The advanced features of Power Bank (AFT/EFT), Power Promotions, and Power Rewards are approved for use with the previously listed software or higher, unless changes are made to any one or all of the previously listed Advanced Features.

LOOK



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Please note that although the ACSC system provides a Remote Access User Activity Log which records the User, Menu Option accessed by the User, Date and Time, and duration of time each menu option was accessed, the log does not record the details of the completed transaction. Therefore, **Gaming Laboratories International, LLC** recommends that Internal Controls be established to manually record the details including time and date of each Remote Access User transaction.

Please note, the signature verification module verifies the objects that are located in specific libraries as specified by the preconfigured manifest file. Any additional libraries and/or objects created outside of the specified libraries are not subject to the verification process. The addition or modification of custom libraries and/or objects by end users could impact the functionality of the system being approved herein and will not be detected by the verification process.

GLI recommends that all Power Rewards promotions, once enabled, continue without interruption. Manual termination of a Power Rewards promotion will prevent player enrollment into a new Power Rewards promotional event(s). Alternatively, the expiration date may be modified to the current date which would limit the need to manually terminate the Power Rewards promotion.

Please note this Certification Report serves as a Phase I Certification of the Bally Technologies CMS/SMS Emergency Pack Version 11.5.0 E1150_12 and ASCSGUI Version 11.5.0 E1150_12 product(s) only. Phase II testing or field inspection, is recommended.

The Verification module for the ACSC system uses the SHA-1 algorithm to create two unique 40-character signatures for specific libraries. Currently, the 3 libraries controlled are the CASPGMXX, SMSPGMXX and the XCAPGMXX. The CASPGMXX and SMSPGMXX libraries are verified together to generate one 40-character signature and the XCAPGMXX is verified separately to generate the other 40-character signature

The CASPGMXX library contains programs associated with cash cage, cashiers, and pit related functions.

The SMSPGMXX library contains programs associated with slot system communications to slot machine events.



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The XCAPGMXX library contains programs associated with Universal Card features.

The 'XX' in library names indicates that these could vary on any given system based on the name given to the database.

A SHA -1 signature is generated after running the SHA-1 algorithm over the sum of all of date and timestamps of all of the objects in the specified libraries. If objects are modified, added or removed from the verified libraries the SHA-1 signature will change accordingly.

Gaming Laboratories International, LLC recommends using the Database Verify (04) security Level.

Gaming Laboratories International, LLC recommends the manufacturer's ability to remotely access the system for any reason be closely monitored by the regulatory agency.

LOOK

System Verification Procedure:

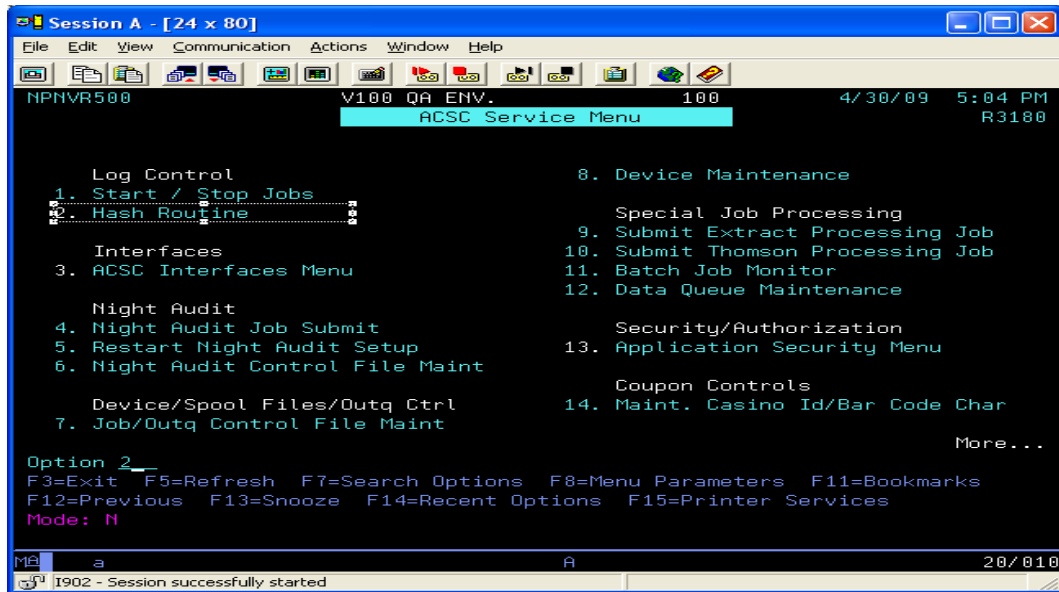
The ACSC Verification module consists of three separate programs that perform different tasks in the verification process. The names of the programs are Find Version Hash (CHKVNHASH), Create Exception Report Based On Manifest (CMPVNHASH), and the Create Exception Report Based On Library Objects (CHKMFST).

Procedure For Verification

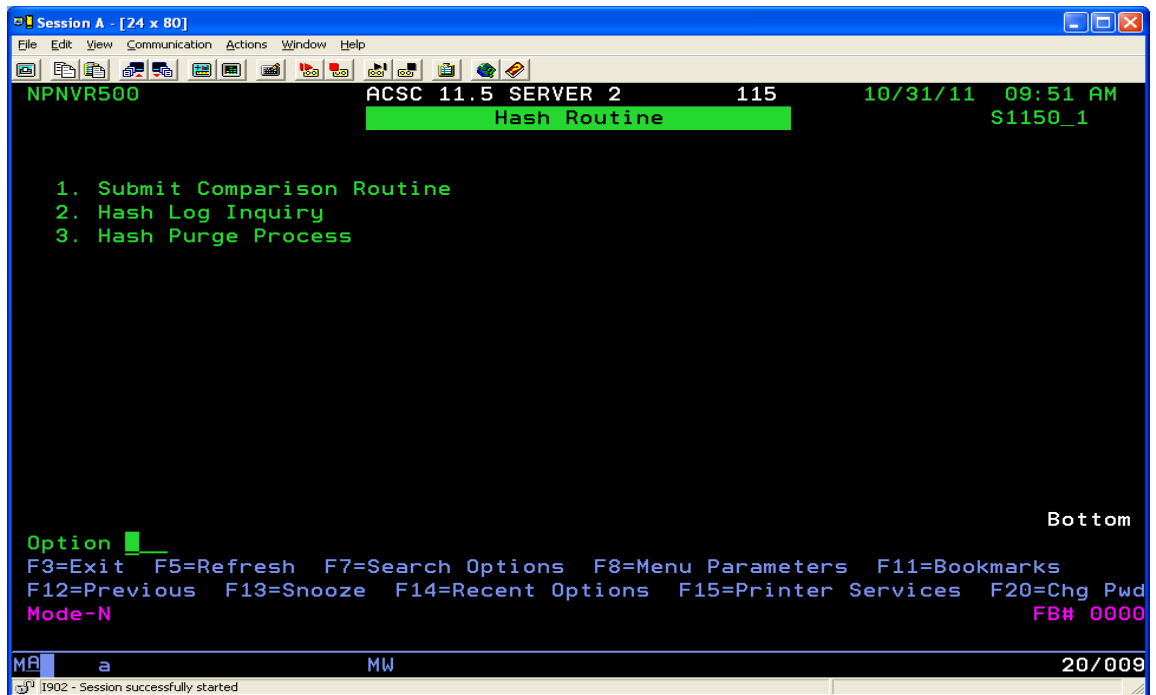
After the installation is completed, Log on to the system with the Administrative user ID and password.

Once logged in as the administrator, from the main menu select the ACSC Service Menu> Application security menu>Hash Routine option.





Select the Submit Comparison Routine to generate the hash signature.



Press the F6 key to submit the hash jobs.

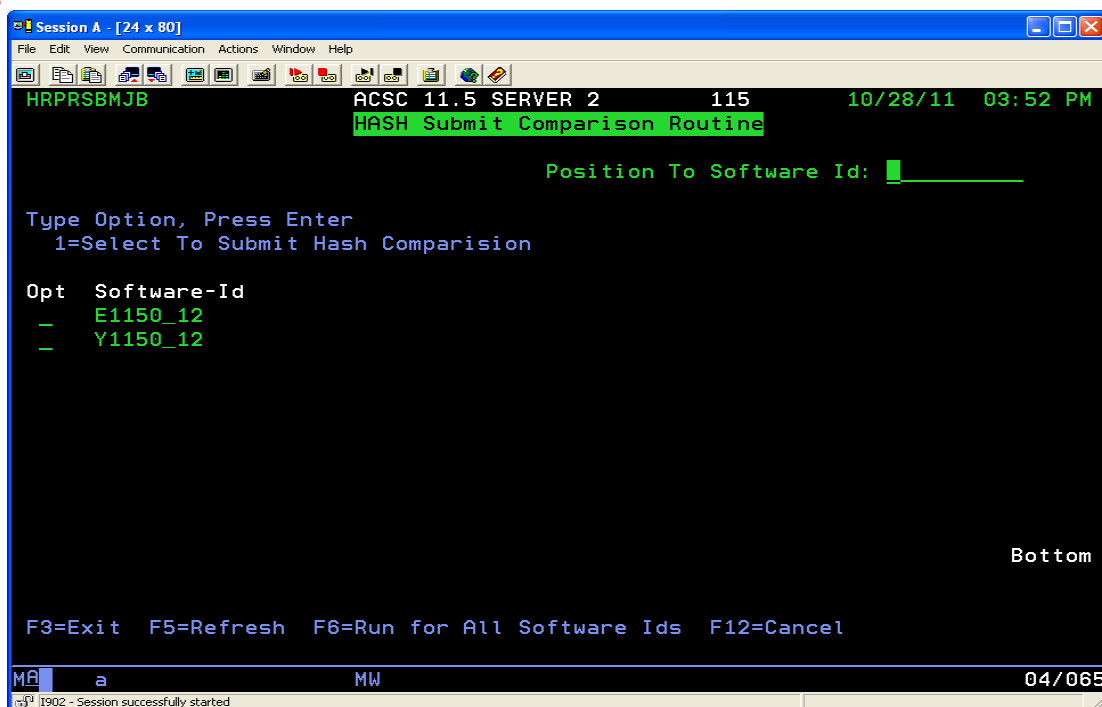
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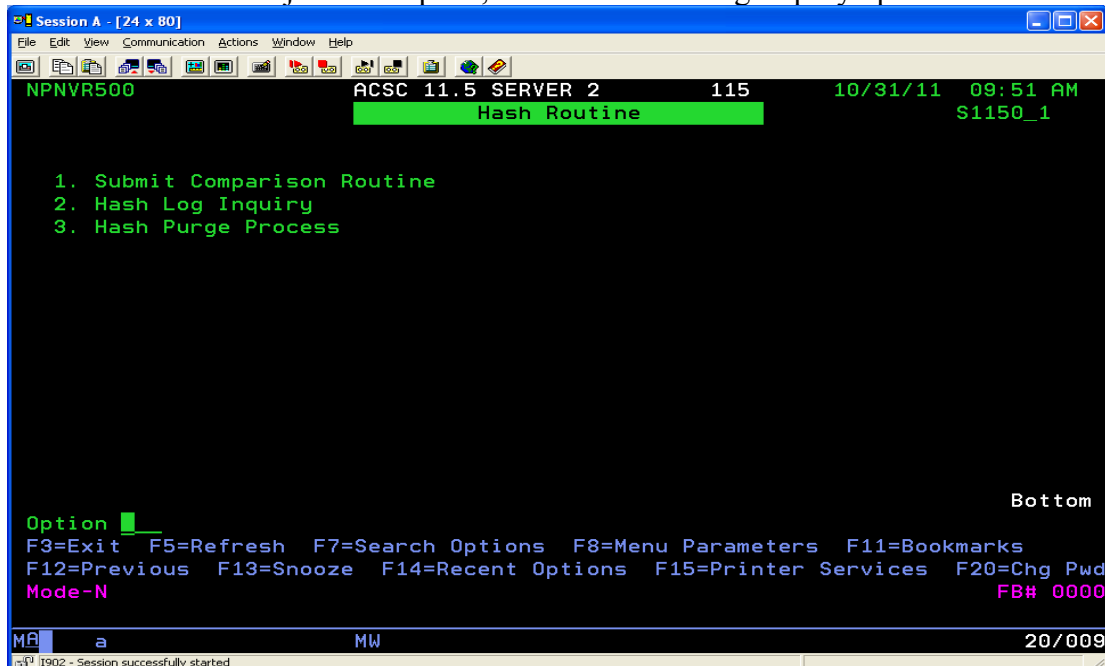
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After the verification job is complete, select the Hash Log Inquiry option.



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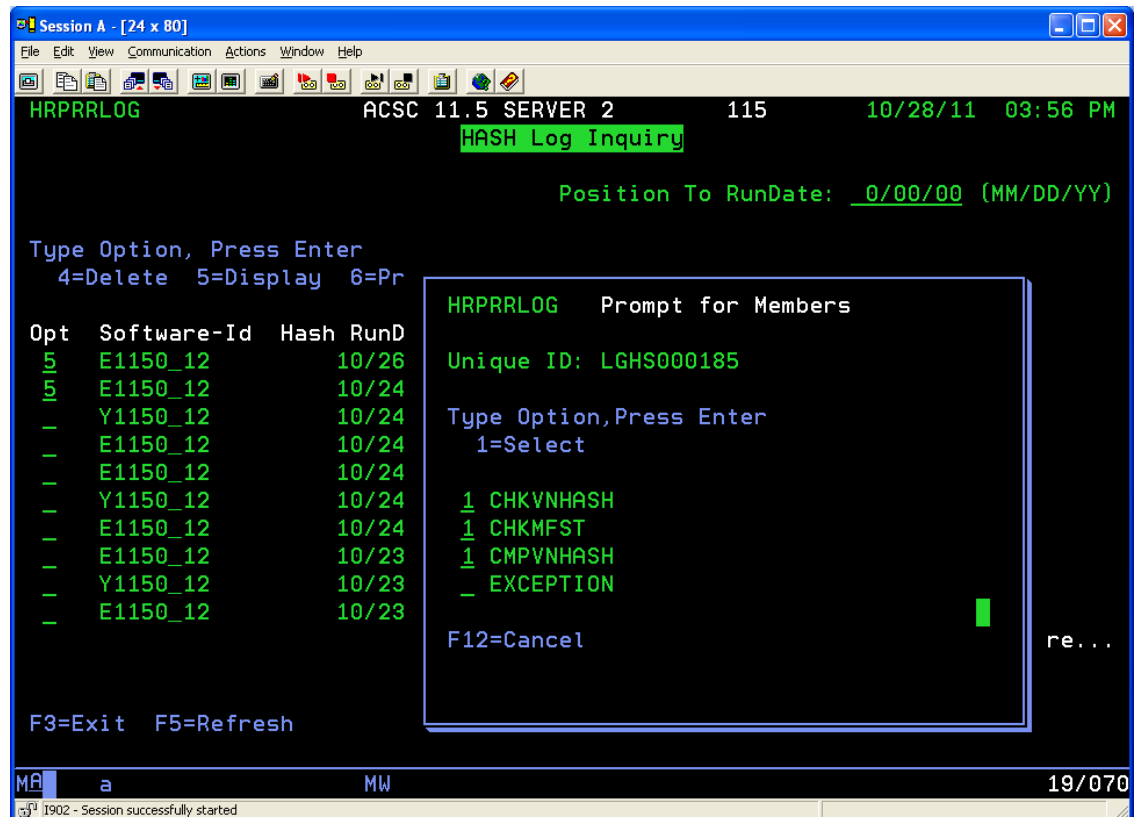
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Place a 5 on the option line next to the Software ID and press enter to display the log options. Place a 1 on the option line next to each log and press enter to display the result.





Select the CHKVNHASH option to display the Comparison report.

```
Session A - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG ACSC 11.5 SERVER 2 115 10/27/11 04:00 PM
Hash Log Inquiry Details - CHKVNHASH

Unique ID: LGHS000184

*****
Check SHA-1 HASH utility
*****
Programs found in library SMSPGMLW : 1979
Programs found in library CASPGMLW : 3959
*****
Total objects counted: 5938
***** SHA-1 HASH *****
7441B9F4C4AB96DE42D4D0D8CC162F1DF943B4C6
***** APPROVED HASH *****
7441B9F4C4AB96DE42D4D0D8CC162F1DF943B4C6

F12=Cancel Bottom
MA a MW 01/001
1902 - Session successfully started
```

Select the CMPVNHASH option to display the Comparison report.

```
Session A - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG ACSC 11.5 SERVER 2 115 10/27/11 10:40 AM
Hash Log Inquiry Details - CMPVNHASH

Unique ID: LGHS000194

*****
Version Variance Comparison Utility
*****
Variance found for program: CPCPB335
Reported stamp from manifest: 1100902020958
Stamp from CASPGMLW/CPCPB335: 1111017062346
*****

F12=Cancel Bottom
MA a MW 01/001
1902 - Session successfully started
```





Select the CHVNMFST option to display any exceptions found during the verification process against the Manifest file.

```
Session B - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG GLI-NJ ACSC 10.0 5/14/09 10:12 AM
Hash Log Inquiry Details - CHKMFST

Unique ID: LGHS000027

*****
Check Program Against Manifest Utility
*****
Programs found in library UNVPGMT : 22
Programs found in library SLTPGM31T : 584
Programs found in library SMSPGM31T : 899
Programs found in library CASPGM31T : 2689
Program Object: AARON21 does not exist in manifest
*****

F12=Cancel Bottom
MA b A 01/001
I902 - Session successfully started Generic / Text Only ON com1 on COM1:
```

An exception report has been added to the signature process. If an object is found in the manifest file but not in the compared libraries an error message is displayed on this report.

```
Session B - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG GLI-NJ ACSC 10.0 5/18/09 03:43 PM
Hash Log Inquiry Details - EXCEPTION

Unique ID: LGHS000027

Error CPF9811 encountered on QUSRJ0BD for CPANR100

F12=Cancel Bottom
MA b MW A 01/001
I902 - Session successfully started Generic / Text Only ON com1 on COM1:
```

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Sincerely,
GAMING LABORATORIES INTERNATIONAL, LLC

Christine M. Gallo
Vice President of Technical Compliance and Quality Assurance

c: Mr. Jim Slattery, Bally Technologies

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THIS REPORT CONTAINS A SPECIAL NOTE
(denoted by "  ")

Date of Report: June 4, 2015

Issued To: WEBSITE COPY
This report was sent to the
Massachusetts Gaming Commission

Issued By: Gaming Laboratories World Headquarters
Christine M. Gallo
Vice President of Technical Compliance and Quality Assurance
600 Airport Road, Lakewood, NJ 08701
(732) 942-3999
www.gaminglabs.com

Certification of: One New Bally Technologies Penn FixPack 5

GLI File Number: SY-129-ADC-15-02

Start Date of Product Testing: May 4, 2015

Standards Tested Against and the Test Results:

Standards Tested Against	Test Results
205 CMR 143.00: Gaming Devices and Electronic Gaming Equipment	Pass
GLI-13 - Monitoring and Control Systems	Pass
GLI-16 - Cashless Systems	Pass
GLI-18 - Promotional Systems	Pass

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**Evaluating Location:**

GLI World Headquarters 600 Airport Road Lakewood, NJ 08701

SYSTEM**System Software Description:**

The fix pack software includes modifications and enhancements that are stored in the TSPENFIXXX library which applied to the previously approved ACSC 11.5.0 E1150_12 system software.

The signature below is for the additional library that is added to the ACSC CMS/SMS 11.5.0 E1150_12 system software. This Fix Pack library stores objects added to the system to support local and cross property functionality. A SHA-1 signature will be generated for all of the objects included in the library after the verification process has been completed.

System Software Being Certified:

Penn FixPack 5 applied to Emergency Pack 11.5.0 E1150_12

Architecture Level	Software Group Name	Version	Libraries	SHA-1 Signature
AS/400	CMS/SMS	Penn_FixPack5	TSPENFIXXX	8D157BFB7C04E667826C79F E7E184AD93B51BEEC



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System Software Modifications:

The Penn FixPack 5 software is MODIFYING the previously approved Penn FixPack 4 software. The modifications are as follows:

1. Modified the CPCAB101 (Display CTR status) program to ensure that the CTR amount will be calculated based on the change in Bill meter value only. Previously, if the user redeemed a patron's ticket while the patron's card was inserted at the slot the patron would be flagged for reaching the CTR limit and a CTR status window would pop up.
2. Modified the Enter Manual Jackpots Payouts option to display the "Apply Activity to Summary Manually" message and not submit a mini apply if the 250 "Restrict Auto Submission of Mini Apply Process" location option is set to yes. Previously, a mini apply was submitted regardless of what the 250 "Restrict Auto Submission of Mini Apply Process" location option was set to.
3. Modified the SPSRB010 (W2G Entry) program to populate the corporate/property code prior to calling the CPSMR200 (Add/update patron) program when the F5 (Change name/Address) key is pressed. Previously, the patron search screen was displayed when the F5 key was pressed due to the corporate/property code not being populated.
4. Modified the SFWSD520 (Enter Manual Jackpot Payout) file and SPSDB520 (Enter Manual Jackpot Payout) program to allow an attendant to select a patron when the F7key is pressed. Previously, a 'Winning combination entered was incorrect' error message was displayed when the attendant pressed the F7 key.
5. Changed the date of birth format from *MM/DD/YY* to *MM/DD/YYYY* in the SPSMB387 (Surveillance Patron-Tagging) program.

Note: Modified software does not have to be removed from the field. The changes were cosmetic or enhancements to the previously approved version. This software, in addition to the previously approved version, will be listed on your Approved Report.



**System Software Notes:**

The Verification module for the ACSC system uses the SHA-1 algorithm to create a unique 40-character signature for specific libraries. An individual Sha-1 signature is created for the custom library listed below.

The TSPENFIXXX contains objects that are associated with local and cross property functionality.

The 'XX' in library names indicates that these could vary on any given system based on the name given to the database.

A SHA-1 signature is generated after running the SHA-1 algorithm over the sum of all of date and timestamps of all of the objects in the specified libraries. If objects are modified, added or removed from the verified libraries the SHA-1 signature will change accordingly.

Gaming Laboratories International, LLC recommends the manufacturer's ability to remotely access the system for any reason be closely monitored by the regulatory agency.

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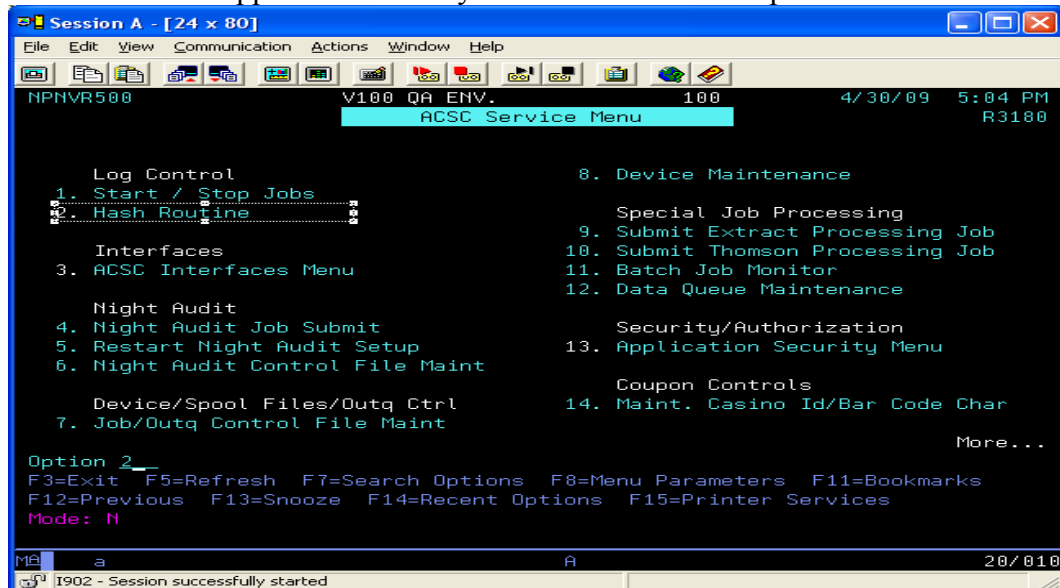
System Verification Procedure:

The ACSC Verification module consists of three separate programs that perform different tasks in the verification process. The names of the programs are Find Version Hash (CHKVNHASH), Create Exception Report Based On Manifest (CMPVNHASH), and the Create Exception Report Based On Library Objects (CHKMFST).

Procedure For Verification

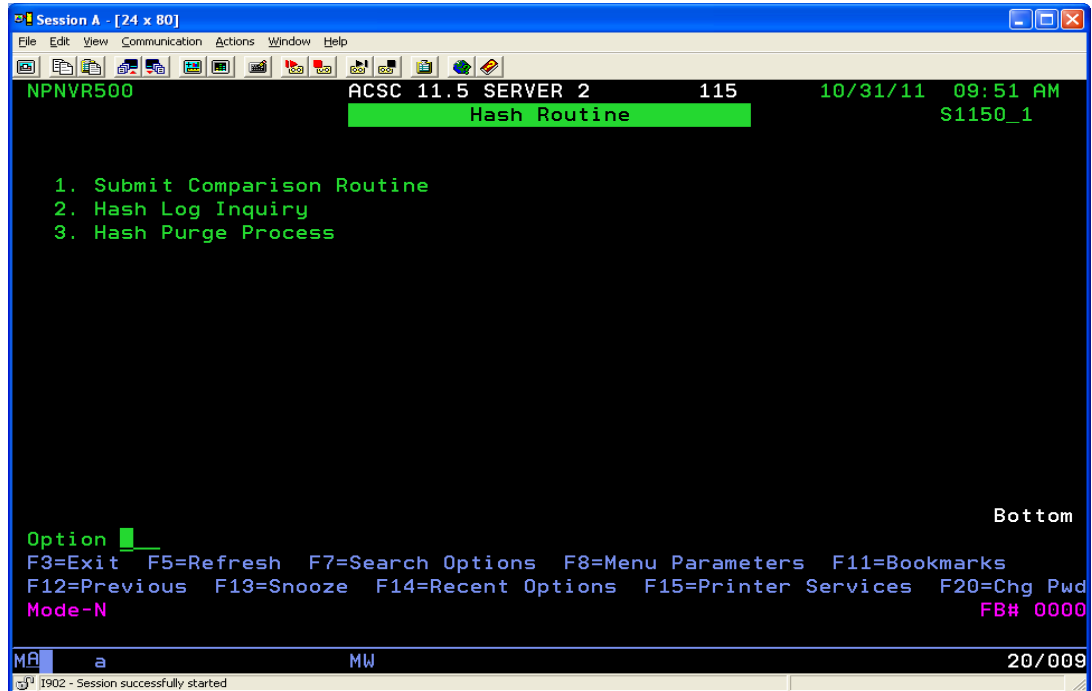
After the installation is completed, Log on to the system with the Administrative user ID and password.

Once logged in as the administrator, from the main menu select the ACSC Service Menu> Application security menu>Hash Routine option.





Select the Submit Comparison Routine to generate the hash signature.



Press the F6 key to submit the hash jobs.

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```
Session A - [24 x 80]
File Edit View Communication Actions Window Help
HPRSRBMJB ACSC 11.5 SERVER 2 115 10/28/11 03:52 PM
HASH Submit Comparison Routine
Position To Software Id: 
Type Option, Press Enter
1=Select To Submit Hash Comparision
Opt Software-Id
- E1150_12
- Y1150_12
Bottom
F3=Exit F5=Refresh F6=Run for All Software Ids F12=Cancel
MA a MW 04/065
1902 - Session successfully started
```

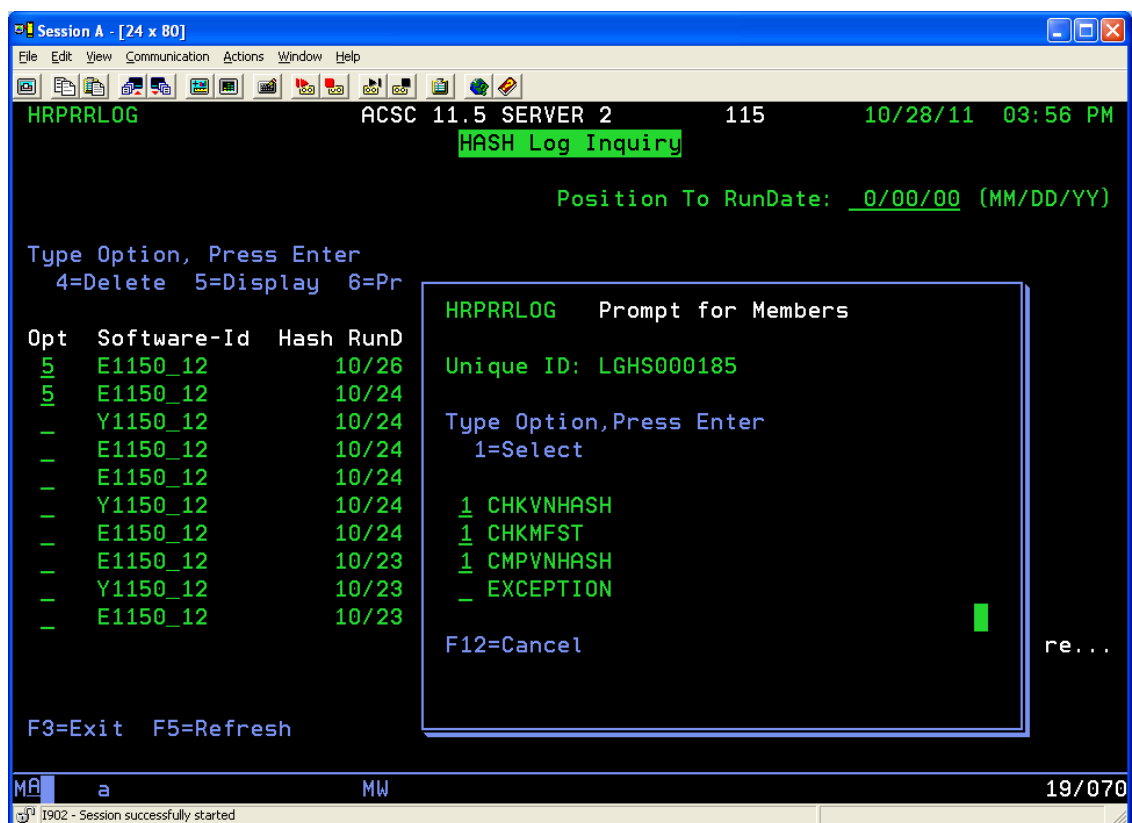
After the verification job is complete, select the Hash Log Inquiry option.

```
Session A - [24 x 80]
File Edit View Communication Actions Window Help
NPNVR500 ACSC 11.5 SERVER 2 115 10/31/11 09:51 AM
Hash Routine S1150_1
1. Submit Comparison Routine
2. Hash Log Inquiry
3. Hash Purge Process
Option 
F3=Exit F5=Refresh F7=Search Options F8=Menu Parameters F11=Bookmarks
F12=Previous F13=Snooze F14=Recent Options F15=Printer Services F20=Chg Pwd
Mode-N FB# 0000
Bottom
MA a MW 20/009
1902 - Session successfully started
```





Place a 5 on the option line next to the Software ID and press enter to display the log options. Place a 1 on the option line next to each log and press enter to display the result.





Select the CHKVNHASH option to display the Comparison report.

```
Session A - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG ACSC 11.5 SERVER 2 115 10/27/11 04:00 PM
Hash Log Inquiry Details - CHKVNHASH

Unique ID: LGHS000184

*****
Check SHA-1 HASH utility
*****
Programs found in library SMSPGMLW : 1979
Programs found in library CASPGMLW : 3959
*****
Total objects counted: 5938
***** SHA-1 HASH *****
7441B9F4C4AB96DE42D4D0D8CC162F1DF943B4C6
***** APPROVED HASH *****
7441B9F4C4AB96DE42D4D0D8CC162F1DF943B4C6

Bottom
F12=Cancel
MA a MW 01/001
I902 - Session successfully started
```





Select the CMPVNHASH option to display the Comparison report.

```
Session A - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG ACSC 11.5 SERVER 2 115 10/27/11 10:40 AM
Hash Log Inquiry Details - CMPVNHASH

Unique ID: LGHS000194

*****
Version Variance Comparison Utility
*****
Variance found for program: CPCPB335
Reported stamp from manifest: 1100902020958
Stamp from CASPGMLW/CPCPB335: 1111017062346
*****

F12=Cancel Bottom

MA a MW 01/001
I902 - Session successfully started
```





Select the CHKMFSST option to display any exceptions found during the verification process against the Manifest file.

```
Session B - [24 x 80]
File Edit View Communication Actions Window Help
HRPRLLOG GLI-NJ ACSC 10.0 5/14/09 10:12 AM
Hash Log Inquiry Details - CHKMFSST

Unique ID: LGHS000027

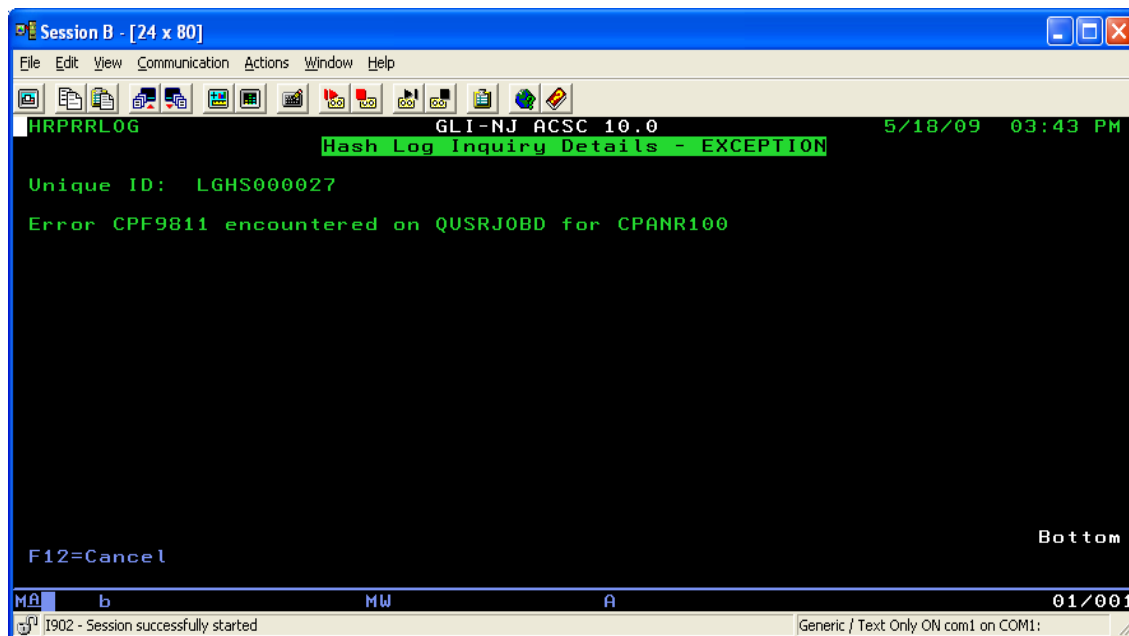
*****
Check Program Against Manifest Utility
*****
Programs found in library UNVPGMT : 22
Programs found in library SLTPGM31T : 584
Programs found in library SMSPGM31T : 899
Programs found in library CASPGM31T : 2689
Program Object: AARON21 does not exist in manifest
*****

Bottom
F12=Cancel
MA b A 01/001
I902 - Session successfully started Generic / Text Only ON com1 on COM1:
```





An exception report has been added to the signature process. If an object is found in the manifest file but not in the compared libraries an error message is displayed on this report.



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If you should have any questions regarding this information, please feel free to contact our office.

Sincerely,
GAMING LABORATORIES INTERNATIONAL, LLC

Christine M. Gallo
Vice President of Technical Compliance and Quality Assurance

c: Mr. Jim Slattery, Bally Technologies

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THIS REPORT CONTAINS SPECIAL NOTES
(denoted by "LOOK")

Date of Report: April 10, 2015

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This report was sent to the
Massachusetts Gaming Commission

Issued By: Gaming Laboratories World Headquarters
Christine M. Gallo
Vice President of Technical Compliance and Quality Assurance
600 Airport Road, Lakewood, NJ 08701
(732) 942-3999
www.gaminglabs.com

Certification of: New Bally Technologies Custom Library for the Advanced Casino
Systems Corporation (ACSC) On-Line System and One New
Penn FixPack 4 and Penn Universe Mod Pack IV

GLI File Numbers: SY-286-ADC-13-01 (Penn Universe Mod Pack IV)
SY-286-ADC-14-01 (Penn_FixPack4)

Standards Tested Against and the Test Results:

Standards Tested Against	Test Results
205 CMR 143.00: Gaming Devices and Electronic Gaming Equipment	Pass
GLI-13 - Monitoring and Control Systems	Pass
GLI-16 - Cashless Systems	Pass
GLI-18 - Promotional Systems	Pass

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**Evaluating Location:**

GLI World Headquarters 600 Airport Road Lakewood, NJ 08701

SYSTEM**System Software Descriptions:****TSPENNMOD1**

Custom libraries are associated files added on top of the overall system software to provide enhancements specific to a location without altering the certified system software. The TSPENNMOD1 Custom Library provides a number of custom location options. These location options allow for these options:

- Enhancement on Jackpot Payout screen
- Coupon Redemption
- Promotional Coupons by Date
- Bulk Upload Utility
- QAS Installation

TSPUMAPGM1

Custom libraries are associated files added on top of the overall system software to provide enhancements specific to a location without altering the certified system software. The TSPUMAPGM1 Custom Library provides a number of enhancements. These enhancements add the following features:

- Resending of failed outbound transactions
- Improve performance of the Fail Over Sync job
- S2S Dashboard



Penn FixPack 4

The fix pack software includes modifications and enhancements that are stored in the TSPENFIXXX library which is applied to the previously approved ACSC 11.5.0 E1150_12 system software.

The signature below is for the additional library that is added to the ACSC CMS/SMS 11.5.0 E1150_12 system software. This Fix Pack library stores objects added to the system to support local and cross property functionality. A SHA-1 signature will be generated for all of the objects included in the library after the verification process has been completed.

Penn Universe Mod Pack IV Emergency Pack 11.5.0 E1150_12

Architecture Level	Software Group Name	Library	SHA-1 Signature
AS/400	CMS/SMS	TSPENNMOD1	8AC7CDE69978B158462DD875 A04A45B918C2BDB4
AS/400	CMS/SMS	TSPUMAPGM1	28C90EAD7B01067158B0EA38 125B24CC51B96500

Penn FixPack 4 applied to Emergency Pack 11.5.0 E1150_12

Architecture Level	Software Group Name	Version	Libraries	SHA-1 Signature
AS/400	CMS/SMS	Penn_FixPack4	TSPENFIXXX	3FBD0DDA87AA8F295AC6 AD60F341FD6CA1F95C32



**System Software Notes:**

The previously listed custom libraries TSPENNMOD1 and TSPUMAPGM1 are applied to the previously approved Advanced Casino Systems Corporation (ACSC) on-line system.

Please note this Certification Report serves as a Phase I Certification of the Bally Technologies custom libraries Penn FixPack 4 and Penn Universe Mod Pack IV product(s) only. Phase II testing or field inspection, is recommended.

The Verification module for the ACSC system uses the SHA-1 algorithm to create a unique 40-character signature for specific libraries. An individual Sha-1 signature is created for the custom library listed below.

The 'XX' in library names indicates that these could vary on any given system based on the name given to the database.

A SHA-1 signature is generated after running the SHA-1 algorithm over the sum of all of date and timestamps of all of the objects in the specified libraries. If objects are modified, added or removed from the verified libraries the SHA-1 signature will change accordingly.

Gaming Laboratories International, LLC recommends the manufacturer's ability to remotely access the system for any reason be closely monitored by the regulatory agency.

 LOOK



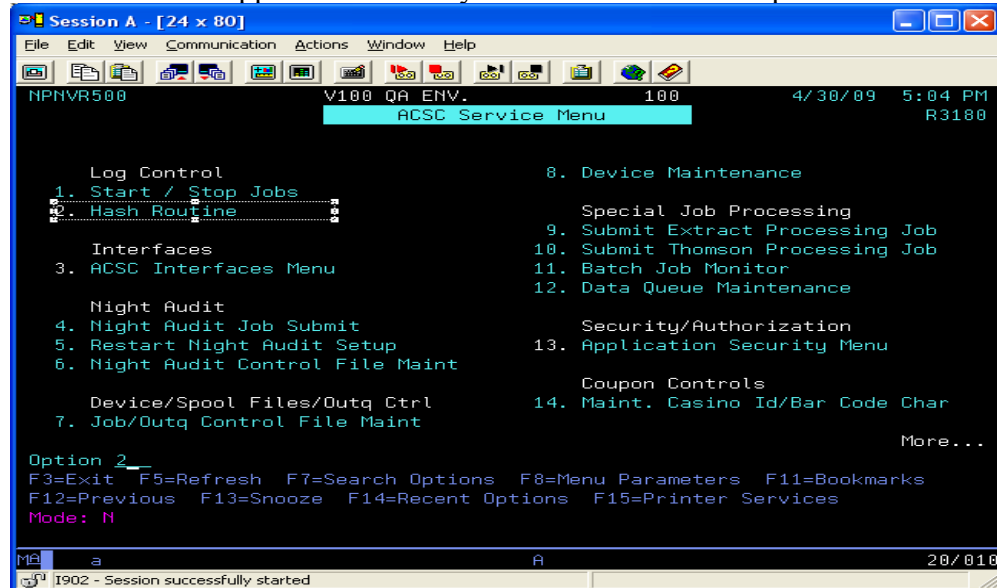
System Verification Procedure:

The ACSC Verification module consists of three separate programs that perform different tasks in the verification process. The names of the programs are Find Version Hash (CHKVNHASH), Create Exception Report Based On Manifest (CMPVNHASH), and the Create Exception Report Based On Library Objects (CHKMFST).

Procedure For Verification

After the installation is completed, Log on to the system with the Administrative user ID and password.

Once logged in as the administrator, from the main menu select the ACSC Service Menu> Application security menu>Hash Routine option.





Select the Submit Comparison Routine to generate the hash signature.

```
Session A - [24 x 80]
File Edit View Communication Actions Window Help
NPNVR500 ACSC 11.5 SERVER 2 115 10/31/11 09:51 AM
Hash Routine S1150_1

1. Submit Comparison Routine
2. Hash Log Inquiry
3. Hash Purge Process

Option
F3=Exit F5=Refresh F7=Search Options F8=Menu Parameters F11=Bookmarks
F12=Previous F13=Snooze F14=Recent Options F15=Printer Services F20=Chg Pwd
Mode-N FB# 0000

MA a MW 20/009
1902 - Session successfully started
```

Press the F6 key to submit the hash jobs.

```
Session A - [24 x 80]
File Edit View Communication Actions Window Help
HRPRSBMJB ACSC 11.5 SERVER 2 115 10/28/11 03:52 PM
HASH Submit Comparison Routine
Position To Software Id:

Type Option, Press Enter
1=Select To Submit Hash Comparision

Opt Software-Id
- E1150_12
- Y1150_12

Bottom

F3=Exit F5=Refresh F6=Run for All Software Ids F12=Cancel

MA a MW 04/065
1902 - Session successfully started
```





After the verification job is complete, select the Hash Log Inquiry option.

```
Session A - [24 x 80]
File Edit View Communication Actions Window Help
NPNVR500 ACSC 11.5 SERVER 2 115 10/31/11 09:51 AM
Hash Routine S1150_1

1. Submit Comparison Routine
2. Hash Log Inquiry
3. Hash Purge Process

Option 2

F3=Exit F5=Refresh F7=Search Options F8=Menu Parameters F11=Bookmarks
F12=Previous F13=Snooze F14=Recent Options F15=Printer Services F20=Chg Pwd
Mode-N FB# 0000

MA a MW 20/009
1902 - Session successfully started
```

Place a 5 on the option line next to the Software ID and press enter to display the log options. Place a 1 on the option line next to each log and press enter to display the result.

```
Session A - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG ACSC 11.5 SERVER 2 115 10/28/11 03:56 PM
HASH Log Inquiry
Position To RunDate: 0/00/00 (MM/DD/YY)

Type Option, Press Enter
4=Delete 5=Display 6=Pr

Opt Software-Id Hash RunD
5 E1150_12 10/26
5 E1150_12 10/24
- Y1150_12 10/24
- E1150_12 10/24
- E1150_12 10/24
- Y1150_12 10/24
- E1150_12 10/24
- E1150_12 10/23
- Y1150_12 10/23
- E1150_12 10/23

F3=Exit F5=Refresh

HRPRRLOG Prompt for Members
Unique ID: LGHS000185
Type Option, Press Enter
1=Select
1 CHKVNHASH
1 CHKMFAST
1 CMPVNHASH
- EXCEPTION
F12=Cancel

re...
```



Select the CHKVNHASH option to display the Comparison report.

```

Session A - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG ACSC 11.5 SERVER 2 115 10/27/11 04:00 PM
Hash Log Inquiry Details - CHKVNHASH

Unique ID: LGHS000184

*****
Check SHA-1 HASH utility
*****
Programs found in library SMSGMLW : 1979
Programs found in library CASPGMLW : 3959
*****
Total objects counted: 5938
***** SHA-1 HASH *****
7441B9F4C4AB96DE42D4D0D8CC162F1DF943B4C6
***** APPROVED HASH *****
7441B9F4C4AB96DE42D4D0D8CC162F1DF943B4C6

Bottom

F12=Cancel
MA a MW 01/001
I902 - Session successfully started

```

Select the CMPVNHASH option to display the Comparison report.

```

Session A - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG ACSC 11.5 SERVER 2 115 10/27/11 10:40 AM
Hash Log Inquiry Details - CMPVNHASH

Unique ID: LGHS000194

*****
Version Variance Comparison Utility
*****
Variance found for program: CPCPB335
Reported stamp from manifest: 1100902020958
Stamp from CASPGMLW/CPCPB335: 1111017062346
*****

Bottom

F12=Cancel
MA a MW 01/001
I902 - Session successfully started

```





Select the CHKMFST option to display any exceptions found during the verification process against the Manifest file.

```
Session B - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG GLI-NJ ACSC 10.0 5/14/09 10:12 AM
Hash Log Inquiry Details - CHKMFST

Unique ID: LGHS000027

*****
Check Program Against Manifest Utility
*****
Programs found in library UNVPGMT : 22
Programs found in library SLTPGM31T : 584
Programs found in library SMSPGM31T : 899
Programs found in library CASPGM31T : 2689
Program Object: AARON21 does not exist in manifest
*****

F12=Cancel Bottom
MA b A 01/001
I902 - Session successfully started Generic / Text Only ON com1 on COM1:
```

An exception report has been added to the signature process. If an object is found in the manifest file but not in the compared libraries an error message is displayed on this report.

```
Session B - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG GLI-NJ ACSC 10.0 5/18/09 03:43 PM
Hash Log Inquiry Details - EXCEPTION

Unique ID: LGHS000027

Error CPF9811 encountered on QUSRJOB0 for CPANR100

F12=Cancel Bottom
MA b MW A 01/001
I902 - Session successfully started Generic / Text Only ON com1 on COM1:
```

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All items identified in the “Certification of:” section on the first page of the report are considered certified as of the date shown in the “Date of Report:” section on the first page of the original GLI issued Report. All of the items are certified for use until such time notification is sent indicating that an item is no longer permitted to be used within the jurisdiction specified. Additional information regarding the validity of this certification can also be obtained via GLIAccess and/or the Evaluation and Certification Guide, which is available on the gaminglabs.com website. Use of the Certified Mark represents the users agreement to permit, allow and accommodate authorized representatives of GLI to perform a surveillance audit of the use of the Mark and to permit an authorized representative of the American Association of Laboratory Accreditation (A2LA) to perform a surveillance audit, at their discretion and at their expense, to confirm that the use of the Mark in no way implies that A2LA endorses or certifies any of the Marks, services or processes of the company, group or organization requesting the use of the GLI Certified Mark.



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Sincerely,
GAMING LABORATORIES INTERNATIONAL, LLC

Christine M. Gallo
Vice President of Technical Compliance and Quality Assurance

c: Mr. Jim Slattery, Bally Technologies

mt



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September 17, 2020

WEBSITE COPY

This report was sent to the
Massachusetts Gaming Commission

RE: Update to **Gaming Laboratories International, LLC** Certification
Report SY-497-ADC-15-07 dated September 21, 2015

Dear Sir or Madam:

By Certification Report dated September 21, 2015, **Gaming Laboratories International, LLC** certified SG Gaming, Inc. IDS Integration Interface Emergency Pack 2 to be used in the jurisdiction of Massachusetts Gaming.

At the request of SG Gaming, Inc., the 'System Software Being Certified' section of the report has been revised to provide the correct SHA-1 Signature for Libraries, TSPEI5IDS. In addition, the Certification Report has been revised to reflect the latest notations.

The attached report serves as a wholesale amendment and is intended to replace the original report in its entirety. We apologize for any inconvenience this may have caused you and/or your staff.

If you should have any questions regarding this matter, please feel free to contact our office.

Sincerely,

GAMING LABORATORIES INTERNATIONAL, LLC

Christine M. Gallo
Vice President of Technical Compliance and Quality Assurance

ENCLOSURE

c: Mr. Jim Slattery, SG Gaming, Inc.

sl





THIS REPORT CONTAINS A SPECIAL NOTE
(denoted by "LOOK")

Date of Report: September 17, 2020^①

Issued To: WEBSITE COPY
This report was sent to the
Massachusetts Gaming Commission

Issued By: Gaming Laboratories World Headquarters
Christine M. Gallo
Vice President of Technical Compliance and Quality Assurance
600 Airport Road, Lakewood, NJ 08701
(732) 942-3999
www.gaminglabs.com

Certification of: SG Gaming, Inc. IDS Integration Interface Emergency Pack 2

GLI File Number: SY-497-ADC-15-07

Start Date of Product Testing: August 20, 2015

Standards Tested Against and the Test Results:

Standards Tested Against	Test Results
205 CMR 143.00: Gaming Devices and Electronic Gaming Equipment	Pass

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Registration Number of Accreditation applicable to this report:	A2LA 2428.05
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Product Certification Summary:

Product ID
TSPEI5IDS
ACSCOutboundService.aar
BALLY_ACSC_WEB_SERVICE_PENN_IDS_INSTALLER.exe

SYSTEM**System Software Description:**IDS Integration interface

The IDS Integration interface allows for the ACSC system to communicate with the Commonwealth of Massachusetts Department of Revenue (DOR) Winnings Intercept Service. The interface allows properties in Massachusetts to deduct any outstanding amount owed to the State from a player's jackpot winnings. This information is verified with the DOR using first name, last name, and Taxpayer ID Number (Social Security). When a jackpot is processed that exceeds the reporting threshold, a request is sent to the DOR database from the ACSC system. A response is then sent back with information on any amount outstanding. The player is then paid, minus the amount owed.



**System Software Being Certified:**

IDS Interface library applied to ACSC CMS/SMS 11.5.0 E1150 12

Architecture Level	Software Group Name	Libraries	SHA-1 Signature
AS/400	CMS/SMS	TSPEI5IDS	BA54D95BF45156CFD0BB8 738301FE9E7DE52AE7D

IDS Interface Server Emergency Pack 2

File Name	Type	Kobe4 Signature	SHA-1 Signature	CDCK Signature
ACSCOutboundService.aar	FILE(S)	OUHF	0C0EAAE6EB40991CFD3E 90C19EAE5B6D69F21F04	2BF5
BALLY_ACSC_WEB_SERVICE _PENN_IDS_INSTALLER.exe	FILE(S)	U8AC	16A4BF6EB0837F94BE8E C85E9A914063635E3430	E0E8

System Software Modifications:

The TSPEI5IDS Emergency Pack 2 software is MODIFYING the previously certified TSPEI5IDS software. The modifications are as follows:

1. A new Jackpot Intercepts Report has been added. The report displays processed jackpot and jackpot intercept transactions. The report also displays the name of the authorizer for each jackpot intercept transaction.
2. A modification has been made to include the notification of the IDS communication status in the QSYSOPR message queue to display whether or not communication is available for intercepting the jackpot amounts.

Note: Modified software does not have to be removed from the field. The changes were cosmetic or enhancements to the previously certified version. This software, in addition to the previously certified version, will be listed on your Certified Report.





System Software Notes:

① Updates to the previously issued report dated September 21, 2015 were made which include providing the correct SHA-1 Signature for Libraries, TSPEI5IDS.

The Verification module for the ACSC system uses the SHA-1 algorithm to create a unique 40-character signature for specific libraries. An individual SHA-1 signature is created for the custom library listed below.

The TSPEI5IDS contains objects that are associated with jackpot functionality and communication with the Interagency Data Service (IDS).

A SHA-1 signature is generated after running the SHA-1 algorithm over the sum of all of date and timestamps of all of the objects in the specified libraries. If objects are modified, added or removed from the verified libraries the SHA-1 signature will change accordingly.

Gaming Laboratories International, LLC recommends the manufacturer's ability to remotely access the system for any reason be closely monitored by the regulatory agency.

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**System Software Verification Procedures:**Verify+ by Kobetron™ - Verification Procedure:

1. Open Verify+ by Kobetron™
2. Select the 'File' radio button
3. Click "Browse", specify the file you wish to signature and click the "Open" button
4. If a different seed is needed, click the 'Options', then 'General Options' and enter a new seed
5. If needed, other File options can be found by clicking 'Options' then 'File Options'
6. Click the "Verify" button
7. The current file being checked will be displayed in the window
8. The program will generate the aforementioned signatures and display the results

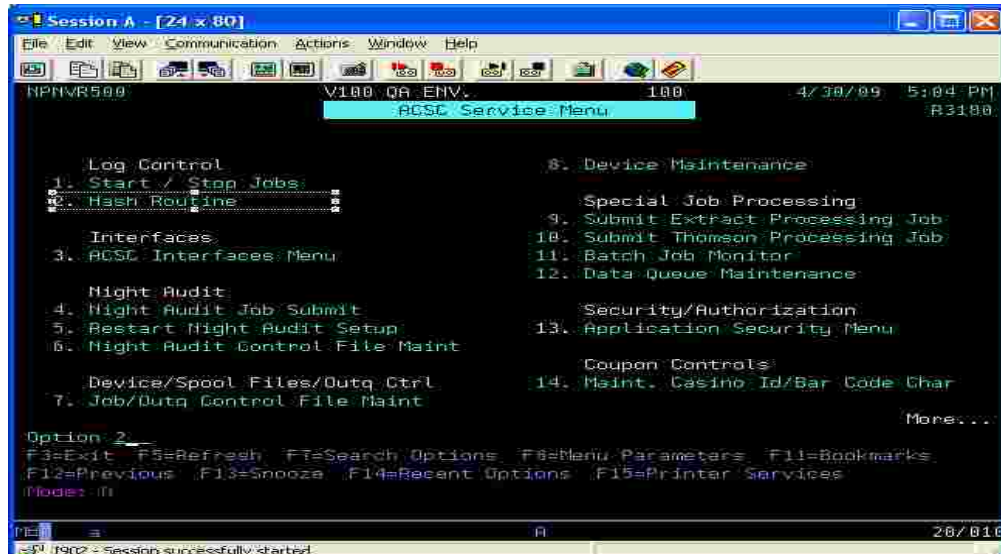
The ACSC Verification module consists of three separate programs that perform different tasks in the verification process. The names of the programs are Find Version Hash (CHKVNHASH), Create Exception Report Based On Manifest (CMPVNHASH), and the Create Exception Report Based On Library Objects (CHKMFST).

Procedure for Verification for TSPEI5IDS:

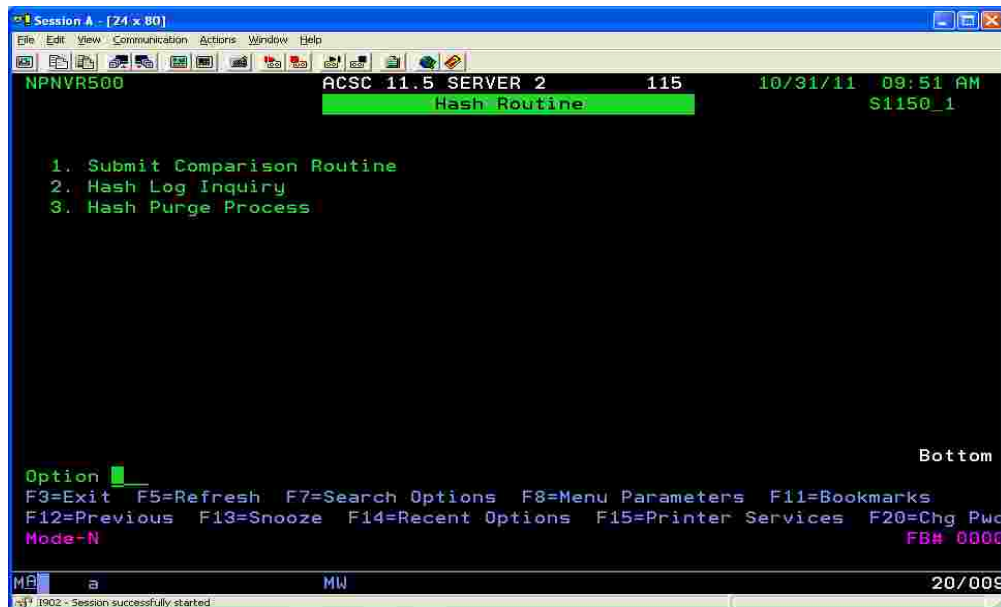
After the installation is completed, Log on to the system with the Administrative user ID and password.

Once logged in as the administrator, from the main menu select the ACSC Service Menu> Application security menu>Hash Routine option.



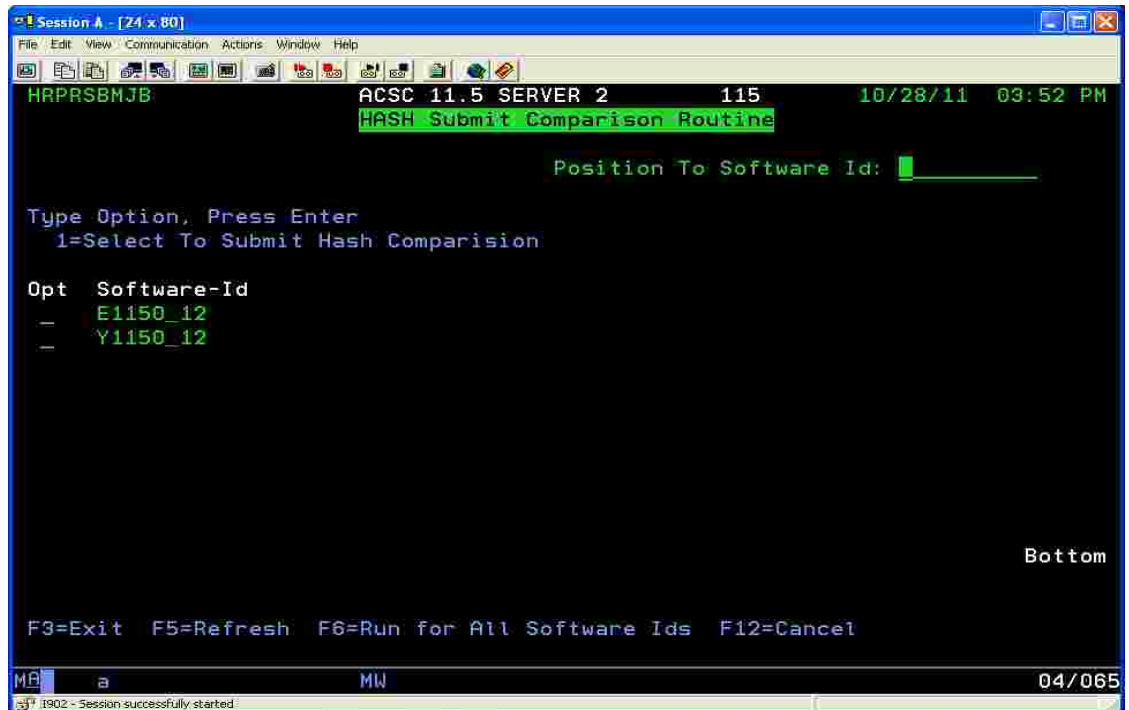


Select the Submit Comparison Routine to generate the hash signature.



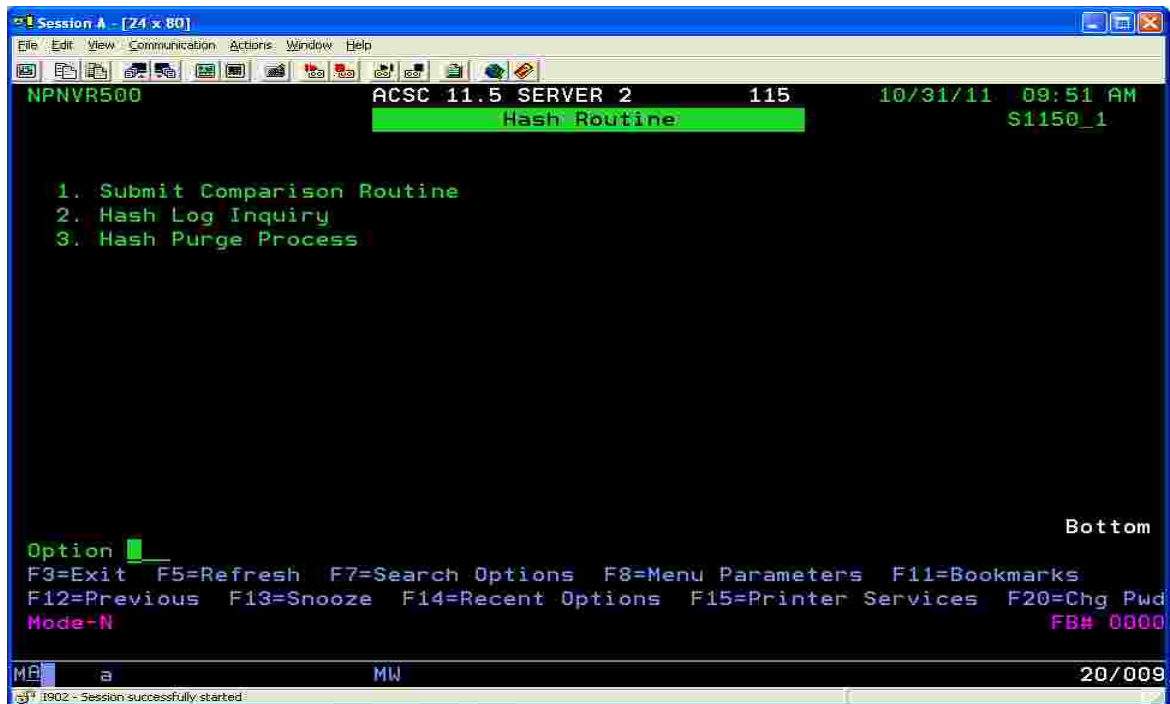
Press the F6 key to submit the hash jobs.





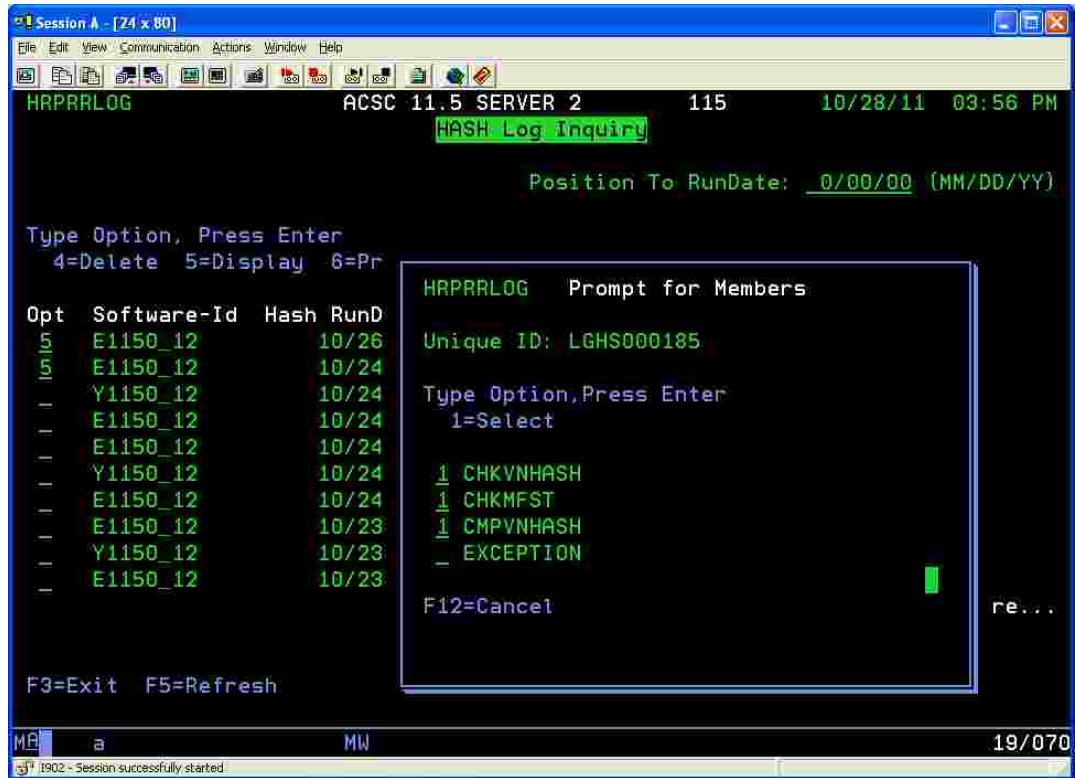
After the verification job is complete, select the Hash Log Inquiry option.





Place a 5 on the option line next to the Software ID and press enter to display the log options. Place a 1 on the option line next to each log and press enter to display the result.





Select the CHKVNHASH option to display the Comparison report.





```
Session A - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG ACSC 11.5 SERVER 2 115 10/27/11 04:00 PM
Hash Log Inquiry Details - CHKVNHASH

Unique ID: LGHS000184

*****
Check SHA-1 HASH utility
*****
Programs found in library SMSPGMLW : 1979
Programs found in library CASPGMLW : 3959
*****
Total objects counted: 5938
***** SHA-1 HASH *****
7441B9F4C4AB96DE42D4D0D8CC162F1DF943B4C6
***** APPROVED HASH *****
7441B9F4C4AB96DE42D4D0D8CC162F1DF943B4C6

F12=Cancel Bottom

MA a MW 01/001
1902 - Session successfully started
```

Select the CMPVNHASH option to display the Comparison report.





```
Session A - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG ACSC 11.5 SERVER 2 115 10/27/11 10:40 AM
Hash Log Inquiry Details - CMPVNHASH

Unique ID: LGHS000194

*****
Version Variance Comparsion Utility
*****
Variance found for program: CPCPB335
Reported stamp from manifest: 1100902020958
Stamp from CASPGMLW/CPCPB335: 1111017062346
*****

F12=Cancel Bottom
MA a MW 01/001
1902 - Session successfully started
```

Select the CHKMFST option to display any exceptions found during the verification process against the Manifest file.





```
Session B - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG GLI-NJ ACSC 10.0 5/14/09 10:12 AM
Hash Log Inquiry Details - CHKMEST
Unique ID: LGHS000027
*****
Check Program Against Manifest Utility
*****
Programs found in library UNVPGMT : 22
Programs found in library SLTPGM31T : 584
Programs found in library SMSPGM31T : 899
Programs found in library CASPGM31T : 2689
Program Object: AARON21 does not exist in manifest
*****
F12=Cancel
Bottom
01/001
Generic / Text Only CN.com on COM1:
```

An exception report has been added to the signature process. If an object is found in the manifest file but not in the compared libraries an error message is displayed on this report.

```
Session B - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG GLI-NJ ACSC 10.0 5/18/09 03:43 PM
Hash Log Inquiry Details - EXCEPTION
Unique ID: LGHS000027
Error CPF9811 encountered on QUSRJOB0 for CPANR100
F12=Cancel
Bottom
01/001
Generic / Text Only CN.com on COM1:
```

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**Compatible Item(s):**

Testing was performed by GLI using compatible components as defined by the manufacturer and the software/hardware being certified within this report is expected to be used in conjunction with previously and/or subsequently certified and compatible software, hardware and system(s). A list of all components used during the evaluation performed by GLI has been internally documented and can be made available upon request.

If you should have any questions regarding this information, please feel free to contact our office.

Sincerely,

GAMING LABORATORIES INTERNATIONAL, LLC

Christine M. Gallo

Vice President of Technical Compliance and Quality Assurance

c: Mr. Jim Slattery, SG Gaming, Inc.

mt/sl





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May 31, 2017

Mr. Jim Slattery
Bally Gaming, Inc.
3133 Fire Road
Egg Harbor Township, NJ 08234

RE: Bally Gaming, Inc. Pre-Commitment Interface Emergency Pack 5

REF: SY-497-ADC-17-01

Dear Mr. Slattery:

At the request of Bally Gaming, Inc., **Gaming Laboratories International, LLC** has performed a functional analysis of the Pre-Commitment Interface Emergency Pack 5 as directed by the Massachusetts Gaming Commission.

System Software Descriptions:

Pre-Commitment Application:

The Pre-Commitment Application is a management software system that integrates, collects and manages players' spending details from the Casino Management and Slot Management systems. The Pre-Commitment Application allows casinos and players to set, manage and track spending at the slot machine for enrolled players at any point of time. Participation and enrollment in the Pre-Commitment Application is solely decided upon by the player.

When a player registers for Pre-Commitment, the player can set and manage voluntary gaming limits in an attempt to control and gain awareness of the player's game spending. Additionally, it allows casinos to implement gaming limits set by their geography or gaming regulatory jurisdiction.

Pre-Commitment Interface Emergency Pack 5:

The Pre-Commitment Interface Emergency Pack 5 library is applied to the Bally Gaming, Inc. ACSC CMS/SMS Emergency Pack version 11.5.0 E1150_12. This library contains objects that interact with the Pre-Commitment Application.



System Software Evaluated:

Pre-Commitment Interface Emergency Pack 5 Library Applied to ACSC CMS/SMS
Emergency Pack version 11.5.0 E1150_12

Architecture Level	Software Group Name	Version	Library	SHA-1 Signature
AS/400	CMS/SMS	11.5.0 E1150_12	TSPENPCS	0B098EDEC82DA366D47D64E12FCB29B341E7ECAE

Testing Performed:

The software within this report was tested as outlined below:

- Testing of Pre-Commitment loss limits.
- Testing of Pre-Commitment notifications at the slot machine.
- Reconciliation of patron rating activity and the slot machine meters.
- Verification of patron profile information sent from the iSeries to the Pre-Commitment server.
- Reconciliation of the Massachusetts Gaming Commission GTR Report and slot machine validator drop data.
- Verification of patron exclusion details included on the Player Demographics DOA report.



GLI has performed the above functionality tests and has identified the following deficiency:

- Due to a delay in relaying player activity at the slot machine to the Pre-Commitment Server, the player is able to exceed the configured pre-commitment limits prior to a notification being displayed to the player.

Conclusion:

Based on our evaluation, **Gaming Laboratories International, LLC** concludes that Pre-Commitment Interface Emergency Pack 5 does not impact existing technical regulations therefore, would not currently require further testing unless specifically requested by a regulatory agency.

Please note, GLI in no way considered the jurisdictions of Colorado, Illinois, Kansas (KRGC), Mississippi, Missouri and Nevada during this evaluation. Requests for a functional evaluation of any concepts, systems, or devices, intended for these jurisdictions, must be addressed directly with the respective gaming regulatory agency in that jurisdiction.



SY-497-ADC-17-01

GLI-1

May 31, 2017

Page 4 of 4

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If you should have any questions regarding this information, please feel free to contact our office.

Sincerely,

GAMING LABORATORIES INTERNATIONAL, LLC

A handwritten signature in cursive script, appearing to read "Chello", is displayed within a light gray rectangular box.

Christine M. Gallo

Vice President of Technical Compliance and Quality Assurance

np





THIS REPORT CONTAINS A SPECIAL NOTE
(denoted by "  ")

Date of Report: October 24, 2019

Issued To: WEBSITE COPY
This report was sent to the
Massachusetts Gaming Commission

Issued By: Gaming Laboratories World Headquarters
Christine M. Gallo
Vice President of Technical Compliance and Quality Assurance
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(732) 942-3999
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Certification of: Bally Gaming, Inc. ACSC System Version 11.5.1.2 Penn Single
Bucket Mod 2

GLI File Number: SY-497-ADC-19-03

Start Date of Product Testing: October 2, 2019

Standards Tested Against and the Test Results:

Standards Tested Against	Test Results
205 CMR 143.00: Gaming Devices and Electronic Gaming Equipment	Pass
GLI-16 - Cashless Systems in Casinos	Pass
GLI-18 - Promotional Systems in Casinos	Pass

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**Product Certification Summary:**

Product ID
TSPENC2F

SYSTEM**System Description:****ACSC System Version 11.5.1.2 Penn Single Bucket Mod 2**

The custom library includes enhancements to support single bucket functionality and retrieval of patron tier level details from the universal host system.

System Software Being Certified:**ACSC System Penn Single Bucket Mod 2 applied to Emergency Pack Version 11.5.1.2**

Architecture Level	Software Group Name	Version	Libraries	SHA-1 Signature
AS/400	CMS/SMS	11.5.1.2 Penn Single Bucket Mod 2	TSPENC2F	E4E71CC5B859523F6341829A5D9B5176ACB6B962



**System Software Modification:**

The TSPENC2F Version 11.5.1.2 Penn Single Bucket Mod 2 software is MODIFYING the previously certified TSPENC2F Version 11.5.1.2 Penn Single Bucket Mod 1.1 software. The modifications are as follows:

1. Previously, the promotional download process via the PENGEN universal bucket would validate the ACSC daily transaction limit after sending the balance lock. This was allowing the PENGEN bucket to deduct the balance despite the download transaction being rejected by ACSC. The balance download lock mechanism has been modified to now properly validate the player daily limit before sending the lock request to PENGEN which will now correctly enforce the set ACSC daily limits.
2. Added logic to record all the Promo Downloads (Single bucket downloads) in BT file in order to generate the Promotional Credits Summary report.

Note: Modified software does not have to be removed from the field. The changes were cosmetic or enhancements to the previously certified version. This software, in addition to the previously certified version, will be listed on your Certified Report.



**System Software Notes:**

Please note this Certification Report serves as a Phase I Certification of the Bally Gaming, Inc. TSPENC2F Version 11.5.1.2 Penn Single Bucket Mod 2 product(s) only. Phase II testing or field inspection is recommended.

A SHA-1 signature is generated after running the SHA-1 algorithm over the sum of all of date and timestamps of all of the objects in the specified libraries. If objects are modified, added or removed from the verified libraries the SHA-1 signature will change accordingly.

Gaming Laboratories International, LLC recommends the manufacturer's ability to remotely access the system for any reason be closely monitored by the regulatory agency.

LOOK

System Verification Procedure:

The ACSC Verification module consists of three separate programs that perform different tasks in the verification process. The names of the programs are Find Version Hash (CHKVNHASH), Create Exception Report Based On Manifest (CMPVNHASH), and the Create Exception Report Based On Library Objects (CHKMFST).

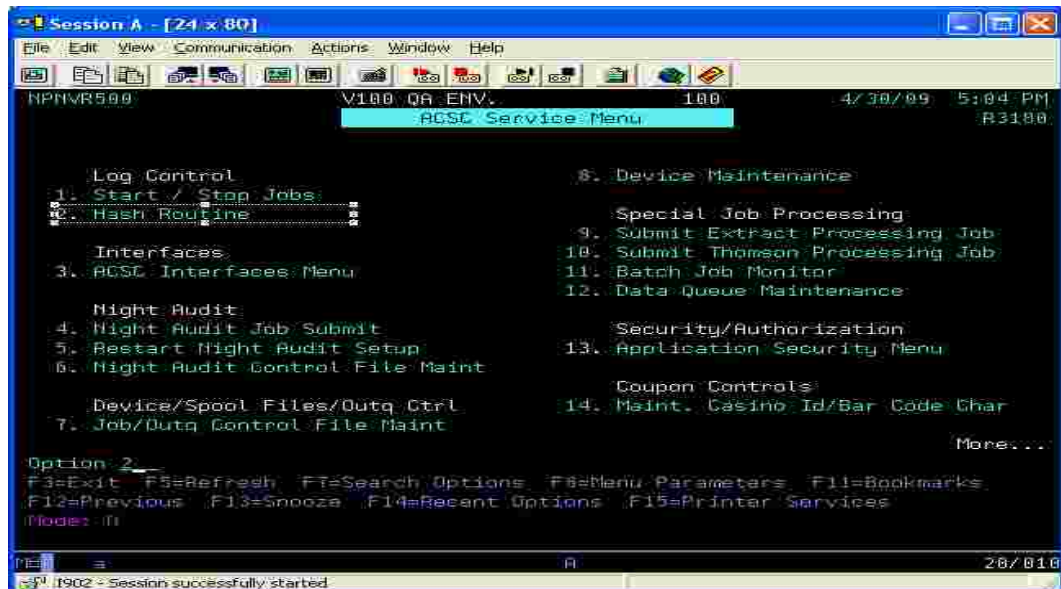




Procedure For Verification

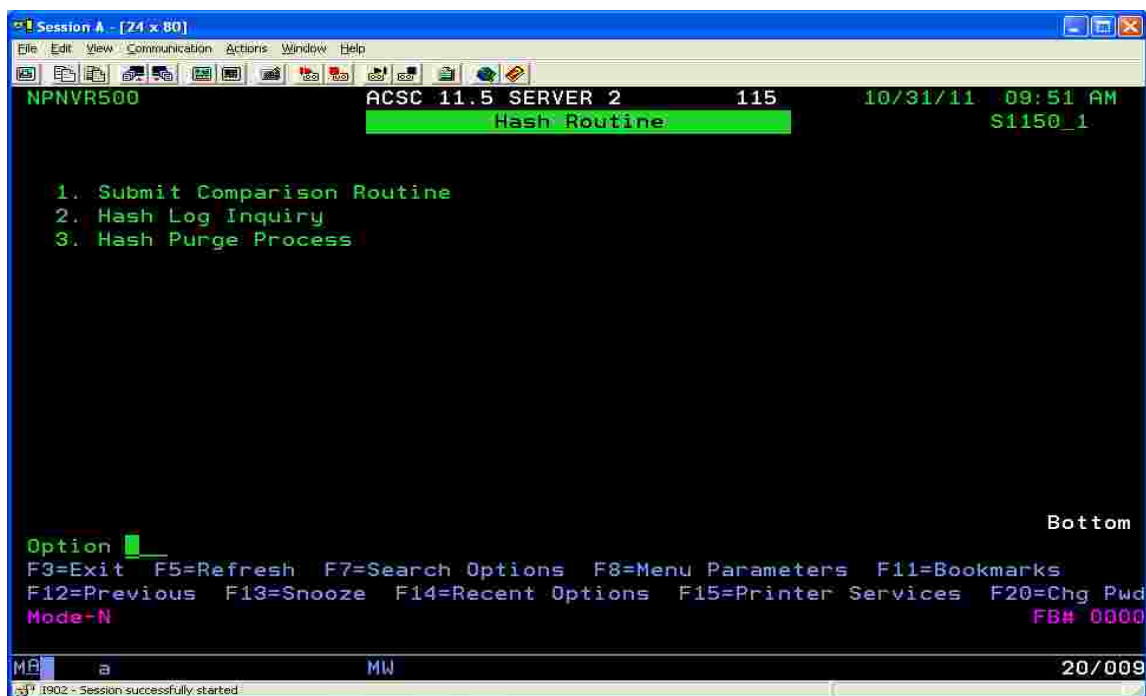
After the installation is completed, Log on to the system with the Administrative user ID and password.

Once logged in as the administrator, from the main menu select the ACSC Service Menu> Application security menu>Hash Routine option.



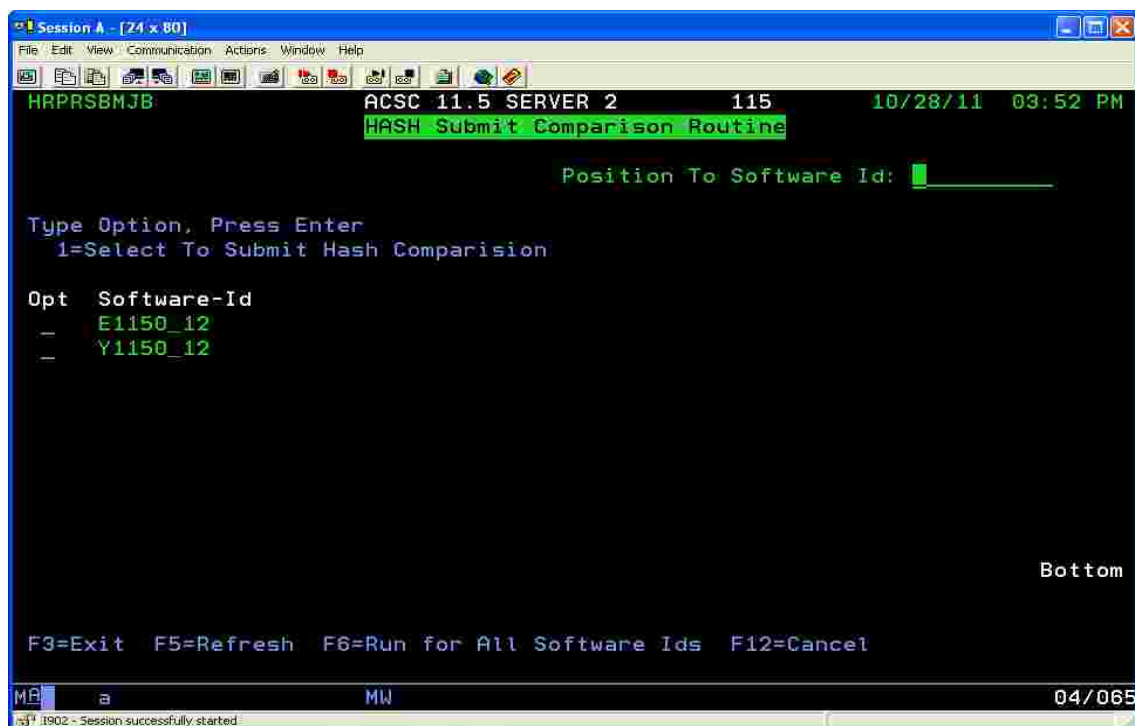


Select the Submit Comparison Routine to generate the hash signature.



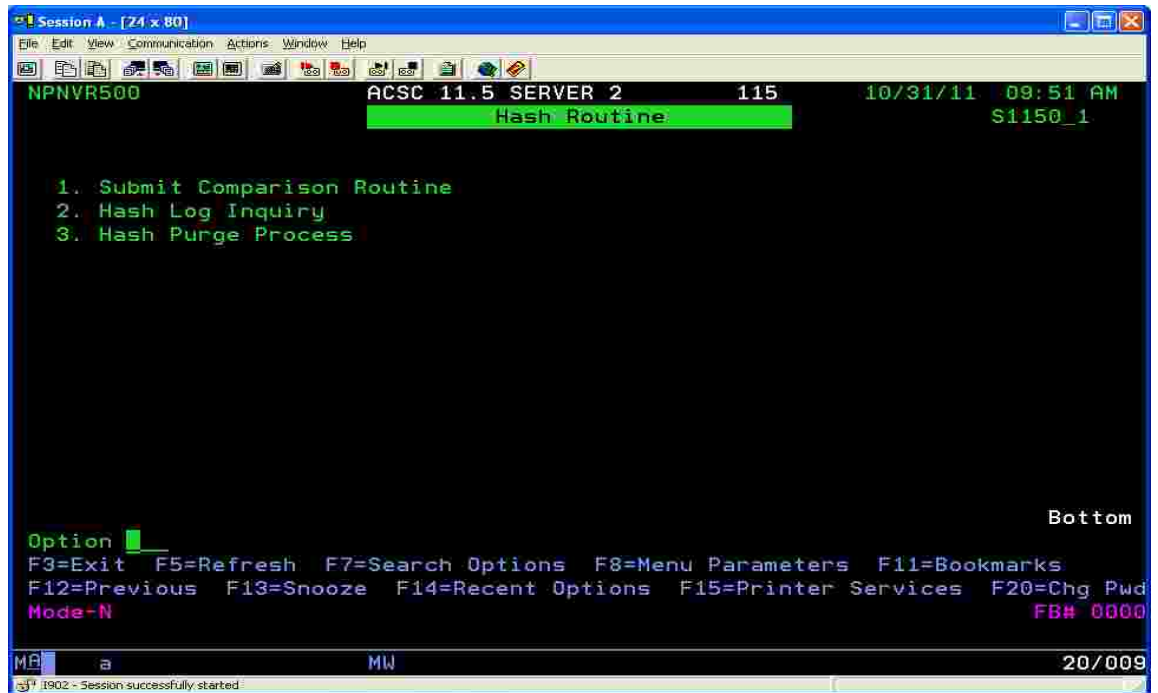


Press the F6 key to submit the hash jobs.





After the verification job is complete, select the Hash Log Inquiry option.





Place a 5 on the option line next to the Software ID and press enter to display the log options. Place a 1 on the option line next to each log and press enter to display the result.

```
Session A - [24 x 80]
File Edit View Communication Actions Window Help
HRPARRLOG ACSC 11.5 SERVER 2 115 10/28/11 03:56 PM
HASH Log Inquiry
Position To RunDate: 0/00/00 (MM/DD/YY)

Type Option, Press Enter
4=Delete 5=Display 6=Print

Opt Software-Id Hash RunD
5 E1150_12 10/26
5 E1150_12 10/24
Y1150_12 10/24
E1150_12 10/24
E1150_12 10/24
Y1150_12 10/24
E1150_12 10/24
E1150_12 10/23
Y1150_12 10/23
E1150_12 10/23

F3=Exit F5=Refresh

HRPARRLOG Prompt for Members
Unique ID: LGHS000185
Type Option, Press Enter
1=Select
1 CHKVNHASH
1 CHKMFTST
1 CMPVNHASH
EXCEPTION
F12=Cancel
```





Select the CHKVNHASH option to display the Comparison report.

```
Session 4 - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG ACSC 11.5 SERVER 2 115 10/27/11 04:00 PM
Hash Log Inquiry Details - CHKVNHASH

Unique ID: LGHS000184

*****
Check SHA-1 HASH utility
*****
Programs found in library SMSPGMLW : 1979
Programs found in library CASPGMLW : 3959
*****
Total objects counted: 5938
***** SHA-1 HASH *****
7441B9F4C4AB96DE42D4D0D8CC162F1DF943B4C6
***** APPROVED HASH *****
7441B9F4C4AB96DE42D4D0D8CC162F1DF943B4C6

F12=Cancel Bottom

MB a MW 01/001
1902 - Session successfully started
```





Select the CMPVNHASH option to display the Comparison report.

```
Session 4 - [24 x 80]
File Edit View Communication Actions Window Help
HRPRRLOG ACSC 11.5 SERVER 2 115 10/27/11 10:40 AM
Hash Log Inquiry Details - CMPVNHASH

Unique ID: LGHS000194

*****
Version Variance Comparison Utility
*****
Variance found for program: CPCPB335
Reported stamp from manifest: 1100902020958
Stamp from CASPGMLW/CPCPB335: 1111017062346
*****

F12=Cancel Bottom

MR a MW 01/001
1902 - Session successfully started
```





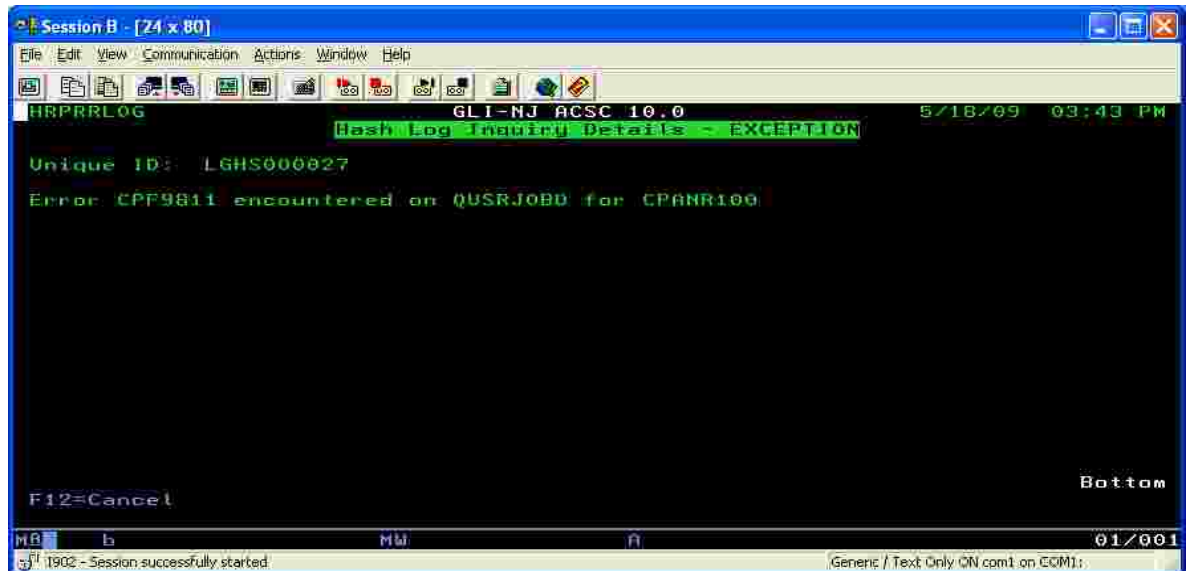
Select the CHKMST option to display any exceptions found during the verification process against the Manifest file.

```
Session B - [24 x 80]
File Edit View Communication Actions Window Help
HBPRRLOG GLI-NJ ACSC 10.0 5/14/09 10:12 AM
Hash Log Inquiry Details ~ CHKMST
Unique ID: LGHS000027
*****
Check Program Against Manifest Utility
*****
Programs found in library UNVPGMT : 22
Programs found in library SLIPGM31T : 584
Programs found in library SMSPGM31T : 899
Programs found in library CASPGM31T : 2689
Program Object: AARON21 does not exist in manifest
*****
F12=Cancel
Bottom
01/001
1902 - Session successfully started
Generic / Text Only (N com1 on COM1)
```





An exception report has been added to the signature process. If an object is found in the manifest file but not in the compared libraries an error message is displayed on this report.



**Compatible Item(s):**

Testing was performed by GLI using compatible components as defined by the manufacturer and the software/hardware being certified within this report is expected to be used in conjunction with previously and/or subsequently certified and compatible software, hardware and system(s). A list of all components used during the evaluation performed by GLI has been internally documented and can be made available upon request.

If you should have any questions regarding this information, please feel free to contact our office.

Sincerely,

GAMING LABORATORIES INTERNATIONAL, LLC

Christine M. Gallo

Vice President of Technical Compliance and Quality Assurance

c: Mr. Jim Slattery, Bally Gaming, Inc.

cc





MEMORANDUM REGARDING PPC's 1st RENEWAL APPLICATION

TO: Chair Cathy Judd-Stein
Commissioner Gayle Cameron
Commissioner Eileen O'Brien
Commissioner Bruce Stebbins
Commissioner Enrique Zuniga

FROM: Jill Lacey Griffin, Director
Crystal Howard, Program Manager

RE: Workforce, Supplier and Diversity Development Dept. on PPC Compliance over term of initial license

DATE: September 30, 2020

I. Introduction

The Workforce, Supplier and Diversity Development Department. submits this memorandum to the Massachusetts Gaming Commission (MGC or Commission) to report on its review of Plainridge Park Casino (PPC) compliance with certain requirements of the category 2 license. Specifically, this memorandum focuses on PPC's compliance over the five-year term of its initial license, with an emphasis on the following:

- A. Compliance with Impacted Live Entertainment Agreements
- B. Compliance with MOU between Commission and the MCCCCI
- C. Compliance with license condition - Affirmative Marketing Programs for businesses in c. 23K, sec. 21(a)(21)(i-iii)
- D. Compliance with license condition - affirmative action program for equal opportunity to residents identified in c. 23K, sec 21(a)(22)
- E. Compliance with license condition - plan to identify and market to unemployed Mass. Residents
- F. Compliance with license condition - regional tourism marketing and hospitality plan



Massachusetts Gaming Commission

- G. Compliance with RFA-2 Statement RE: - Vendor spending in MA
- H. Compliance with RFA-2 Statement RE: RFA-2 - Vendor diversity
- I. Statement RE: RFA - 2 - Employment goals (including hiring numbers and diversity)
- J. Statement RE: RFA-2 - Operational hiring commitments - workplace plan
- K. Statement RE: RFA - 2 - Compliance with average wage scales
- L. Statement RE: RFA - 2 - Operational Goods and Services - procurement plan

Compliance Over Five Year Term of Initial License

From opening the casino on July 24, 2015, Workforce, Supplier and Diversity Development Department has overseen several facets of the compliance of the licensee through the regular review of quarterly reports submitted to the commission, and regular communication with department leaders in human resources, procurement and marketing. Additionally, in 2018 staff began a review of Plainridge Park Casino's progress toward meeting its goals and requirements and stipulations set forth in Plainridge Park's: (a) original application; (b) host and surrounding community agreements; (c) Strategic Plan to Engage & Recruit the Diverse, Under & Underemployed Workforce Population (Workforce Plan) and associated RFA-2 workforce requirements. In addition to staff review of relevant documents, staff met with Plainridge Park management and departments numerous times on Plainridge Park's compliance. Plainridge Park also briefed the Commission Audit Committee on substantially complete matters. At the February 28, 2019 Commission meeting Plainridge Park briefed the Commission regarding its compliance with the above items; The Commission approved a revised Workforce Plan.

A. Compliance with Impacted Live Entertainment Agreements

Each gaming licensee is required to implement and abide by its agreement 205 Mass. Reg. 126.01 ("impacted live entertainment venue for purposes of M.G.L. c. 23K and 205 CMR:"). Submitted as an entry in the RFA-2 was an agreement between Springfield Gaming and Redevelopment LLC and the Massachusetts Performing Arts Coalition (MPAC) dated September 30, 2013. MPAC represents municipal and non-profit entertainment venues including SouthShore Music Circus, Cohasset; Zeiterion Theatre, New Bedford; Symphony Hall, Springfield; The Hanover Theater, Worcester; Lowell Memorial Auditorium, Cape Cod Melody Tent, Hyannis; and Lynn Auditorium.

1. The Director of Workforce, Supplier and Diversity Development had a telephone conversation with MPAC President Troy Siebels on June 29, 2020 to confirm Plainridge Park Casino adherence to the agreement.
2. Mr. Siebels subsequently testified regarding the licensee compliance during a public meeting and hearing convened by the Commission to obtain public input regarding the renewal of a Category 2 License to Plainridge Park Casino on September 16, 2020.

B. Compliance with MOU between Commission and the MCCCCI

Plainridge has fulfilled the spirit of the MOU--collaboration with the community colleges and career centers. The MOU between the MA Casino Careers Training Institute and Penn National Gaming, Inc. was signed on September 20, 2013 and submitted with the RFA-2. Plainridge works with both Massasoit and Bristol Community College and MA Department of Labor and Workforce Development's career centers. On October 30, 2018 Plainridge Park hosted MGC, area Mass Hire Career Center Directors and Community College representatives to brief them on the casino's hiring needs and discuss how to best work together. The Department of Labor and Workforce Development's Director of Career Services had recently appointed a regional representative to work with Plainridge Park on their hiring needs.

Plainridge stated in their June 13, 2020 letter regarding relicensing commitments to MGC, "PPC remains compliant with the vast majority of the conditions required by our gaming license....We attended college career fairs at Massasoit Community College April 3, 2019 and Bristol Community College May 8, 2019 and although we have registered for 2020, they have been cancelled due to Covid-19 restrictions.

C. Compliance with license condition - Affirmative Marketing Programs for businesses in Chapter 23K, sec. 21(a)(21)(i-iii)

This condition was met. Penn National Gaming executive's leadership and Turner Construction's consistent focus on the diversity goals throughout the construction period led to strong results. At the conclusion of construction, Penn National and contractor Turner Construction awarded a total of \$97.5 Million in direct construction contracts. The contractor reported that as of June 30, 2015 \$30.8 Million (32%) of the contracts have gone to minority, women and veteran owned businesses. \$7.8 Million (10%) of total contracts was awarded to

MBEs, \$9.5 Million (13%) of total contracts to WBEs, and \$7.7 Million (9%) to VBEs. The Category 2 Licensee surpassed their diversity goals which were 4% MBE, 7% WBE and 3% VBE.

1. Construction oversight manager Pinck and Company provided onsite compliance and verification.
2. Plainridge Park Casino also worked closely with MGC's Vendor Advisory Team and other state resources it provided; including being represented on the external diversity committee for the project.

D. Compliance with license condition - affirmative action program for equal opportunity to residents identified in c. 23K, sec 21(a)(22)

Massachusetts General Law (M.G.L.) Chapter 23K, Section (21) (a) (22) requires that the licensee create for commission approval and abide by an affirmative action program of equal opportunity whereby the licensee establishes specific goals for the utilization of minorities, women and veterans on construction jobs; These were required to be equal to or greater than the goals contained in executive office of administration and finance administration Bulletin Number 14 (15.3% minorities, 6.9% women).

Penn National and Turner Construction exceeded most of their diversity goals for the union construction workforce. They fell short of their goal for hiring of females in the trades. Minority individuals accounted for 17% of the construction work hours, compared with a goal of 16%. Veterans were 7% of the workforce on the project, exceeding an aspirational goal of 3%. Women accounted for 4% of the total construction workhours verses a goal of 7%.

1. MGC staff met with Turner Construction and union leadership several times during the course of the project to verify that the union did NOT have available female trades members.

E. Compliance with license condition - plan to identify and market to unemployed Mass Residents

Plainridge Park casino complied with this license condition. More than 50 percent of new hires at Plainridge Park Casino had previously been unemployed or underemployed, UMass Donahue Institute reported in May of 2017, from results of nearly two years (March

2015 to January 2017) of new Plainridge Park Casino employee questionnaires administered by the Massachusetts Gaming Commission.

F. Compliance with license condition - regional tourism marketing and hospitality plan

As referenced by Massachusetts Gaming License Condition 14, Penn National Gaming is required to submit a regional tourism marketing and hospitality plan created in consultation with the regional tourism council and with the Massachusetts Office of Travel and Tourism. In the June 10, 2020 attestation to the Commission, Plainridge Park stated that in 2015 they consulted with the Massachusetts Office of Travel and Tourism and members from the regions of Boston, Metro West, Bristol County and Plymouth County and Central Massachusetts to develop a regional tourism and hospitality plan as required by Chapter 23k section 18.

Plainridge has demonstrated examples of strong local and regional tourism partnerships.

1. Examples of the licensee partnerships to support regional tourism were evidenced by several letters to the Commission included as material for the public hearing on Sept 16, 2020. Fenway Sports Management, the sales and marketing arm for owned properties including The Boston Red Sox, Fenway Park, JetBlue Park at Fenway South, Roush Fenway Racing, and The Worcester Red Sox, submitted a letter to the Commission stating, *“writing to praise Plainridge Park Casino (PPC) on being a great partner. FSM and related properties have been partners with PPC since they opened in 2015. For the past 5 years, we have had partnerships with NESN (Red Sox & Bruins telecasts) Fenway Park Events (USSA Big Air) PGA Tour Golf, and The Plainridge Park Casino Fenway Concert Series. These partnerships are a combination of general advertising showcasing promotions and features of PPC, branding, and hospitality. The tentpole of our partnership with PPC surrounds the naming rights to the Fenway Concert Series. Since 2004, Fenway Park and the Red Sox have had a partnership with Live Nation to bring the best music acts to America’s Oldest Ballpark. In 2021, Live Nation and the Red Sox will once again host more than a dozen musical acts at Fenway Park and PPC will be the title partner.*

2. A representative with Simon Property Group of New England, owner of Wrentham Village Premium Outlets center, submitted a letter to the commission regarding their strong relationship with Plainridge Park Casino, calling them a premier client for advertising and sponsorship. *“Our existing relationship with Plainridge Park Casino commenced in 2015 and still going strong with plans to continue in 2021. The relationship has been used as a Simon prototype for national campaigns showcasing a stellar advertiser and sponsorship partner from annual static and digital media campaigns to sponsorship of our Valet and Welcome Center Programming as well as Summer Music Series and Back to School events.”*
3. Plainridge Park Casino provided several examples to the Commission of exclusive benefits and promotions offered to their loyalty database through cross marketing efforts including targeting out of state residents. As part of the Marquee Rewards program the licensee promoted stay and play complementary trips including to Patriot Place and the licensee’s property.
4. The licensee utilized social media to promote local businesses such as The Ever So Humble Pie Company, Bass Pro Shops, and Franklin Ford through promotional gifts to customers.
5. The Plainridge Park Casino website plainridgeparkcasino.com features a variety of local area hotels.

However some of the commitments in the regional tourism and marketing plan were not met. The Plainridge Park Casino attestation to the Commission indicated they had executed and followed the Tourism plan, except for the following areas:

1. Tourism kiosks in casino lobby introduced in 2015 were removed after one year due to low usage.

2. The property developed a bus program in 2016 focused on the Asian markets of greater metro Boston area. After testing the program for a full year it was discontinued due to low volume.
3. Plainridge Park Casino has not partnered with any campgrounds or RV parks to date. They plan to work with Normandy Farms on partnership opportunities for the 2021 season.
4. Educate casino staff on promoting regional tourism- Although in place when the property first opened, it was not continued when Penn National streamlined the training program. Plainridge Park Casino indicated they will revisit this in the future.

MGC staff additionally noted that regional tourism links to promote local attractions were not readily evident on the PlainridgeParkCasino.com website. MGC staff suggests the licensee strengthen its partnership with their regional tourism council.

G. Compliance with RFA-2 Statement: - Vendor spending in MA

Plainridge states that this goal has been met. MGC staff agrees. The licensee reports in-state and surrounding community spend quarterly to the MGC. For example, in Plainridge Park Casino's Quarter 2 2020 report, \$258,038 or 45% of their \$568,470 Total Qualified Spend went to Massachusetts firms. In their 2019 Year End report, a total of 53% of Qualified Spend (\$3,444,127) went to Massachusetts firms (\$6,458,353 Total Qualified Spend).

In RFA-2 Response: 3-16, 3-17 and 3-19 Penn National Gaming committed to:

- Nationwide goal to "Buy Local, Hire Local" by creating preferred vendor plans and instituting mentoring programs with larger contractors.
- Partner with local chambers of commerce.
- Conduct vendor fairs to educate local area businesses on products and services the facility will need.
- Work with local vendors in order to maximize in-state sources of its goods and services.

Plainridge stated in their June 13, 2020 letter regarding relicensing commitments to MGC. "PPC has partnered with many local, in-state businesses such as Milhenn Industrial

Supply in New Bedford, Sid Wainer & Son in New Bedford, Osbourne Nursery in Plainville, Joe Warren & Sons in Norwood, and Bristol Construction in Wrentham. PPC has worked with Jill Griffin, Director of Workforce, Supplier and Diversity Development for MGC, to build relationships with suppliers in the state. PPC has conducted vendor fairs on site to allow local vendors to introduce their products and services to PPC and other local organizations. PPC has also hosted and/or participated in multiple events with the Tri-Town Chamber of Commerce, Greater New England Minority Supplier Development Counsel, and the Center for Women in Business and Enterprise.

H. Compliance with RFA-2 Statement RE: RFA-2 - Vendor diversity

Licensees are required as per Chapter 23k, section 15 (iii) to set specific goals for the utilization of minority, women and veteran owned businesses for the provision of goods and services for the casino. This goal has been met.

PPC reports having exceeded all goals in 2016 through 2019. PPC has leveraged a company-wide vendor diversity program to identify and prioritize diverse vendors. PPC has also hosted and/or participated in multiple events with the New England Minority Supplier Development Counsel and the Center for Women in Business and Enterprise. PPC's vendor diversity spend is also reported to the MGC quarterly.

Current Vendor Diversity Spend Goals vs. Actuals from 2019 Year End Report

- MBE spend: 6% goal; Actual: 7%
- VBE spend 3% goal; Actual: 5%
- WBE 12% goal; Actual: 16%

I. Statement RE: RFA - 2 - Employment goals (including hiring numbers and diversity)

Plainridge Park Casino, at the request of MGC staff, amended its Workforce Diversity Plan, Plainridge Park Casino's Strategic Plan to Engage & Recruit the Diverse Under & Unemployed Workforce Population, originally submitted to the Commission in August 2014 in preparation for its June 2015 opening. The Commission approved this plan in June 2019.

Plainridge stated in their June 13, 2020 letter regarding relicensing commitments to MGC Construction Oversight Manager, Joe Delaney, *"During the mid-term license review, PPC*

received approval to reduce the local workforce hiring goal from 90% to 35% of our workforce to come from our host and designated surrounding communities. PPC was not able to achieve the initial 90% local hiring goal due to the robust local job market in 2018-2019. The unemployment rates at the time in our host towns were Attleboro - 3.4%; North Attleboro -3.1%; Mansfield - 3.1%; Plainville - 2.7%; and Foxboro - 3.0%, all well below the national employment rate of 4.0% at the time.”

As of March 31, 2020, PPC has exceeded most employment goals apart from the goal to hire 35% of their employees from their host and designated surrounding communities (Attleboro, Foxboro, Mansfield, North Attleboro, Plainville & Wrentham). PPC only fell slightly short-with 32% local employees. Additionally in Q2 they fell slightly short of their 50% female goal but reported on September 30, 2020 that they are currently exceeding the goal at 52% female employees.

Current Employment Goals/Actuals in Q2 2019 Report as of March 31, 2020

- Goal: 35% from host and designated surrounding communities; Actual: 32%
- Goal: 15% of workforce from ethnic minority groups; Actual: 26%
- Goal: 50% women; Actual: 48%
- Goal: No less than 2% of the workforce will be veterans; • Actual: 5%
- Goal: 60% residents of MA; Actual: 63%

Additionally, since 2017, the MGC has asked PPC’s internal audit team to add an audit into the accuracy of the information in Casino’s Human Resources Information Systems specific to employees places of residence, ethnicity, and full or part time status so that the Commission may rely on the data that is presented quarterly in the reports from the licensees. All audits conducted by the casino have been reviewed by MGC’s independent audit staff of Eide Bailey and show that the information in the HR systems is accurate and may be relied on.

J. Statement RE: RFA-2 - Operational hiring commitments - workplace plan

As demonstrated during the last three years of Quarterly Reports, in addition to providing opportunities for un/underemployed individuals, Plainridge Park has demonstrated significant

efforts to achieve and have in some cases have exceeded goals. Plainridge fell slightly short of their local hiring workforce goals. Plainridge works with Massasoit and Bristol Community College, and the Commonwealth's Masshire career centers. On October 30, 2018, Plainridge Park hosted Career Center and Community College representatives alongside MGC, to brief them on the casino's hiring needs and discuss how to best work together. The Department of Labor and Workforce Development's Director of Career Services had recently appointed a regional representative to work with Plainridge Park on their hiring needs.

During the September 16 hearing, the licensee stated that during last five years, they exceeded all employment/diversity goals except local. In fact, 66% of their employees came from Massachusetts despite proximity to Rhode Island. Plainridge has also instituted employee development programs to help retain and promote staff. Thirty have participated in Women in the leadership program and 11 have been promoted.

Plainridge stated in their June 13, 2020 letter to MGC, *"our Workforce Plan included additional Recruitment Goals: Host an annual onsite career fair per calendar year, Attend a minimum of one veterans career fair per calendar year in MA, Attend at least two college career fairs per calendar year in MA, Partner with MA career centers and; Coordinate at least two hiring events.* Plainridge Park Casino also wrote, they continue to *"collaborate and build on the relationships made since our initial licensure. As of April 2020, PPC has held many onsite job fairs and has participated in multiple off-site job fairs. We held our last onsite career fair August 7, 2019 and had one scheduled for February 29, 2020. We attended Greater Boston Veterans Job Fair August 28, 2019 and were scheduled to attend March 26, 2020. We attended college career fairs at Massasoit Community College April 3, 2019 and Bristol Community College May 8, 2019 and although we have registered for 2020, they have been cancelled due to Covid-19 restrictions. We partnered with Mass Hire March 5, 2019 and June 8, 2019 (Attleboro) and our March 12, 2020 in Attleboro and April 15, 2020 in Fall River have been indefinitely postponed. PPC locally advertises open positions in the Sun Chronicle, United Regional Chamber of Commerce, Dean College, Massasoit Community College, Bristol Community College Massachusetts Technical Training Institute (MTTI) as well as MA Unemployment: Department of Career Services, Department of Workforce Development and the Workforce Investment Board to source local candidates.*

K. Statement RE: RFA -2 - Compliance with average wage scales

This condition has been met as determined by commission vote on April 29, 2019. In order to review the number of employees and the salary and benefits projections Plainridge Park Casino (PPC) made in the 2013 RFA-2 Application (RFA-2), staff compared RFA-2 projections in the “full-competition scenario” to the 2018 Compendium results submitted to MGC Staff.. Compared to the RFA-2, the 2018 data showed that PPC came within 96% of the Total Salary and Benefits projected in their RFA-2 Application.

L. Statement RE: RFA - 2 - Operational Goods and Services - procurement plan

PPC has complied with their original operational goods and services procurement plan approved by the Commission in 2014. The licensee submits quarterly reports regarding in-state and surrounding community as well as diversity spend quarterly to the MGC.

The Licensee has submitted a draft update to their goods and services procurement plan for Commission approval. This plan will be scheduled for discussion and vote at a future Commission meeting.

II. Additional Measures Identified

The MOU between Penn National Gaming and the Massachusetts Casino Careers Training Institute (MCCTI) dated September 2013 should be updated to reflect the revised goals and commitments in Plainridge Park Casino’s Workforce Plan.

III. License Conditions to Consider

Additional license conditions are not recommended at this time. Both the updated Tourism and Hospitality Plan and the new Operational Goods and Services - procurement plan will need to be approved by the Commission at a future date. This is reflected in the existing license conditions.



TO: Chair Judd-Stein, Commissioners Cameron, O'Brien, Stebbins, and Zuniga

FROM: Mark Vander Linden, Director of Research and Responsible Gaming

Cc: Teresa Fiore, Program Manager of Research and Responsible Gaming

DATE: September 30, 2020

RE: Plainridge Park Casino Re-licensure

Background

Embedded in the Expanded Gaming Act are numerous provisions to mitigate problem gambling and promote responsible gaming. Consistent with this direction, the MGC engaged a range of stakeholders, including MGC licensees, to create a Responsible Gaming Framework (RGF). The RGF has informed the development of gaming regulation in Massachusetts and provided an overall orientation to responsible gaming practice and policy for licensees and the Commission.

Since Plainridge Park Casino (PPC) opened in 2015, they have maintained a commitment to promoting responsible gaming and mitigating gambling-related harm consistent with the Commission's values and aims outlined in the RGF. Specific areas covered in this memo include 1) Voluntary Self-Exclusion program, 2) Voluntary Credit Suspension program, 3) GameSense Information Center, 4) PlayMyWay, and 5) PPC Responsible Gaming Plan.

1) Voluntary Self-Exclusion

The Voluntary Self-Exclusion (VSE) Program provides patrons one means of addressing problem gambling behavior by prohibiting their entrance to the gaming area of the gaming establishment or any area in which pari-mutuel or simulcasting wagers are placed.

- PPC's VSE policies and procedures meet the requirements of 205 CMR 133; G.L. c 23K, § 45(f), Voluntary-Self Exclusion.



Massachusetts Gaming Commission

- MGC IEB noted that in PPC's five years of operations, a total of 103 voluntary self-excluded (VSE) persons breached the VSE agreement and allowed to enter the prohibited area on the casino property.
- MGC IEB has noted two instances PPC has been found noncompliant with MGC regulation. In both cases, PPC implemented a corrective action plan, and no further action by the MGC was necessary.

2) Voluntary Credit Suspension

The Voluntary Credit-Suspension (VSC) Program allows patrons who do not wish to voluntarily self-exclude an option to impose some restrictions on their access to financial credit within the casino.

- PPC's VSC policies and procedures meet the requirements of 205 CMR: 138.44, Patron Request for Suspension of Credit Privileges.
- PPC has remained compliant with regards to credit procedures (205 CMR 138.43) and the suspension of credit. The IEB has documented zero issues in five years relating to credit.

3) GameSense Info Center

GameSense Info Centers (GSIC) are located on-site at all Massachusetts casinos and operate 16 hours a day, 7 days a week. At PPC, the GSIC is strategically located just off the gaming floor near the elevators to the parking garage. The PPC GSIC has a welcoming, visitor-friendly space, as well as a private office for more sensitive conversations.

- The space that PPC has provided for the GameSense Info Center (GSIC) meets the requirements of G.L. c 23K, § 9(a)(8)(ii) specifying that operators provide an on-site space for independent substance abuse and mental health counseling service to be selected by the MGC.
- The GSIC has been operational since PPC opened, providing patrons and PPC employees information and resources on positive play and at-risk and problem gambling.

4) PlayMyWay

PlayMyWay (PMW) is a budgeting tool designed to allow players the ability to monitor the amount of money they spend on electronic gaming machines. While PMW is neither gaming regulation nor a



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statutory requirement, it is a tool consistent with PPC's and MGC's commitment to promote safe levels of play.

- In 2014, PPC agreed to test pilot PlayMyWay. On June 9, 2015, PMW launched on the gaming floor.
- Through December 2019, there were nearly 25,000 players actively enrolled in the program, with an average un-enrollment rate of 14%.
- PPC staff have been cooperative in all aspects, including development, implementation, maintenance, general operation, and evaluation of the program.

5) Plainridge Park Casino Responsible Gaming Program

The PPC Responsible Gaming Program outlines policies, procedures, and programs consistent with the MGC's expectations that gaming be conducted in a manner to minimize harm. The PPC Responsible Gaming Program has adopted initiatives that address each of the seven strategies of the MGC Responsible Gaming Framework. Highlighted in the plan are efforts to train casino employees, incorporate and adopt the GameSense branding strategy and GameSense Info Centers, support PlayMyWay, protections for vulnerable and underage populations, responsible alcohol service practices, and responsible marketing policies.

Conclusion

The Division of Research and Responsible Gaming supports the re-licensure of Plainridge Park Casino and does not recommend any additional license conditions.



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MEMORANDUM REGARDING PPC's 1st RENEWAL APPLICATION

TO: Chair Cathy Judd-Stein
Commissioner Gayle Cameron
Commissioner Eileen O'Brien
Commissioner Bruce Stebbins
Commissioner Enrique Zuniga

FROM: Joseph Delaney, Construction Oversight Manager

RE: Ombudsman's Office Report on PPC Compliance over term of initial license

DATE: September 25, 2020

I. Introduction

The Ombudsman's Office submits this memorandum to the Massachusetts Gaming Commission (MGC or Commission) to report on its review of Plainridge Park Casino (PPC) compliance with certain requirements of the category 2 license. Specifically, this memorandum focuses on PPC's compliance over the five-year term of its initial license, with an emphasis on the following:

- A. RFA-2 Compliance
- B. Compliance with Host and Surrounding Community Agreements
- C. Compliance with Section 61 Findings

II. Compliance Over Five Year Term of Initial License

The Ombudsman's office oversees a number of activities at PPC. MGC staff finds that PPC is in substantial compliance with the areas identified above.

In preparation for this re-licensing effort, in late 2018 and early 2019 the Ombudsman's office undertook a review of PPC's compliance with the goals and stipulations set forth in PPC's original application (RFA-2), Host and Surrounding Community Agreements, and MGC and



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MassDOT Section 61 findings developed as part of the MEPA process. This so-called Commitments Review was presented to the Commission on February 28, 2019 and provides the basis for much of this re-licensing review. PPC provided numerous documents as part of that earlier review and MGC staff met numerous times with PPC management and departments regarding PPC's compliance. For this review, PPC updated the pertinent documents from the Commitments Review and numerous other discussions were had with PPC management and staff.

A. RFA-2 Compliance

PPC submits Quarterly Reports to the Commission that detail progress in meeting many of the goals and stipulations specified in their original RFA-2 application. PPC presented its first operations period Quarterly Report in November 2015 and has reported quarterly since. In addition to the Quarterly Reports, pursuant to 205 CMR 139.04(4), licensees are required to issue an annual report to the Commission explicitly stating its progress toward meeting each of the goals and stipulations put forth in the licensee's original application.

Based on a review of the annual and quarterly reports, it is clear that PPC has demonstrated success in meeting the vast majority of the goals of the RFA-2. In an effort to determine what goals remain, staff reviewed the above documents and met with PPC staff to discuss those areas that do not meet the original goals. PPC provided an RFA-2 status document as part of the Commitment Review, which it updated on June 13, 2020. The Ombudsman's office review focused on the non-gaming amenities portion of the RFA-2. Remaining portions of the RFA-2 are covered by other MGC staff in their reviews. The items identified that have not been met are:

- On-site daycare – The RFA-2 proposed an on-site day care facility, but it was determined that there was not adequate space to provide a day-care center. PPC is contracting with Care@Work to provide team members with Care.com membership, which is the world's largest network of caregivers that care for children.

- Non-gaming amenities – The RFA-2 identified the use of the racetrack infield for outdoor entertainment. This was not feasible due to the storm water detention basin being located in the infield.
- Food Court – The RFA-2 proposed four venues in the food court. PPC currently has three venue in the food court.

Staff agrees that PPC is in substantial compliance with its RFA-2 with the exception of those items mentioned above. Staff does not believe that any of these items affect the suitability of the licensee to continue to operate PPC.

B. Host and Surrounding Community Agreements

As part of the Commitments Review, PPC provided Commission staff with a summary of measures it has taken to comply with the host and surrounding community agreements. At that point in time, PPC was still working on a couple of items in the surrounding community agreements involving charitable contributions. This summary was recently updated through August 2020. As of this update, it appears that PPC is in substantial compliance with all of its Host and Surrounding Community Agreement requirements.

C. Section 61 Findings

Commission staff and PPC representatives have held numerous conversations regarding requirements under both the Commission’s Section 61 Findings and the Massachusetts Department of Transportation (“MassDOT”) Section 61 Findings. By way of background, the Commission and MassDOT require PPC to abide by findings issued in 2015 that summarize Plainridge Park’s environmental mitigation commitments. The vast majority of the Section 61 findings were completed before PPC opened. The following are the items that were not completed at opening or are ongoing requirements that haven’t been completed. These are:

- Public Transportation – The MassDOT Section 61 findings require PPC to work with the Greater Attleboro Taunton Regional Transit Authority (GATRA) to implement a new bus route between Triboro Plaza and PPC. Over the last five

years, PPC and MGC have had extensive discussions with GATRA regarding this issue, but no resolution has been reached. PPC is currently in its fifth round of discussions with GATRA exploring transit opportunities.

- Transportation Monitoring Program – The MassDOT Section 61 findings require annual traffic monitoring for five years. Inadvertently, one of the traffic studies was not completed. PPC had planned on completing this study in June 2020, however the Covid-19 pandemic intervened. PPC has committed to completing this final study. At the direction of MGC staff, PPC has delayed the implementation of this final study until MassDOT can be consulted and traffic has returned to a more normal level.

The Section 61 Findings go with the project and do not expire (unless explicitly stated in the Findings). PPC has committed to continue to work on these issues and MGC will continue to work closely with PPC to ensure that these are completed.

III. License Conditions to Consider

The Ombudsman's office does not recommend any additional license conditions at this time.



**RENEWAL OF CATEGORY 2 GAMING LICENSE AWARDED TO
PLAINVILLE GAMING AND REDEVELOPMENT, LLC
(D/B/A/ PLAINRIDGE PARK CASINO)**

The Massachusetts Gaming Commission (hereinafter “Commission”) awarded a gaming license to Plainville Gaming and Redevelopment, LLC (d/b/a Plainridge Park Casino) (hereinafter “PPC” or “gaming licensee”) for the construction and operation of a Category 2 gaming establishment for an initial term of 5 years. That 5-year term expired on June 24, 2020, and the gaming licensee submitted a timely application for renewal. The Commission engaged in a comprehensive renewal process in accordance with procedures established pursuant to G.L. c. 23K, §20(f) and described in a letter to the gaming licensee dated February 28, 2020 (attached as Exhibit A). The renewal process culminated in a final public review of the application for renewal by the Commission on September 30, 2020. By a vote of x-x, the Commission renewed the Category 2 license issued to the gaming licensee for a second term of 5 years commencing June 24, 2020.

FINDINGS

In making such determination, the Commission reviewed each the areas below and made the following findings:

- PPC has been in material compliance with all conditions attached to the initial award of its gaming license, as amended by the Commission;
- PPC has been in material compliance with all applicable provisions of G.L. c.23K, and 205 CMR;
- PPC has been in material compliance with the host community agreement;
- PPC has been in material compliance with its surrounding community agreements;
- PPC has been in material compliance with its ILEV agreements;
- PPC has been in material compliance with its approved capital expenditure plan;
- All individual qualifiers to the gaming licensee have been deemed suitable;
- All entity qualifiers, including the gaming licensee, itself, have been deemed suitable in accordance with G.L. c.23K, §12 including a finding relative to the financial stability of the gaming licensee;
- PPC has been in material compliance with all required and/or agreed upon onsite and offsite mitigation measures;
- Based on a the input offered at a public hearing convened virtually on September 16, 2020, and written comments submitted to the Commission, there exists widespread support for the gaming licensee in the host community, surrounding communities, and the region; and



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- Based upon an aggregate analysis of the aforementioned, and all matters considered as part of this renewal process, the gaming licensee has clearly demonstrated a business ability to operate a successful gaming establishment.

LICENSE CONDITIONS

The Category 2 gaming license awarded to Plainville Gaming and Redevelopment, LLC is renewed subject to the following conditions:

1. Compliance with all the requirements of G.L. c. 23K, including G.L. c. 23K, §21, as now in effect and as hereafter amended, and 205 CMR 101 *et seq.*, as now in effect and as hereafter amended.
2. Compliance with all applicable federal, state, and local laws, rules, and regulations, now in effect or as hereafter amended or promulgated.
3. Compliance with the terms and conditions of:
 - a. the host community agreement;
 - b. surrounding community agreements;
 - c. ILEV agreements;
 - d. the Lottery Sales Agent Agreement executed with the Massachusetts State Lottery Commission;
 - e. the MOU for the intercept of past due tax and child support payments executed with the Commission and the Department of Revenue;
 - f. the memorandum of understanding between the Commission and the Massachusetts Community College Casino Career Institute; and
 - g. all federal, state, and local permits and approvals required to construct and operate the gaming establishment.
4. Compliance with the terms and conditions of the following programs (subject to amendment as required or allowed by the Commission):
 - a. the affirmative marketing program for design and construction as described in G.L. c. 23K, §21(21)(i) and (ii);
 - b. (upon approval by the Commission) the affirmative marketing program for provision of goods and services procured by the gaming establishment and any businesses operated as part of the gaming establishment as described in G.L. c. 23K, §21(21)(iii); and
 - c. the affirmative action program of equal opportunity as described in G.L. c. 23K, §21(22).

5. As the holder of a horse racing and simulcast license pursuant to G.L. c. 128A and c. 128C, respectively, as now in effect and as hereafter amended, the gaming licensee shall comply with all applicable provisions of G.L. c. 23K, c.128A, c.128C and the rules and regulations promulgated thereunder.
6. Compliance with the previously approved plan designed to identify and market employment opportunities to unemployed residents of Massachusetts.
7. Compliance with a regional tourism marketing and hospitality plan which shall be subject to approval by, and amendment at the direction of, the Commission. Such plan shall include, but not be limited to, making space available in the gaming establishment for state and regional tourism information, links on the gaming licensee's website to the regional tourism council website, a joint marketing program with the regional tourism council and the Massachusetts Office of Travel and Tourism, staff training in regards to the plan and sharing of visitor data with the regional tourism council and the Massachusetts Office of Travel and Tourism.
8. The gaming licensee shall adhere to the average wage scales provided in the gaming licensee's RFA-2 application.

SO ORDERED.

MASSACHUSETTS GAMING COMMISSION

Cathy Judd-Stein, Chair

Eileen O'Brien, Commissioner

Gayle Cameron, Commissioner

Bruce Stebbins, Commissioner

Enrique Zuniga, Commissioner

DATED: September 30, 2020