

◆ **February 16-18 – Las Vegas, NV.:** *A love to Remember!*
OBR - Outcome Based Regulation - With Richard La Monica (Au. DOJ)
La Quinta Inn -\$85.00 ~ 3970 Paradise Rd ~ Las Vegas, NV 89109 ~
702-796-9000

An Introduction To Pro-Active Outcome Based Regulation

What is Strategic Business Intelligence?

Concept, Purpose and Relevance to Pro-Active Outcome Based Regulation
Potential Gains
Change and Globalization as Attributes

An examination of how assets become compromised

What you need to know to effectively protect assets

Reviewing Risk Management

Change & Globalization
Influences & Totality
Liquidity

Pro-Active Regulation:

The relationship between Organized Crime and Infiltration into Business

Explanation of Fraud

Explanation of Scams

Explanation of Money laundering

How Assets Become Compromised

Through Organized Crime
Through Infiltration
Poor Probity

Identifying the Risks

Step 1 of the Risk Assessment

Analyzing the Risks

Step 2 of the Risk Assessment

Developing quality Change Management Risk-Based strategies for the Casino Industry

Historical Risk Management

What is Risk Management
Evolution of Risk Management
Tone at the Top

Treating the Risks

Treatment Options
Tools & Techniques

◆ **April 13-15 – Oklahoma City, OK.:** *We don't need no stinkin' badges!*
Law Enforcement and Gaming - With Tim Overlake (Lieutenant – Ret.)

La Quinta Inn
800 S. Meridian Ave
Oklahoma City, Ok 73108
405-942-0040

By Whose Authority?

Indian Gaming Regulatory Act & Related Regulations

Formation and Ratification

Gaming Classifications

Scope

Amendments

N.I.G.C & MICS

Johnson Act

Title 18

Crime Formulas

The Crime Formula

Prioritized Assets

Violators Diagram

Industry Scope

Criminal Infiltration*

Case Studies

The Red Flags

Organized Crime Groups

Organized Criminal Enterprises

Gaming Evidence Control*

What Evidence Is

Evidence Rules

Collecting and Storing Evidence

Evidence Case Studies

Venn Diagramming (Link & Event Charting Tool)

Information Collection

Organization & Value of Information

Deductive & Inductive Reasoning

How to Use Venn Diagramming

Applied Exercises in L&E Charting

◆ **June 15-17 – San Diego, CA.:** *Checking and Savings has never been better!*
Role of the Gaming Inspector - With Thomas Pratt (Interview Specialist)

La Quinta Inn – Scrips- Pkway

10185 Paseo Montril ~ San Diego, CA 92129 ~ 858-484-8800

What is the Role of the Tribal Gaming Inspector?

Job Functions

Position Descriptions

Duties & Responsibilities

Reports & Report Writing

Due to space limitations, this seminar is limited to 25 Attendees ONLY! We are sorry, but No Coupons, Certificates or Seats can be offered!

Problem at hand: Scams and Inspections

Card Check and Inventory

Slot Department

Table Games Department

Bingo Department

Poker Department

The Big Picture

Application of Gaming Inspections

Product (Deliverables) Expected of the Tribal Gaming Inspector

Internal vs. External Audit

How Assets Become Compromised

The Crime Formula

Infiltration

Organized Criminal Influence

Risk Management Elements

Authority of the Gaming Inspector

Responsibilities of the Gaming Inspector

IGRA & Compact

Planning

Facility Inspection

Gaming Floor Inspection

Schedules

Guidance

Policies & Procedures

Internal Controls

Mission and Philosophy

Gaming Inspectors & The Gaming Arena

Putting it All Together

◆ **August 10-12 – Milwaukee, WI.:** *Inside, Outside and All Around...*

Internal Audit Function and Practice

La Quinta Inn \$99.00 +Free Casino Coupon Books

5423 N. Port Washington Rd ~ Glendale, WI ~ 414-962-6767

Why is the Internal Audit Department Important?

IA Functions

Position Descriptions

Duties & Responsibilities

Industry Standard Performance Indicators

Problem at hand

Revenue/Net Win

Slot Department

Table Games Department

Bingo Department

The Big Picture

Gaming Operations Functional ISPI

Application of IA

Product (Deliverables) Expected of an Internal Auditor

Internal vs. External Audit

How Assets Become Compromised

The Crime Formula

Infiltration

Organized Criminal Influence

Risk Management Elements

Authority of the Internal Auditor

Responsibilities of the Internal Auditor

Planning

Internal Audit Reports

Schedules

Guidance

Compact

MICS / TICS

Policies & Procedures

Internal Audit & The Gaming Arena

Putting it All Together

◆ **October 12-14 – New Orleans, LA. :** *Gaming Can Be Scary!*
Background Investigations and TGRA

La Quinta Inn – Downtown ~ 301 Camp Street ~ New Orleans, LA 70130
504-598-9977

The Foundation of the Background Investigations Unit

As a Civilian Unit

As a Law Enforcement Agency

Becoming Recognized as LE

Systematic Approach to Background Investigation

Back Grounding Vendors

Hidden Ownerships

Associations

Data Bases

Guidance

Exemptions?

BIU Internal Controls

Setting up the BIU

Jurisdiction

Authority

Pro-Active Back Grounding for Suitability

Due Diligence

Reports, Findings and Field Work

Preparing for the Background Investigation

Preparing for Field Work

The Red Flags

Checklists and Forms

Recent News

How backgrounds fail

Events that prove BI faulty

Overcoming or Mitigating Background Risk

Recent News and Events

Positive Protective Measures

Recertification – Timelines and Events

Levy of Civil Fines

Levy of Criminal Fines

Link & Event Charting for Back Ground Investigators (Mock Investigation)

◆ **December 7-9 – Phoenix, AZ.:** *We love to watch!*
Surveillance Protocol & Asset Protection - With Frank Zak

La Quinta Inn ~ 2510 W. Greenway Rd ~ Phoenix, AZ 85023
602-993-0800

The Foundation of the Surveillance Unit

As a Civilian Unit

As Law Enforcement

Systematic Approach to Surveillance Observations

Watching Your Back

Associations

Data Bases

Guidance

Exemptions?

Surveillance Internal Controls

Setting up the MR (Again!)

Jurisdiction

Authority

Pro-Active Surveillance

Credibility and Due Diligence

Reports, Findings and Review Work

Preparing for the Investigation

The Report : WWWWW&H

Preparing for Review Work

The Red Flags

Checklists and Forms

Recent News

How Surveillance fails

Events that prove Surveillance faulty

Overcoming or Mitigating Surveillance Risk

Recent News and Events

Positive Proactive Measures

Scams Knowledge

Audit Knowledge

Levy of Criminal Fines

Link & Event Charting for Surveillance (Mock Investigation)

**BSA Title 31 Compliance Updates & Risk Assessments:
"You Know or Should Have Known!"**

◆ March 10 & 11 / Reno, NV.

Best Western –Airport Plaza \$77.00 (Business King Rooms Only)

1981 Terminal Way

Reno, NV 89502

800-648-3525 / 775-348-6370

◆ July 14 & 15– Reno, NV.

Same Hotel as March

What is Money Laundering?

Money Laundering Defined

Effects of Money Laundering

Global and National Stats

What is Title 31?

The History of Title 31 & BSA

CTRC's & Amendments

FAQ's – Guidance

What are SARCs?

The Nature of Suspicious

Safe Harbor

The U.S.A. P.A.T.R.I.O.T Act

Pro-Active SARCs

Problem at hand

Preparing for an IRS Audit

The Red Flags

Customer Identification Protocols

Tracking Bills In to Gaming Devices

Recent News

Title 31, BSA, and Forms Updates

Recent News and Events

Positive Protective Measures

Pro-Active Risk Assessment

BSA Title 31 Risk Assessment Tools

BSA Tools

CIP Tools

***The March & July BSA Title 31
Compliance Updates & Risk
Assessments are offered
outside of the Tribal Arena.
We all need this knowledge.
It should be a wonderful
networking opportunity!***

Class II & III MICS Compliance Update and Successful Practices:

- ◆ September 14 – 16 – Tulsa, OK.

La Quinta Inn –Central \$81.00pn
6030 E. Skelly Dr.
Tulsa, OK 74135
918-665-2630

- ◆ Second MICS Date Not Set

“Gaming Ain’t what it used to was!”

Where is IGRA Today?

How IGRA is affected by MICS &
MICS Revisions
How Sovereignty is Affected
Jurisdictional Impact

What do CFR 543 & 547 Cover?

Recent Changes to the MICS
How the CFR Affects Your Operation
Implementation of the new Rules
How 542 is affected

How will we Comply with the “New” MICS?

Applicability to your Operations
Checklists & Accountability
Internal Audit Concerns

What is the Economic Impact going to be?

Reviewing the Economic Analysis of Final Rules 543 & 547



You are welcome to pre-register, and reserve your seats at any time. We will be happy to give you details if you wish to do this.

Please contact Athena Stringfellow for information or any accommodations you may need to work out!

Athena Stringfellow: 785-741-0767

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