

SAMPLE

Pre-Exam Request List

Date: xx/xx/xxxx

To: General Manager; Compliance Officer; Cage Manager; Slot Tech Manager; Marketing; IT/Security

Subject: Information Request – Fraud Control Examination

Dear Team,

To support an effective examination focused on fraud risk within cage/TITO, slots/technical services, marketing/hosts, and remote access, please provide the items below. Where possible, export in CSV/XLSX with field names. Kindly respond within 10 business days.

Checklist (last 90 days unless otherwise noted)

- Policies:
 - Reprints
 - Overrides regarding comps/free-play
 - Change management
 - Remote access
 - Exception handling
 - Whistleblower/ethics
- Organization chart(s) and Segregation of Duties (SoD) matrix for cage/TITO, slots/tech, marketing, IT.
- TITO voucher reprint logs; redemption logs by device and employee; kiosk device list with locations.
- Service/Change logs: service mode entries; parameter/config changes; ticket numbers; approvers; timestamps.
- Overrides/Comps: approvals with limits; backdating/adjustments with timestamps and approver IDs.
- Cage payouts: list of payouts with ticket IDs; any off-procedure disbursements with documentation.
- Remote access: session register with who/what/why/when/how; start/stop times; tickets; session owner; secure method.
- Access lists: privileged accounts (staff & vendors); last access recertification dates; orphaned/disabled accounts.
- Exception/Override register: reason codes; RCA/CAP; owner; due date; closure proof (screenshots/approvals).
- Surveillance exception summaries tied to above incidents.

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- Training rosters/materials (ethics, anti-retaliation, exceptions handling) – last 12 months.

Please include a single point of contact for document transfer and live system demonstrations.

Sincerely,
TGRA Representative

Title

FRAUD
RUMOR VS RECEIPT

