

## Exhibit X.A.1 – On-Site Resources for Problem Gambling

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Saratoga Casino and Raceway (SCR), Churchill Downs Incorporated and Capital View Casino & Resort (CVCR) recognize that a segment of our patronage is susceptible to gambling-related problems, including some that suffer from gambling disorder. With this recognition comes a responsibility to address the problem. Understanding we are not alone in efforts to address problem gambling, we have sought and will continue to seek education, guidance, and partnership opportunities with the New York State Gaming Commission, the New York Council on Problem Gambling, and other organizations that study and address this important issue. For example, in November of 2013 Saratoga Casino and Raceway welcomed the New York Council on Problem Gambling to conduct an analysis of SCR responsible gambling policies, practices, and procedures and was pleased to obtain recommendations to further inform the development of responsible gambling programs. Collaborating with problem gambling experts ensures that our directors and employees have the best information available to deal with underage gambling and the best tools to promote responsible gambling and address problem gamblers.

Based on collaborations with the New York Gaming Association, the New York Council on Problem Gambling, and the extensive research that has been conducted in this field, CVCR will develop a problem gambling plan that, among other things, will incorporate the utilization of a variety of on-site resources in an effort to prevent the development of gambling problems and assist those individuals suffering from a gambling-related problem.

### Information and messaging

One facet of the CVCR on-site resources is information and messaging on responsible gaming and problem gambling that is up to date and readily available to patrons. CVCR will apply the following the New York Council on Problem Gambling's "information and messaging" recommendations:

- Underage gambling signs will be posted throughout the gaming facility
- Responsible gambling signs, which include the 24-hour HOPEline number, will be posted throughout the gaming facility
- Signs will be conspicuously posted
- Signs will be posted at entrances and exits, security podiums and offices, player's club booths and kiosks, the cashiers cages and on ATM machines
- Signs will be posted in multiple languages
- Signs will be large enough to be easily read at a distance
- Wall posters, back lit displays and electronic signs will include responsible gambling messages
- Brochures, palm cards or other take-away materials will be available on responsible gambling, problem gambling, underage gambling, and the self-exclusion program
- Brochures will be prominently displayed in brochure holders and available at multiple locations including security podiums and offices, player's club booths and kiosks, the cashier cage and near ATM machines

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- A responsible gambling message will be included on all electronic and print communication including email marketing and will be prominently displayed on the facility’s website
- Posted signs on problem gambling will include the 24-hour HOPEline number, and Gamblers Anonymous resources will be posted “back of the house” for employees
- As opportunities arise, other outreach efforts on responsible gambling will take place at the facility, such as tabling events, health fairs, mailers, posting to social media sites, etc.

### Employees

Although the importance of signage, brochures, and other forms of print messaging cannot be understated, CVCR’s most significant on-site resource is its employees. We understand that our team members play a vital role in supporting and maintaining responsible gambling practices and are committed to train employees so that every team member understands the importance of responsible gambling and is knowledgeable about their role and the company’s expectation of their actions.

All new employees will receive an extensive orientation program where they will be provided with and review CVCR’s Team Member Handbook that reinforces CVCR’s commitment to responsible gambling. As part of the orientation program, all casino employees will be required to complete a New York State Gaming Commission approved training on Responsible Gambling and Problem Gambling. Training will be provided upon initial hiring and periodic refresher training will be required. An evaluation process will be in place that measures the individual employee’s increase in knowledge and readiness to provide assistance. Responsible gaming knowledge, awareness, and practice will be maintained through the integration of responsible gaming content into supervisory duties including team meeting reminders and supervisors actively debriefing with employees situations that involve an intervention to maintain a legal, safe, and enjoyable casino environment.

### Information brochures

In an effort to create an informed player base and provide patrons with easy access to facility information, CVCR will strategically place informational brochures within the facility so they are highly visible and centrally located while others will be placed to provide privacy. To ensure ample supply, each department will be responsible for checking and re-stocking the brochure racks so that guests will always have access to helpful information and resources.

### Information and process for self-exclusion

CVCR offers a self-exclusion program that allows patrons to remove themselves from gambling at CVCR properties while offering self-excluded patrons help and support. CVCR views self-exclusion as a tool to help people in their efforts to overcome gambling problems. The CVCR self-exclusion program to be implemented within the proposed casino will be based on an assistance model; a method for delivering individual assistance by responding to individuals in a helpful way, working through the registration process in a respectful, timely manner; providing information about counseling options including financial, self-help and treatment referrals; and encouraging individuals to take advantage of the assistance available. The self-exclusion program will be well advertised at the gaming facility and explained through informational brochures and on the CVCR website. CVCR employees will be aware of the self-exclusion



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program and will assist patrons looking for further information or who are in need of directions as to where to go to register for the program. Persons not on property who may be interested in utilizing the self-exclusion program will be able to obtain an application form by calling CVCR, or by going online at Capitalviewcasino.com. The process of self-exclusion requires individuals to meet in-person with staff specifically trained to handle the self-exclusion registration process. These staff members are trained to provide responsive, respectful, and professional service. The self-exclusion registration process will be carried out in a comfortable setting that protects the self-exclusion applicant's privacy and will not require the individual to enter the casino floor if they wish not to do so. The staff person will clearly explain the registration process, options, breach consequences and follow-up procedures. Support options will be clearly explained and written materials provided for the individual to take home and view in a less pressured environment. During the individual's ban period they will be removed from all marketing systems and are no longer able to accumulate player's club points or other benefits.

### **Procedures for the exclusion of self-identified problem gamblers:**

#### **A. NYS Gaming Commission Exclusions**

1. CVCR shall receive a periodic updated exclusion list from the NYS Gaming Commission.
2. CVCR Compliance shall ensure the current list is internally distributed to Security and Surveillance Departments.
3. A copy of the current list shall be maintained in a secure manner at each point of entry to the gaming area and referenced when needed. Security and Surveillance personnel shall review the list when received and periodically thereafter.
4. A copy of the current list shall be maintained at the cashier/cage.
5. Prior to issuance of credit, check cashing or cash advance, cage personnel shall consult the list to ensure none of these services are extended to excluded persons.

#### **B. Preventing Excluded Patrons from Gaming**

CVCR shall provide the following procedures designed to prevent employees from willfully permitting a person identified on a self-exclusion list or Commission Exclusion list from engaging in gaming activities at the licensed establishment or facility.

1. Upon recognizing an excluded person from one of the provided lists, the CVCR employee shall contact the Assist. Security Shift Manager or above on duty, who shall respond to the Patron's location.
2. Security shall then escort the Patron from the gaming floor to Security Dispatch to obtain the necessary information to complete an incident report. Copies of all reports and corresponding evidence shall be forwarded to the Regulatory Compliance Officer.

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3. The Assist. Security Shift Manager or above shall contact the NYS Gaming Commission Agent on duty or if not available, then contact local law enforcement. If neither are able to respond then the necessary information shall be collected and the reports forwarded to the Regulatory Compliance Officer and the Patron shall immediately be ejected from the Slot Facility. The Regulatory Compliance Officer shall ensure that the Commission receives the information necessary to follow up on the complaint.
4. While in Security Dispatch a photograph shall be taken of the Patron to be attached to the Exclusion List report.
5. CVCR shall attempt to determine if the excluded person obtained any gaming winnings or losses which shall be handled in accordance with NYS Gaming Regulations. All funds confiscated or remitted from excluded patrons shall be submitted to the Commission or treated as described in the gaming regulations.

### **C. Self-Exclusions, Reported to CVCR**

1. The Patron can make the request to be excluded to any CVCR employee. That employee shall contact the Assist. Security Shift Manager or above on duty, who shall respond to the Patron's location.
2. Security shall then escort the Patron to Security Dispatch to obtain the necessary information to complete an incident report.
3. While in Security Dispatch a photograph shall be taken of the Patron to be attached to the Exclusion List Report.
4. The Patron shall then be advised by the Assist. Security Shift Manager or above that they are permanently excluded for a minimum of 5 years (or desired longest time frame) and if they return to the property they may be arrested for criminal trespass.
5. The Patron shall be given a packet of written materials on Compulsive/ Problem Gaming approved by the Commission and the phone number to the NYS Gaming Commission in order that they may be placed on the Commission's exclusion list, if they so desire.
6. The Incident Report, Exclusion List Report and photos shall be forwarded to the Compliance Department for report filing and entering into the exclusion list database. A copy of the exclusion list shall be updated and forwarded to Surveillance, Player's Club, Cage, Marketing, and Security Dispatch. Surveillance shall then enter the information and picture into the facial recognition program for future reference. Compliance shall ensure that the Division is notified of the patron's desire to be excluded.

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7. Copies of state voluntary exclusions received from the Division are sent to the Regulatory Compliance Officer and kept on file for a minimum of five (5) years. Copies are then sent to the Security, Player's Club, Marketing, Cage, and Surveillance departments for their records. Marketing shall then change the mail code on this excluded person to reflect the change.
8. If the excluded Patron returns to the property they are subject to be arrested for criminal trespass. If this occurs the Security department should contact the NYS Gaming Commission Agent on duty or if not available, then contact local law enforcement.

### **Information and process for mail opt-out**

All promotional emails and mail communication will contain information on how to remove oneself from CVCR's marketing lists. Additionally, CVCR will ensure that any patron, for any reason, may request from our trained player's club desk personnel to be excluded from receiving any and all promotional mail, email or other communications.

### **Information and process for self-limiting allowable credit**

As a responsible gaming tool, CVCR will offer all patrons seeking casino credit the opportunity to set their credit limit below what they may qualify for and/or to set a maximum allowable credit line and/or self-exclude from being eligible to receive house credit. Information about self-limiting allowable credit will be provided directly on the credit application and will be verbally reviewed with the patron by a credit officer. The self-limiting credit program will be designed for those responsibly gambling guests desiring external control over their access to casino credit lines in order to provide them with a tool to keep their gambling expenditures within their limits. Casino credit will not be approved if at the time of request the patron presents as judgmentally compromised as indicated by self-identifying as a problem gambler, presents as visibly intoxicated, or display behaviors clearly indicating a compromised mental state.

