

# **Cagayan Special Economic Zone & Free Port**

Reporting Guidelines for Interactive Gaming Operators

## **INTERACTIVE GAMING RULES AND REGULATIONS VERSION 2.0, AUGUST 2004**

### **A GUIDE FOR OPERATORS**

Issued by the Regulator of Interactive Gaming

#### **First Cagayan Leisure and Resort Corporation**

26<sup>th</sup> Floor, West Tower  
Philippine Stock Exchange Centre  
Exchange Road, Ortigas Centre  
Pasig City 1605, Philippines

# **Cagayan Economic Zone Authority Reporting Guidelines for Interactive Gaming Operators**

## **Contents**

### **1. INTRODUCTION**

### **2. REPORTS**

- 2.1 GENERAL REQUIREMENTS
- 2.2 FINANCIAL REPORTING REQUIREMENTS
- 2.3 SYSTEM REPORTING REQUIREMENTS
- 2.4 PLAYER INFORMATION REPORTING REQUIREMENTS
- 2.5 REGISTERS TO BE MAINTAINED BY AN OPERATOR

# **Cagayan Economic Zone Authority**

## **Reporting Guidelines for Interactive Gaming Operators**

### **1. INTRODUCTION**

This document provides the Operators under the Interactive Gaming Act 2003 with the statutory reporting requirements. It describes the:

Number and Name of each Report; and

Minimum information for each report; and

When each report must be provided.

### **2. REPORTS**

#### **2.1 General Requirements**

Reports are to be provided to the Regulator with monetary values expressed in US Dollars.

Reports may be delivered as an attachment to an email provided that hard copy reports are provided no more than two working days later.

All reports are to be submitted to the Regulator.

# **CAGAYAN ECONOMIC ZONE AUTHORITY**

## **Reporting Guidelines for Interactive Gaming Operators**

### **2.2 FINANCIAL REPORTING REQUIREMENTS**

**Report Name: Monthly Performance Report**

**Due Date : 5<sup>th</sup> Working day each month**

**Ref. No. : CEZA FR 1.0**

For each approved game the licensee must provide at least the following information for each game:

- Game Type
- Total player wins for the month
- Total player losses for the month
- Total incentives/bonuses provided to players for games
- Total Deposits / Withdrawals
- House percentage for each game
- Total Games Performance
- Total Registered Player
- Conversion Ratio Applied on Landbase On-Line Casino

**Report Name: Major Wins / Jackpot Report**

**Due Date : Immediately Upon Request**

**Ref. No. : CEZA FR 1.1**

(For each approved game the licensee must provide the following information as a minimum).

- Game Type
- Major wins / Jackpot over USD \$ 10,000 by date
- Any win within a 24 hour period by an individual in excess of USD \$50k (To be reported immediately)
- Any cumulative win by an individual in excess of USD \$100k over a 72 hour period (To be reported immediately)

**Report Name: Player Account Report**

**Due Date : Immediately Upon Request**

**Ref. No. : CEZA FR 1.2**

Operators must provide at least the following information:

- Date of report
- Players Registered Number
- Deposit / Withdrawal report
- Players current balance

## 2.3

### SYSTEM REPORTING REQUIREMENTS

**Report Name: Software Modification Log File**

**Due Date : Immediately Upon Request**

**Ref. No. : CEZA SR 2.0**

Operators must maintain a log file of the following information in relation to software installed on approved gambling computer equipment.

- System Patch Applied
  - Date of patch applied
  - Patch version
    - List of software problems / bugs resolved

**Report Name: Proposed Game Configuration Report**

**Due Date : 5 working days prior to change**

**Ref. No. : CEZA SR 2.1**

When changes to game configuration or parameters are proposed, Operators must notify when new games are added.

- Game Type / Name
- Percentage Payout
- Core System Modification
  - Core system type
    - RNG module
    - Reporting Script module
    - Game module
- Reason for Modification

**Report Name: System Malfunction / Defects Report**

**Due Date : No more than 2 working days after malfunction**

**Ref. No. : CEZA SR 2.2**

The regulator must be notified of any malfunction of the Internet Gaming Computer Software (IGCS) or an end player device that leads to a request by the operator or by the player to make a financial adjustment to the IGCS or to a player's account. The notification must include the following:

- The time and date of the claimed malfunction or defects
- The time and date of the claimed malfunction or defects was reported.
- The details of the claimed malfunction or defect, including evidence that supports the claim and evidence (if any) that refutes the claim. All evidence submitted by a

player in support of his claim must be included in the notification.

- Any actions taken to prevent the fault from re-occurring or to prevent a continuing problem (e.g. game disabled until fault rectified).
- The details of the requested financial adjustment.
- The details of any financial adjustment resulting from claimed malfunction or defect, or the reason why no financial adjustment was performed.

**Report Name: Security Incidents or Service Attacks Report**

**Due Date : Immediately**

**Ref. No. : CEZA SR 2.3**

Operators are required to report to the Regulator all defected Security Incidents / Service attacks. For the purpose of reporting a Security Incident / Service Attack is any attempt to breach the Security of the Operators systems Or premises identified by the Operators.

The minimum information to be provided shall include:

- Location, Date and Time of (attempted) security breach.
- State whether the security breach was successful or not.
- Narrative of breach attempt.
- Narrative of counter measures applied.
- Statement to thwart a repetition.

It is acknowledged that continuous attempts at breaching security are common-these are to be reported.

It is also acknowledged that the reporting such attempted security breaches may require immediate telephone contact with CEZA rather than an immediate written report. (It may be necessary for CEZA to notify all Operators of an attempt occurring now.)

## **2.4                      PLAYER INFORMATION REPORTING REQUIREMENTS**

**Report Name: Customer Unresolved Dispute Report**

**Due Date : Immediately Upon Request**

**Ref. No. : CEZA PI 3.0**

Operators must provide at least the following information for all Unresolved Disputes.

- Dispute type (Can be the outcome of the game, malfunctions, payments)

- Registered Player's Account Number
- Date dispute raised

**Report Name: Excluded Players Report**  
**Due Date : Immediately Upon Request**  
**Ref. No. : CEZA PI 3.1**

Operators must provide at least the following information for all Excluded Players:

- Reason for exclusion
- Number of exclusion
- Registered Player's Account Number

**Report Name: Ex-Gracia Payments Report**  
**Due Date : Immediately Upon Request**  
**Ref. No. : CEZA PI 3.2**

Operators are required to provide a report of all Ex-Gracia Payments \$250 and above. (Payments given to customers to resolve disputes)

This report should at least indicate the following: (This does not include amounts defined as "sign up bonuses" or comp points converted to cash or promotions)

- Date and Time of payment
- Recipients registered number
- Reason for payment

## **2.5 REGISTERS TO BE MAINTAINED BY A LICENSEE**

**Report Name: Change to list of Key Employees**

- Managing Director
- General Manager
- Operations & Marketing Manager
- IT Manager
- Finance Officer
- Gaming Manager (Pitboss)

**Due Date : No more than 5 days after a key employee change**  
**Ref. No. : CEZA LR 4.0**

Give the list of key employees when changes occur. Notify the Regulator and submit the list of changed key employees.

**Report Name: Register of Approved Games**  
**Due Date : Immediately Upon Request**  
**Ref. No. : CEZA LR 4.1**

➤ List of Approved Games

A Register of all Game Types / Approval Date / Date of Lab Testing duly accredited by the Regulator.

**Report Name: Register of Shareholders**  
**Due Date : No more than 5 days after an approved change**  
**Ref. No. : CEZA LR 4.2**

The Operators must notify the regulator in writing if there is any change of at least 5% of the total Shareholders.

**“FCLRC SHALL ASSIGN AN INSPECTOR TO CONDUCT A RANDOM AUDIT ANYTIME AS PER REGULATORY PRACTICE”**



## Summary

### FR (Financial Reporting)

FR	1.0	Monthly Performance Report
	1.1	Major Wins / Jackpot Report
	1.2	Player Account Report

### DUE

5<sup>th</sup> working day, Monthly  
Immediately Upon Request  
Immediately Upon Request

### SR (System Reporting)

SR	2.0	Software Modification Log File
	2.1	Proposed Game Configuration
	2.2	System Malfunction / Defects Report
	2.3	Security Incidents or Service Attacks Report

Immediately Upon Request  
5 working days prior to change  
No more than 2 working days after Malfunction  
  
Immediately

### PI (Player Information)

PI	3.0	Customer Unresolved Dispute Report
	3.1	Excluded Players Report
	3.2	Ex-Gratia Payments Report

Immediately Upon Request  
Immediately Upon Request  
Immediately Upon Request

### LR (Licensee Registers)

LR	4.0	Change of List of Key Employees
	4.1	Register of Approved Games
	4.2	Register of Shareholders

No more than 5 days after a key Employee Change  
Immediately Upon Request  
No more than 5 days after an approved change