

**NEW YORK STATE GAMING COMMISSION VIOLATION NOTIFICATION**

**A. Facility/Vendor:**  
Saratoga Casino Hotel

**Date of Notification:** 10-11-2023

**Date of Violation:** 09-11-2023

**Case Number:** Gaming 23-014

**B. Facility/Employee Cited:**

<u>Name</u>	<u>License #</u>	<u>Address</u>
Saratoga Casino Hotel		342 Jefferson St, Saratoga Springs, NY 12866
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**C. Statute, Regulation or Internal Control Violated:**

Rules and Regulations Chapter V (Administration) 9 NYCRR §§ 5400-5410.2

§ 5402.2. Request for self-exclusion. (a) A person requesting placement on the self-exclusion list shall submit to the commission or the commission’s designee a completed request for voluntary self-exclusion form provided by the commission. Such submission may be made by appearing at the commission’s principal office in Schenectady during regular business hours or at any licensed gaming facility’s area designated for problem gambling intake. Persons who are unable to travel may request accommodation for submission through United States mail, so long as a notarized statement accompanies the required form stating clearly that the person signing understands fully the implications of submitting such form.

**D. Summary of Violations:**

On September 11, 2023 at around 1:59pm, a patron on the gaming floor approached the security cage area and requested to voluntarily self-exclude (VSE) from gambling. Security Manager, ██████████ was unavailable at the time so Security Guard ██████████ directed the patron to leave a note or come back later to complete the process. The note was lost during a shift change and the request was not followed up on. This lapse of the facility’s required responsible gaming plan is a violation of the cited regulation.

All public-facing staff of the casino must undergo new training on responsible gaming practices before the end of the calendar year. By November 11, 2023, Saratoga Casino Hotel must submit to the Commission confirmation that it has selected an appropriate training provider and/or module. Such confirmation should include an estimated schedule for when all public-facing employees are expected to have completed such training, as well as an updated description of how it will implement responsible gaming training for any new public-facing hires. Saratoga Casino Hotel must collect signed attestations from all current and future public-facing employees that they have completed such training.

Further, the Division of Gaming hereby levies a total fine of \$1,000.00 USD to Saratoga Casino Hotel. Please remit the fine to the New York State Gaming Commission on or before November 11, 2023. ██████████

██. If you wish to contest the violation set forth in this notice, you may request an administrative review by the New York State Gaming Commission including a hearing pursuant to Racing, Pari-Mutuel Wagering and Breeding Law 104(6). Please submit a request for any such administrative review to Kristen Buckley, Acting Secretary to the Commission, New York State Gaming Commission, One Broadway Center, Schenectady, New York 12305, within 30 days of receipt of this notice.

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**Explanation of Violation (use additional sheets if required)\*:**

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**E. Action Taken By Facility:**

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**F. Name of Individual Completing this Form:**

Printed: Jim Googas Signature:   
Title: Deputy Director, Division of Gaming Date: October 11, 2023

**\*To avoid further action pursuant to Video Gaming Regulation §5113.1, please provide sufficient explanation and action taken by facility within 30 days of the date of this notification. Please submit this completed form to:**

New York State Gaming Commission  
Video Gaming Unit  
One Broadway Center  
Schenectady, NY 12301

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**For New York State Gaming Commission Use Only:**

cc: **Tom Anapolis, Director, Division of Gaming Licensing**