

# GAMING COMMISSION

## VENDOR POLICY

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### **Section 2.00 Authority**

The \_\_\_\_ Tribal Gaming Commission (“Tribal Gaming Commission”) is authorized to implement and enforce this Policy pursuant to the Gaming Ordinance.

### **Section 2.01 Purpose**

The purpose of this policy is to regulate and license all vendors who provide a service for and do business with the Tribally-owned gaming operations.

### **Section 2.02 Scope of Requirements.**

No person or entity may provide any services or products to any gaming facility or gaming operator unless such person or entity is the holder of a valid and current vendor license issued by the Tribal Gaming Commission unless their services are construed by the Tribal Gaming Commission as services related to:

1. Professional and accounting services;
2. Financial institutions;
3. Insurance companies;
4. Law enforcement agencies;
5. Utility providers;
6. One-time entertainers;
7. Media advertisement agencies;
8. Telecommunication providers;
9. Tribal government;
10. Auto dealerships – selected;
11. Federal and State government agencies;
12. Nonprofit organizations;
13. Courier and shipping services;
14. Travel agencies, training, and seminars;
15. Medical corporations; or
16. Public or private education institutions.

### **Section 2.03 Application Procedures**

All vendors will be required to submit the following forms to the Tribal Gaming Commission:

- (1) Personal history statements on any individual holding five percent (5%) or more interest in the business entity;
- (2) Release of information forms on all personal history statements;
- (3) Release of all claims form;
- (4) A copy of all current state licenses;
- (5) A list of all jurisdictions and gaming related entities that have granted the individual a gaming license;
- (6) Fingerprint cards and photo I.D. on all personal history statements submitted;
- (7) Any other applicable business information pertaining to the gaming industry; and
- (8) The appropriate license fee (check payable to the \_\_\_\_\_ Gaming Commission).

Upon receipt of a completed application, the Tribal Gaming Commission shall complete a background investigation.

All information provided for purposes of receiving a vendor's license, excluding financial information, is subject to a request for information and available for public inspection. Provided further, that all information, including financial information, is subject to audit by the Tribal Gaming Commission.

#### **Section 2.04 Licensing Fees**

To alleviate the cost of investigations, the Gaming Commission has established an application fee for gaming and non-gaming vendors (not to include slot machine distributors) which will include the cost of investigation. This fee is non-refundable and will be assessed at one-half percent (0.5%) of gross sales during the last fiscal year. Slot machine distributors shall pay an annual fee of Two Thousand Dollars (\$2,000.00). All vendors shall renew their license annually on the anniversary date of issuance pursuant to Section 2.07.

#### **Section 2.05 Background Investigations**

Upon receipt of an application for a vendor license, the designated Tribal Gaming Commission agent shall conduct an investigation of the applicant and each of its principals and shall include a criminal records check on the applicant and on each of the applicant's principals.

The Tribal Gaming Commission agent shall conduct such other investigation of applicant and its principals as may be deemed appropriate.

## **Section 2.06 Action by Gaming Commission Agents**

The Tribal Gaming Commission agents may deny a license to any applicant upon a determination that the applicant, or any principal identified with such applicant:

- (A) Is a person or entity whose prior activities, criminal record, if any, or reputation, habits and associations pose a threat to the effective regulation of gaming or create or enhance the chances of unfair or illegal practices, methods and activities in the conduct of gaming activities; or
- (B) Has failed to provide information reasonably required to investigate the applicant's suitability for a license or has failed to reveal any fact material to such application or has furnished any information that is untrue or misleading in connection with such application.

## **Section 2.07 Duration and Renewal of License**

Any vendor license issued by the Tribal Gaming Commission shall be effective for not more than one year. A licensee that has applied for renewal prior to expiration may continue to provide services under the expired license until the Tribal Gaming Commission takes final action on the renewal application.

Previously licensed applicants or applicants for renewal shall provide updated application material but will not be required to resubmit historical data already available to the Tribal Gaming Commission. The license shall be subject to an annual review consisting of such checks as the Tribal Gaming Commission shall determine necessary.

## **Section 2.08 Revocation/Suspension of License**

The Tribal Gaming Commission may investigate any licensed person or entity or any principal of any entity at any time and the Tribal Gaming Commission may suspend or revoke any license issued under this Section pursuant to the Hearing Procedures.

## **Section 2.09 Regulation of Non-Gaming Persons and Entities.**

Any person or entity that provides goods or services to a Tribally-owned gaming operation, other than gaming services or gaming equipment shall agree to cooperate with the Tribal Gaming Commission and the Tribal and federal law enforcement in any investigation deemed necessary by either the Tribal Gaming Commission or the federal government relative to the fitness of such enterprise or organization to engage in business with a gaming operation.

The Tribal Gaming Commission may bar such person or entity from providing goods or services to a tribally-owned gaming operation upon a determination that such person or entity, or principal thereof is a person or entity whose prior activities, criminal record if any, or reputation, habits and associations pose a threat to the effective regulation of

gaming or create or enhance the dangers of unfair or illegal practices, methods and activities in the conduct of gaming.

Any person or entity affected by a bar under this subsection shall have a right to notice and hearing as provided in the Hearing Procedures.

**Section 2.10 Adoption**

The Tribal Gaming Commission adopted the Vendor Policy by resolution #\_\_\_\_\_.