

24 NCAC 06A .0806 WAGERING WINDOWS

(a) A Wagering Facility may have one or more Wagering Windows located in the Wagering Lounge or in other window locations as approved by the Commission. A Wagering Window shall:

- (1) be designed and constructed to provide maximum security for the materials stored and the activities performed therein, in a manner approved by the Director;
- (2) include one or more Ticket Writer Stations, which shall:
 - (A) interface with the Wagering system for Wagers placed;
 - (B) contain a permanently affixed number, which shall be visible to the Surveillance System;
 - (C) contain manually triggered silent alarm systems, which shall be connected directly to the Surveillance Operation Room and the Commission office if required; and
 - (D) contain full enclosures, unless funds are either secured in a drop safe or other means approved by the Commission or transferred to the vault or cage;
- (3) provide for surveillance equipment capable of accurate visual monitoring and recording of activities; and
- (4) require an emergency exit door that is not a mantrap to be alarmed.

(b) A Wagering Window shall have access to a secure location, including a vault, to store funds issued by a cage to be used in the operation of Sports Wagering or Pari-Mutuel Wagering. The secure location shall:

- (1) be a fully enclosed room, located in an area not accessible to the public;
- (2) have a metal door with a locking mechanism that shall be maintained and controlled by the Wagering manager responsible for the Wagering Lounge;
- (3) have an alarm device that signals surveillance personnel if the door to the secure location is opened; and
- (4) have surveillance equipment capable of accurate visual monitoring and recording of activities in the secure location.

(c) A Wagering Window shall have an operating balance not to exceed an amount specified in the Internal Controls and approved by the Director. Funds in excess of the operating balance shall be transferred to the cage in a secured container by an employee of the counter with a Wagering Facility security officer. Prior to transporting the funds, Wagering Facility security personnel shall notify surveillance personnel that the transfer will take place. Surveillance personnel shall monitor the transfer. The funds shall be transferred with appropriate documentation as set forth in the Internal Controls.

(d) The assets for which a Ticket Writer is responsible shall be maintained on an imprest basis. A Ticket Writer shall not permit another Person to access the Ticket Writer's imprest inventory.

(e) A Ticket Writer shall begin a shift with an imprest amount of currency and coin to be known as the "Wagering inventory." No funds shall be added to or removed from the Wagering inventory during a shift except:

- (1) in collection of Wagers;
- (2) to make change for a Player placing a Wager;
- (3) in collection for the issuance of Vouchers;
- (4) in payment of winning or properly canceled or refunded Wagers;
- (5) in payment of Vouchers;
- (6) to process deposits or withdrawals to or from a Wagering Account, where supported;
- (7) in exchanges with the cashier's cage, a satellite cage, or vault supported by proper documentation which documentation shall be sufficient for accounting reconciliation purposes; or
- (8) in payment of appeasement payments to resolve a dispute with a Player.

(f) A Wagering inventory slip shall be completed by the Wagering manager, and the following information shall be recorded thereon at the start of a shift:

- (1) the date, time, and shift of preparation;
- (2) the denomination of currency and coin in the Wagering inventory issued to the Ticket Writer;
- (3) the total amount of each denomination of currency and coin in the Wagering inventory issued to the Ticket Writer;
- (4) the Ticket Writer Station to which the Ticket Writer is assigned; and
- (5) the written or digital signature of the Wagering manager.

(g) A Ticket Writer assigned to a Ticket Writer Station shall count and verify the Wagering inventory at the vault or other approved location and shall reconcile the count to the Wagering inventory slip. The Ticket Writer shall sign the count sheet attesting to the accuracy of the information recorded thereon. The Wagering inventory shall be placed in a Ticket Writer's drawer and transported directly to the appropriate Ticket Writer Station by the Ticket Writer.

(h) If funds are transferred from the vault to a Ticket Writer, the Wagering manager responsible for the vault shall prepare a two-part writer transfer-out form. On completion of the form, the original shall be retained by the vault manager and the duplicate shall be retained by the Ticket Writer. The form shall include the:

- (1) date and time of the transfer;
- (2) designation of the vault location;
- (3) Ticket Writer Station to where the funds are being transferred;
- (4) amount of each denomination being transferred;
- (5) total amount of the transfer;
- (6) written or digital signature of the preparer of the transfer;
- (7) written or digital signature of the manager verifying and issuing the funds; and
- (8) written or digital signature of the Ticket Writer verifying and receiving the funds.

(i) If funds are transferred from the Ticket Writer to a vault, a two-part writer transfer-In form shall be prepared in a manner outline in the Operator's Internal Controls. Upon completion of the form, the original shall be retained by the Ticket Writer and the duplicate shall be immediately returned with the funds to the vault. The form shall include the:

- (1) date and time of the transfer;
- (2) designation of the vault location to where the funds are being transferred;
- (3) Ticket Writer Station from which the funds are being transferred;
- (4) amount of each denomination being transferred;
- (5) total amount of the transfer;
- (6) written or digital signature of the Ticket Writer verifying and sending the funds to the vault; and
- (7) written or digital signature of the manager verifying and receiving the funds.

(j) At the conclusion of a Ticket Writer's shift, the Ticket Writer's drawer and its contents shall be transported directly to the vault or to a location in the Wagering Window approved by the Director where the Ticket Writer shall count the contents of the drawer and record on the Wagering inventory slip the:

- (1) date, time, and shift of preparation;
- (2) denomination of currency and coupons in the drawer;
- (3) total amount of each denomination of currency and coupons in the drawer;
- (4) total of the writer transfer-out forms;
- (5) total of the writer transfer-in forms;
- (6) total amount in the drawer; and
- (7) written or digital signature of the Ticket Writer.

(k) The Wagering manager shall compare the Ticket Writer closing balance to the Wagering inventory slip total, record over or short amounts, and sign the Wagering inventory slip.

(l) If the Wagering Inventory Slip lists an overage or shortage, the Ticket Writer and the Wagering manager shall attempt to determine the cause of the discrepancy in the count. If the discrepancy cannot be resolved, a discrepancy shall be reported to surveillance personnel and the Wagering manager or supervisor in charge at the time. Discrepancies in excess of five hundred dollars (\$500.00) shall be reported to the Commission. This report shall include the:

- (1) date on which the discrepancy occurred;
- (2) shift during which the discrepancy occurred;
- (3) name of the Ticket Writer;
- (4) name of the Wagering manager;
- (5) Ticket Writer Station number; and
- (6) amount of the discrepancy.

(m) If funds are transferred from the vault to the cashier's cage, the Wagering manager responsible for the vault shall prepare a two-part vault transfer-out form. On completion of the form, the original shall be retained by the vault manager and the duplicate shall be transferred with the funds to the cashier's cage. The form shall include the:

- (1) date and time of the transfer;
- (2) designation of the vault location;
- (3) designation of the cage location;
- (4) amount of each denomination being transferred;
- (5) total amount of the transfer;
- (6) written or digital signature of the preparer of the transfer;
- (7) written or digital signature of the vault manager verifying and issuing the funds; and
- (8) written or digital signature of the cage cashier verifying and receiving the funds.

(n) If funds are transferred from the cashier's cage to a vault, a two-part vault transfer-in form shall be prepared. On completion of the form, the original shall be retained by the cage cashier and the duplicate shall be transferred with the funds to the vault. The form shall include the:

- (1) date and time of the transfer;
- (2) designation of the vault location to which the funds are being transferred;
- (3) cashier location from which the funds are being transferred;
- (4) amount of each denomination being transferred;
- (5) total amount of the transfer;
- (6) written or digital signature of the cage cashier verifying and sending the funds to the vault; and
- (7) written or digital signature of the vault manager verifying and receiving the funds.

(o) In lieu of separate Wagering Windows with live Ticket Writers, cage personnel may write and Cash Tickets.

*History Note: Authority G.S. 18C-114(a)(14);
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