



Exhibit X.A.4 – Self-Exclusion Policies

Submit as Exhibit X.A.4. a description of the exclusion policies that will be available for Gaming Facility patrons and employees, including the process to notify individuals of the availability of self-exclusion, the steps that will be taken to assist those who request exclusion and steps that will be taken to assure that excluded patrons are identified before gaining access to the gaming floor.

As a current VLT and pari-mutuel license holder, Tioga Downs has an established Self Exclusion policy and procedure. We are also working with NYCPG and the other existing VLT facilities to ensure a shared database for those individuals that have elected to exclude themselves from our facility. Further, we look forward to working with the New York Gaming Commission to develop a regulatory framework to facilitate and broaden this statewide focus.

Attached to this Exhibit is a self-exclusion form as well as a sample of material that could be adapted and used by persons who require more information about self-exclusion.

Current Self Exclusion and Involuntary Self-Exclusion policies and procedures are as follows:

Voluntary Self-Exclusion Policy

Tioga Downs & Vernon Downs

Department – All

Voluntary Exclusion Policy

Effective Date: Category: 1

Submission Date: Reference: ARE-A-POL-003

Revision # _____ Revision Date: __/__/__

Purpose: To ensure that necessary steps are taken to ensure proper communication of a voluntary exclusion.

Procedure: When a guest requests to be excluded from the property for a specific period of time, the following steps will be taken.



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1. If a Voluntary Exclusion request is received via website, the guest will be required to submit a photo id, guest signature, and notarized signature on the Exclusion form and accompanying waiver.
 2. If the request is made in person, the security officer will identify the individual by requesting a photo ID and record this information on an Exclusion form.
 3. The Security department will then direct the excluded guest to read and sign the Exclusion form and accompanying waiver.
 4. The Security department will also include the name of the security officer that received the guest's request in the comments section of the Exclusion form.
 5. A Security Supervisor will sign the Exclusion form and forward copies to the Outlook group "Security - Exclusion" or email SecExclusion@tiogadowns.com.
 6. The Security department will mail a final copy of the Exclusion form to the guest's residence via certified mail.
 7. The Security department will retain a copy of the exclusion form with an attached photo of the excluded guest.
 8. The Surveillance department will monitor the floor periodically for any excluded guest. If a suspected guest is observed, the Surveillance department will notify the security supervisor on duty.
 9. If an excluded guest is discovered on property, the Security department will advise the guest to leave the property and inform the guest that they may be subject to arrest. If the guest refuses, the General Manager of the property will be notified immediately, and make the decision to call law enforcement.
 10. Cage associates will verify, before any limited/JP vouchers are redeemed, that the guest is not on the current excluded guest list. If the excluded guest has previously attempted to redeem a limited/JP voucher, the MGAM system will automatically flag the individual as an excluded guest. If a guest is found to be on the list of excluded guests, the Cage associate will notify the Security Supervisor on duty.
 11. Once the guest's exclusion has expired and all proper administrative requirements are completed, the guest will be required to sign a release form before actively returning on property.

Additional Required Administrative Steps:

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1. The website administrator will ensure the exclusion form is current and up to date.
 2. If a guest's exclusion has expired or been lifted, the Security Supervisor will contact the Database Manager to remove the guests name from the required database(s).
 3. On a weekly basis, the Security department will email an excel spreadsheet to the Outlook group "Security - Exclusion" or email SecExclusion@tiogadowns.com.
 4. The Marketing department will ensure players club has the excluded guest list. Vernon Marketing Director and Tioga Administrative Assistant will ensure the MOD for the weekend has a copy of the excluded guest list.
 5. The Player's Club will verify that before any promotional prize is awarded to a guest they are not on the current list. They will check the excel spreadsheet. As a failsafe, the guest will be looked up in CMP to ensure the "skull and crossbones" icon for excluded guests is not shown for a winner.
 6. Internal Audit will periodically compare the CMP database to a current copy of the security prepared excluded listing to verify accuracy. Any discrepancies will be reported to the General Manager of the respective property.
 7. The Marketing department will ensure all rules for promotions state, "excluded patrons are not allowed to win any promotional prize".
 8. The prize winner form will state the winner has not had their gaming activity restricted.

This policy supersedes all prior policies relating to this subject. To the extent that an employee's collective bargaining agreement or written employment contract contains provisions in conflict with provisions of the Policy, such contract will control for the provisions in conflict, but this Policy will otherwise be applicable to the employee. The company reserves the right to amend any portion of this policy at its sole discretion. This Policy is intended to comply with all applicable state and federal statutes and regulations and shall be construed in all cases consistent with such statutory requirements. It does not form a contract of employment or commitment of any kind, nor alter the Company's at-will employment policy.

Tioga AGM/Sr. VP Operations _____ Date _____

Vernon VP/General Manager _____ Date _____

President/General Manager _____ Date _____

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Involuntary Self-Exclusion Policy

Tioga Downs & Vernon Downs

Department - All

Involuntary/Summary Exclusion Policy

Effective Date: Category: 1

Submission Date: 3/28/13 Reference: ARE-ALL-POL-2

Revision # _____ Revision Date: __/__/__

Purpose: To ensure that necessary steps are taken to ensure proper communication of exclusions.

Involuntary/Summary Exclusion: An individual that has been excluded from the property for a designated period of time due to behavior/actions that adversely affected facility operations.

Procedure: When a guest's behavior or actions warrant an Involuntary/Summary exclusion from the property, the following steps will be taken.

1. The security officer will make a reasonable attempt to identify the individual by requesting a photo ID.
2. The security officer will communicate with the Player Development Manager to review guest's history and determine if further investigation is required and a Security Incident Report will be filed.
3. The guest will be informed that he or she is excluded from the property until further notice and will be notified via certified mail as to how long the exclusion will remain in effect.
4. The security officer will initiate an Exclusion Form and document all pertinent information.
5. If the situation allows, the excluded guest will be directed to sign the Exclusion form. If that person refuses, another security officer will respond as a witness if practical.
6. The security officer that informed the guest will be documented in the Comments section of the Exclusion form.
7. The length of the exclusion will be decided by the Senior VP of Operations and the General Manager.

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8. A Security Supervisor will sign the Exclusion form and forward copies to the Outlook group "Security - Exclusion" or email SecExclusion@tiogadowns.com.

9. The Security department will mail a copy of the Exclusion form to the guest's residence via certified mail.

10. The Security department will retain a copy of the exclusion form with an attached photo of the excluded guest.

11. Cage associates will verify, before any limited/JP vouchers are redeemed, that the guest is not on the current excluded guest list. If the excluded guest has previously attempted to redeem a limited/JP voucher, the MGAM system will automatically flag the individual as an excluded guest. If a guest is found to be on the list of excluded guests, the Cage associate will notify the Security Supervisor on duty.

12. The Surveillance department will monitor the floor periodically for any excluded guest. If a suspected individual is observed, the Surveillance department will notify the security supervisor on duty.

13. If an excluded guest is discovered on property, the Security department will advise the guest to leave the property and inform the guest that they may be subject to arrest. If the guest refuses, the General Manager of the property will be notified immediately, and make the decision to call law enforcement.

Additional Required Administrative Steps:

1. The website administrator will ensure the exclusion form is current and up to date.

2. If a guest's exclusion has expired or been lifted, the Security Supervisor will contact the Database Manager to remove the guests name from the required database(s).

3. On a weekly basis, the Security department will email an updated excel spreadsheet to the Outlook group "Security - Exclusion" or email SecExclusion@tiogadowns.com.

4. The Marketing department will ensure players club has the excluded guest list. Vernon Marketing Director and Tioga Administrative Assistant will ensure the MOD for the weekend has a copy of the excluded guest list.

5. The Players Club will verify that before any promotional prize is awarded to a guest they are not on the current list. They will check the excel spreadsheet. As a failsafe, the guest will be looked up in CMP to ensure the "skull and crossbones" icon for excluded guests is not shown for a winner.

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6. Internal Audit will periodically compare the CMP database to a current copy of the security prepared excluded listing to verify accuracy. Any discrepancies will be reported to the General Manager of the respective property.

7. The Marketing department will ensure all rules for promotions state, “excluded patrons are not allowed to win any promotional prize”.

8. The prize winner form will state the winner has not had their gaming activity restricted.

This policy supersedes all prior policies relating to this subject. To the extent that an employee's collective bargaining agreement or written employment contract contains provisions in conflict with provisions of the Policy, such contract will control for the provisions in conflict, but this Policy will otherwise be applicable to the employee. The company reserves the right to amend any portion of this policy at its sole discretion. This Policy is intended to comply with all applicable state and federal statutes and regulations and shall be construed in all cases consistent with such statutory requirements. It does not form a contract of employment or commitment of any kind, nor alter the Company's at-will employment policy.

Tioga AGM/Sr. VP Operations _____ Date _____

Vernon VP/General Manager _____ Date _____

President/General Manager _____ Date _____

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WAIVER AND RELEASE

I hereby release and forever discharge the State of New York, New York State Lottery, Tioga Downs Casino and its employees, agents, and all gaming licensees and their employees and agents from any liability to me and my heirs, administration, executors and assigns for any harm, monetary or otherwise, which may arise out of or by reason on any act or omission relating to this request for self-exclusion or my request for removal from the self-exclusion list including (1) its processing or enforcement, (2) the failure of a gaming licensee to withhold gaming privileges from, or restore gaming privileges to me, (3) permitting me to engage in gaming activity in a licensed gaming and raceway or simulcast facility while on the list of self-excluded persons, (4) disclosure of the information contained in the self-exclusion request or list, except for a willfully unlawful disclosure of such information.

ACKNOWLEDGEMENT

I am voluntarily requesting exclusion from all gaming activities at Tioga Downs Casino. I certify that the information that I have provided above is true and accurate, and that I have read, understand, and agree to the waiver and release included with the request for self-exclusion. I am aware that my signature below authorizes Tioga Downs Casino to enforce my exclusion indefinitely. At the conclusion of the self-exclusionary period I have selected, I may apply for reinstatement of my gaming privileges by submitting a written request to Tioga Downs Casino. I understand that I may not apply for reinstatement until this period expires, and I understand that I will be excluded indefinitely until such time as I apply for reinstatement. I understand that if I am found within the video lottery gaming facility after having been voluntarily excluded, I will be subject to arrest for criminal trespass if I refuse to be escorted from the facility. Further, I authorize the video lottery gaming agent to send a copy of my request to each video lottery gaming facility located within New York State. I am aware and agree that during any period of self-exclusion, I shall not collect any winnings or recover any losses resulting from any gaming activity at Tioga Downs Casino and that any money or thing of value obtained by me from, or owed to me by Tioga Downs Casino as a result of wagers made by me while on the self-exclusion list shall be subject to forfeiture. Furthermore, I agree that any money or thing of value obtained by me from, or owed to me, by Tioga Downs Casino as a result of wagers made by me while on the self-exclusion list shall be subject to forfeiture. I am aware that during my period on the self-exclusion list I will be denied access to any player club promotions, offers or memberships relating to gaming activities at Tioga Downs Casino.

SIGNED _____
DATE _____

Only if Mailed:
NOTARY PUBLIC SIGNATURE: _____ DATE _____
I hereby certify that the above signed individual appeared before me on the date indicated.
TYPE OF I.D. _____
OFFERED _____

I certified that the signature of the person requesting suspension of gaming privileges appears to agree with that contained on the above identification credentials, and any physical description or photograph of the person appears to agree with his or her actual appearance.

_____ VLT Lic# _____ DATE _____
Facility Representative

Lottery globe and disclaimer

