

## RECORDS RETENTION AND DISPOSITION SCHEDULE

## **Gaming Commission, Indiana**

NO.   SERIES   (This Retention Schedule is approved on a space-available basis)   TMAGE according to IA	ipt. TRANSFER hard results sheets to the EVALUATION, SAMPLING, to archival emaining hard copies
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ATHLETIC DIVISION EVENT FOLDERS Record includes but is not limited to, copies of bout contracts between the promoter and fighter, event result sheets, master score cards, judges score cards, event permit applications, correspondence, Chief Commission Representative Reports, promoter financial reports, weight waivers, and official weigh-in affidavits.  2 2005-14 CASINO OWNER LICENSE APPLICATIONS Record consists of an application that a person who wants to own a casino operation must complete. This includes original license applications (SF 46456), renewal / reinvestigation applications of existing licenses (SF 49985), transfer of ownership applications (SF 47373), and Gambling Game License Applications (SF 53554). Collection and disclosure are affected by IC 4-33-5-[1.5 and 2], IC 5-14-3-4 , IC 5-15-5.1-13, and IC 6-8.1-7-1.  MIAGE according to IA immediately upon receipt opy of first page of INDIANA ARCHIVES for and WEEDING pursuant: principles. DESTROY of after verification of for completeness and electronic records six conclusion of event, of Accounts and electronic records six conclusion of event, of Accounts and State Board of A	ipt. TRANSFER hard results sheets to the EVALUATION, SAMPLING, to archival emaining hard copies
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License applications for casino employees (including receipt. DESTROY hard	_
occupational school instructors) at varying levels of verification of digital	_
clearance and monetary involvement: Level One (SF 46458), completeness and legil	_
Level Two (SF 46781), and Level Three (SF 46782).	_
Disclosure of these records may be affected by IC possibility of license	_
4-33-5-1.5, IC 5-14-3-4 (a) or (b), and IC 6-8.1-7-1. or application is with	_
after STATE BOARD OF 1	
and satisfaction of w	-
4 2005-19 INFORMATION SUBMITTED BY A CASINO OR SUPPLIER LICENSEE IMAGE according to IAI	
Documents submitted by the licensee pursuant to various receipt. DESTROY hard	_
regulatory laws, as supporting information, or as requested verification of elect:	-
by the Gaming Commission, that are not included in the completeness and legil	
	-
Applications in record series 2005-14 or 2005-20.	ree (3) years alter
Disclosure of these records may be affected by IC 5-14-3-4 receipt.	
and IC 4-33-5-2.	

	2005 20	TMDTANA GUDDITED I TORNOR ADDITORTON	IMAGE aggording to IADA standards six (6)
5	2005-20	INDIANA SUPPLIER LICENSE APPLICATION	IMAGE according to IARA standards six (6) months after: 1) the license becomes
		Record consists of an application (State Form 46783) that a	, , , , , , , , , , , , , , , , , , , ,
		person wishing to have a Supplier License must complete.	inactive, or 2) application is withdrawn or
		Pursuant to 4-33-7. Disclosure of these records may be	denied, or 3) the licensee is
		affected by IC 5-14-3-4 (a) or (b), 4-33-5-2 and IC	reinvestigated. DELETE electronic records
		6-8.1-7-1.	and destroy hard copies six (6) years after
			possibility of license renewal has expired
			or application is withdrawn/denied, and
			after STATE BOARD OF ACCOUNTS Audit Report
			and satisfaction of unsettled charges.
6	2005-23	DAILY EXCURSION REPORT	DESTROY after one (1) year.
		Indiana riverboats are required to file a daily excursion	
		report for any date on which they actually perform	
		excursions. Since the riverboat casinos currently have	
		dockside gambling, authorized under IC 4-33-9-2, excursions	
		are rare, but still possible. Files may include State Form	
		47462 and supporting documentation.	
7	2005-24	RG FORMS	DELETE electronic records and DESTROY any
		This group of accounting and revenue forms submitted by	remaining paper records after three (3)
		gambling establishments is mandated under 68 IAC 15-5-1,	years.
		and consists of Forms RG-1 through RG-9. These forms are	
		now submitted electronically to a central database; there	
		is no paper version. All previously existing paper records	
		are eligible for destruction. Retention based on IC	
		6-8.1-5-4.	
8	2005-25	PATRON COMPLAINTS	IMAGE according to IARA standards upon
		Records of dispute resolutions. Pursuant to 68 IAC 18 and	receipt. DESTROY hard copies after
		68 IAC 27, the Indiana Gaming Commission may be called upon	verification of electronic records for
		to resolve disputes between riverboat patrons, sports	completeness and legibility. DESTROY
		wagering patrons, and licensees.	electronic records one (1) year after
		majoring paorone, and recombook.	response is provided.
9	2005-26	SEC FILINGS	DESTROY one (1) year after receipt.
	2003 20	Corporation-related filings collected pursuant to 68 IAC	beding one (1) year areer receipe.
		Corporation related rillings corrected pursuant to to the	
!		A-1-7 (a) and (b) This information is a duplicate of	
		4-1-7 (a), and (b). This information is a duplicate of	
		information submitted to the Securities and Exchange	
		information submitted to the Securities and Exchange Commission, and is made publicly available online by the	
10	2008-03	information submitted to the Securities and Exchange Commission, and is made publicly available online by the SEC.	TMAGE according to TAPA standards upon
10	2008-03	information submitted to the Securities and Exchange Commission, and is made publicly available online by the SEC. BACKGROUND AND FINANCIAL INVESTIGATIVE WORK PRODUCT AND	IMAGE according to IARA standards upon
10	2008-03	information submitted to the Securities and Exchange Commission, and is made publicly available online by the SEC.  BACKGROUND AND FINANCIAL INVESTIGATIVE WORK PRODUCT AND OCCUPATIONAL LICENSEE WORKING FILE	receipt. DESTROY hard copies after
10	2008-03	information submitted to the Securities and Exchange Commission, and is made publicly available online by the SEC.  BACKGROUND AND FINANCIAL INVESTIGATIVE WORK PRODUCT AND OCCUPATIONAL LICENSEE WORKING FILE Work product from background and financial investigators	receipt. DESTROY hard copies after verification of digital images for
10	2008-03	information submitted to the Securities and Exchange Commission, and is made publicly available online by the SEC.  BACKGROUND AND FINANCIAL INVESTIGATIVE WORK PRODUCT AND OCCUPATIONAL LICENSEE WORKING FILE Work product from background and financial investigators researching and verifying applications for Owner,	receipt. DESTROY hard copies after verification of digital images for completeness and legibility. TRANSFER final
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12	2008-05	ANNUAL REPORT WORKING PAPERS	DESTROY after two (2) years.
	2000 05	Documents used in preparation of the Gaming Commission's	publical areas and (2) fears.
		Annual Report.	
13	2008-06	INTERNAL CONTROL DOCUMENTS	DESTROY when outdated or replaced.
		Written procedures utilized by each casino and submitted to	
		the Commission, which must comply with Indiana Gaming	
		Commission laws and rules. These are frequently revised by	
		the casinos due to changing laws and technology; once a new	
		set of procedures is created by the casino and approved by	
		the Commission, the previous documents are obsolete.	
		Includes emergency/disaster plans and job descriptions.	
14	2008-07	AUDIT DIVISION MONITORING DOCUMENTS	DESTROY after six (6) months.
	2000 07	Used to monitor regulatory compliance and to verify the	DEDIKOT WIECE SIX (0) MOHENS.
		accounting of daily wagering tax returns at each casino.	
		Various audit, financial, security incident and	
		surveillance reports collected from the casinos to regulate	
		internal control and IGC rule compliance and maintained	
1.5	2008-08	only for a brief auditing period.	PROTECTION ALC: ALC: ALC: ALC: ALC: ALC: ALC: ALC:
15	2008-08	CHARITY GAMING LICENSE FILE	DESTROY qualification applications and
		As defined under IC 4-32.3 and 68 IAC 21, a nonprofit	supporting documents after organization has
		organization must submit written application to become	been inactive for six (6) years, and after
		qualified to conduct charitable gaming in the State of	receipt of STATE BOARD OF ACCOUNTS Audit
		Indiana. Once qualified, the organization must submit	Report and satisfaction of unsettled
		additional applications for approval or license to conduct	charges.
		specific charitable gaming activities and events, including	
		but not limited to bingo, casino game night, raffle,	DESTROY license/approval applications and
		festival, and sale of pull tabs, punchboards or tip boards.	supporting documents six (6) years from
		The typical file contains applications, financial reports	license/approval date, and after receipt of
		and supporting documentation necessary for the Commission	STATE BOARD OF ACCOUNTS Audit Report and
		to determine approval or denial of qualification and	satisfaction of unsettled charges.
		subsequent specific requests. Records are arranged in	
		numerical order by a system-generated number. A fee is	
		required with certain applications.	
16	2008-09	GAMING LABORATORY LETTERS	IMAGE according to IARA standards upon
		Certification letters containing analysis of new games,	receipt. DESTROY hard copies after
		software and hardware testing on gaming systems. Disclosure	verification of electronic records for
		of these records may be affected by 5-14-3-4 (a) or (b).	completeness and legibility. DELETE
			electronic records after three (3) years.
17	2008-10	SLOT AND TABLE GAME MOVE REQUESTS	DELETE electronic records and destroy any
		Records of the purchase, sale or movement (from one	remaining paper records after three (3)
		property to another) of gaming equipment, by casinos.	years.
18	2008-11	PROMOTIONS	DESTROY after three (3) years.
		Information on casino promotions, associated advertising,	
		supporting documents and correspondence.	
19	2008-12	COMPLIANCE COMMITTEE INVESTIGATORY FILES	IMAGE according to IARA standards upon
		Investigation records concerning alleged regulatory	receipt. DESTROY hard copies after
		noncompliance; files include, but are not limited to,	verification of electronic records for
		settlement agreements, incident reports from gaming agents,	completeness and legibility. DELETE
		correspondence from casinos, financial reports, security	electronic records seven (7) years after
		incident reports, surveillance reports and tapes, audit	resolution.
		reports and any other information requested by or sent to	
		reports and any other information requested by or sent to the Compliance division.	

2.0	2010-13	VOLUNTARY EXCLUSION PROGRAM ENROLLMENT AND REMOVAL	IMAGE hard copies according to IARA
20	2010 13	APPLICATIONS: LIMITED TIME	standards and TRANSFER born-digital records
		Record consists of an enrollment application which	from enrollment DVD to agency electronic
		prohibits a patron from entering a casino for a certain	holdings, upon receipt.DESTROY hard copies
		period of time (SF 51803), a DVD of the enrollment	and enrollment DVDs one year after receipt
		interview, and a removal application for when a patron	and after verification of electronic
		wishes to rescind the request and remove themselves from	records for completeness and legibility.
		the program after the minimum exclusion period has passed	TRANSFER applications that remain active
		(SF 52323). Limited-time exclusions may be requested for	after ten (10) years to Computer Output
		one or five years; after that period has passed, the	Microfilm according to 60 IAC 2. TRANSFER
		exclusion remains active unless a removal application is	original microfilm negative to the INDIANA
		submitted.	ARCHIVES for permanent archival retention.
			DELETE rescinded applications and
			electronic enrollment videos ten (10) years
			after receipt of removal request.
21	2010-14	INDIANA JUNKETEER AND JUNKET OPERATOR REGISTRATIONS	IMAGE according to IARA standards upon
		Record consists of Junketeer and Junket Operator	receipt. DESTROY hard copies after
		Certificate of Registration Applications (SF 53686 and SF	verification of electronic records for
		53687) and registration letters. Application and annual	completeness and legibility.
		registration fees are required.	
			DELETE electronic records five (5) years
			after possibility of registration renewal
			has expired, or after registration is
			withdrawn or denied, and after receipt of
			STATE BOARD OF ACCOUNTS Audit Report and
			satisfaction of unsettled charges.
22	2010-15	WORK PRODUCT OF AGENCY THIRD PARTY CONTRACTORS.	IMAGE according to IARA standards upon
	2010 13	Reports and written analyses performed by third party	receipt. DESTROY hard copies after
		contractors as requested by Gaming Commission staff.	verification of electronic records for
		Disclosure of these records may be affected by IC	completeness and legibility. DELETE
		5-14-3-4(a) or (b) and 4-33-5-2.	electronic records after three (3) years
		3 14-3-4(a) OI (b) and 4-33-3-2.	and after receipt of STATE BOARD OF
			ACCOUNTS Audit Report and satisfaction of
			unsettled charges.
23	2010-16	ATHLETIC DIVISION LICENSE APPLICATIONS	IMAGE according to IARA standards
23	2010-10	License applications submitted by members of the public who	immediately upon receipt. DESTROY hard
			copies after verification of electronic
		wish to be licensed by the Athletic Division to participate	
		in boxing and mixed martial arts events throughout the	records for completeness and legibility.  DELETE electronic records and/or hard
		State of Indiana. Records consist of all supporting	
		documentation that is required to be submitted with the	copies six (6) years after receipt of
		application (with the exception of medical records).	application, and after STATE BOARD OF
			ACCOUNTS Audit Report and satisfaction of
	0010 17		unsettled charges.
24	2010-17	FIGHTER MEDICAL DOCUMENTS	IMAGE according to IARA standards
		Medical records submitted to the Athletic Division by	immediately upon receipt. DESTROY hard
		fighters seeking to participate in boxing and mixed martial	copies after verification of electronic
		arts events. Records may include but are not limited to:	records for completeness and legibility.
		Physical Examination Report for Boxer or Mixed Martial	DELETE previously submitted HIV, Hepatitis
		Artist (State Form 54475), Pre-Bout and Post-Bout Physical	B, and Hepatitis C tests immediately upon
		(State Form 45730), copies of medical and non-medical	receipt of updated tests. DELETE previously
		suspension forms, and test results for HIV, Hepatitis B and	submitted annual physicals immediately upon
		C, and various laboratory-submitted drug tests. Disclosure	receipt of updated physicals. DELETE drug
		of these records may be affected by: IC 5-14-3-4(a), 45 CFR	test results immediately (if negative) or
		160 & 164.	after two (2) years (if positive). DELETE
			Pre-Bout and Post-Bout Physicals and
			suspension forms two (2) years after
			suspension forms two (2) years after completion of event.

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25	2011-21	CHARITY GAMING INCIDENT REPORTS	DESTROY three (3) years after closure of
		As defined by statute and rule, the Commission may suspend	investigation.
		or revoke a gaming license or levy a civil penalty against	
		a qualified organization, manufacturer, distributor or	
		individual (IC 4-32.2-8). The Commission shall conduct	
		investigations necessary to ensure the security and	
		integrity of the operation of charitable games (IC	
		4-32.2-9). Typical Charity Gaming Incident Reports contain	
		copies of gaming licenses, financial reports, supporting	
		documentation submitted with an application. It will also	
		contain documents, pictures, bank and supplier records	
		utilized as evidence to justify violations charged against	
		the organization. These reports are incidental, not	
		criminal, and there are no fees associated. Disclosure of	
		these records may be affected by IC 4-32-2-9-9.	
26	2013-01	CHARITY GAMING MANUFACTURER AND DISTRIBUTOR LICENSE FILE	DESTROY after six (6) years and after
20	2013-01		_
		As defined by IC 4-32.3 and 68 IAC 21, a distributor or	receipt of STATE BOARD OF ACCOUNTS Audit
		manufacture must submit written application and the	Report and satisfaction of unsettled
		required fee to obtain a license to sell charity gaming	charges.
		licensed supply to a qualified organization or distributor.	
		The typical file contains applications, copies of	
		distributor and manufacturer licenses issued, quarterly	
		reports, amendment requests, notification forms, and	
		supporting documentation necessary for the Commission to	
		determine approval or denial of a request. Records are	
		arranged in alphabetical order by entity name.	
27	2017-08	GAMBLING CONTROL AND ENFORCEMENT INVESTIGATORY FILES	IMAGE according to IARA standards upon
		Records concerning criminal investigations and regulatory	receipt. DESTROY hard copies after
		noncompliance; files include, but are not limited to, case	verification of electronic records for
		reports, incident reports, supplemental reports,	completeness and legibility. DELETE
		correspondence from casinos, financial reports, witness	electronic files seven (7) years after
		statements, security incident reports, surveillance reports	resolution.
		and audio or video recordings, compact discs, tapes, audit	
		reports and any other investigatory information requested	
		by Gaming Control or Enforcement staff. Disclosure of these	
		records may be affected by 5-14-3-4 (a) or (b).	
28	2017-09	VOLUNTARY EXCLUSION PROGRAM ENROLLMENT APPLICATIONS:	MICROFILM according to 60 IAC 2, and IMAGE
		LIFETIME	according to IARA standards, upon receipt.
		Record consists of a voluntary application which prohibits	TRANSFER born-digital records from
		a patron from entering a casino for the patron's lifetime	enrollment DVD to agency electronic
		(SF 51803) and a DVD of the enrollment interview.	holdings.
		(Sr 51003) and a DVD of the enfortment interview.	nordings.
			TRANCEER onwellment DVD and original
			TRANSFER enrollment DVD and original
			microfilm negative to the INDIANA ARCHIVES
			for permanent archival retention.
			DESTROY hard copies one year after receipt
			and after verification of electronic
			records and microfilm for completeness and
			legibility.
			DELETE electronic records after
			seventy-five (75) years or upon
			confirmation of patron's decease.
29	2017-10	VOLUNTARY EXCLUSION PROGRAM: GENERAL CORRESPONDENCE AND	DESTROY five (5) years after receipt.
		INCOMPLETE APPLICATIONS	
30	2021-06	FINGERPRINTS	DESTROY or DELETE after review in
		Fingerprint cards submitted by applicants for licensure and	accordance with the FBI's Criminal Justice
		documents containing the results received by the Integrated	Information Services Policy.
		Automated Fingerprint Identification System (IAFIS), the	
		FBI, or any entity responding to criminal history search	
		via fingerprint request. Disclosure of these records may be	
1		, Jan and a series	1
		affected by 5-14-3-4 (a)or (b) and IC 4-33-5-1.5.	

31	2021-07	BANKRUPTCY FILINGS	DESTROY one (1) year after receipt.
31	2021 07	Corporation-related filings collected pursuant to 68 IAC	bibliof one (1) year areer receipe.
		1-5-1 (7). This information is a duplicate of information	
		submitted to the US Bankruptcy Court, and is made publicly	
		available online by the US Bankruptcy Court.	
2.2	2021-08	SPORTS WAGERING APPLICATIONS	IMAGE according to IARA standards upon
34	2021-06		receipt. DESTROY hard copies after
		Record consists of an application that a person who wants	
		to have a Certificate of Authority, Vendor License or	verification of electronic records for
		Service Provider License must complete. (State Forms 56722,	completeness and legibility. DELETE
		56732, and 56743). Collection and disclosure are affected	electronic records fourteen (14) years
		by IC 4-38.	after possibility of license renewal has
			expired or application is withdrawn/denied,
			and after STATE BOARD OF ACCOUNTS Audit
			Report and satisfaction of unsettled
			charges.
33	2021-09	SPORTS WAGERING MARKET REQUEST & PROMOTIONS	IMAGE according to IARA standards upon
		Record consists of applications received for market	receipt. DESTROY hard copies after
		requests and promotions. This includes State Forms 57000	verification of electronic records for
		and 57011.	completeness and legibility. DESTROY
			electronic records one (1) year after
			response is provided.
34	2021-10	SPORTS WAGERING REGISTRANT APPLICATION	IMAGE according to IARA standards upon
		Record consists of Registrant Applications (State Form	receipt. DESTROY hard copies after
		56810).	verification of electronic records for
			completeness and legibility.
			DELETE electronic records five (5) years
			after possibility of registration renewal
			has expired, or after registration is
			withdrawn or denied, and after receipt of
			STATE BOARD OF ACCOUNTS Audit Report and
			satisfaction of unsettled charges.
35	2021-11	STATEWIDE INTERNET SELF-RESTRICTION PROGRAM: LIMITED TIME	IMAGE hard copies according to IARA
		Record consists of a removal application for when a patron	standards and DESTROY hard copies after
		wishes to rescind the request and remove themselves from	verification of electronic records for
		the program after the minimum exclusion period has passed	completeness and legibility.
		(SF 57145).	completed and regioning.
			DELETE rescinded applications ten (10)
			years after receipt of removal request.
			<u> </u>