

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS
DEPARTMENT OF BUSINESS REGULATION
JOHN O. PASTORE CENTER, BLDG. 68-1
1511 PONTIAC AVENUE
CRANSTON, RHODE ISLAND 02920

IN THE MATTER OF :

TWIN RIVER WORLDWIDE :
HOLDINGS, LLC, TWIN RIVER :
MANAGEMENT GROUP, INC., :
UTGR, INC., AND :
TWIN RIVER-TIVERTON, LLC, :

RESPONDENTS. :
_____ :

DBR No. 19GA006

CONSENT AGREEMENT

The Department of Business Regulation (the "Department") enters into this Consent Agreement with Twin River Worldwide Holdings, LLC, Twin River Management Group, Inc., UTGR, Inc. and Twin River-Tiverton, LLC (the "Respondents") to resolve the above-captioned matter pursuant to its authority under R.I. Gen. Laws § 42-35-9(d).

It is hereby agreed by and between the Department and the Respondents that:

1. The Tiverton Casino Hotel ("Tiverton") is a casino, entertainment and dining venue owned and operated by Twin River-Tiverton, LLC ("TRT"), a Delaware limited liability company and a wholly-owned subsidiary of Twin River Management Group, Inc. ("TRMG"), a Delaware corporation, which is itself a wholly-owned subsidiary of Twin River Worldwide Holdings, Inc. ("TRWH"), also a Delaware corporation.
2. Tiverton's principal corporate office is located at 100 Twin River Road, Lincoln, RI, 02865. Tiverton's physical address is 777 Tiverton Casino Blvd., Tiverton, RI 02878.
3. On February 6, 2019, the Pari-Mutuel Operations Specialist ("Specialist") for the Department's Division of Gaming and Athletics confirmed that Employee 1¹ had been found to be working at Tiverton without a valid Operations License since the expiration of license GFE.000075N-O on December 31, 2018. Employee 1 has since applied for a renewal of his license.

¹ Employee 1, Employee 2, Employee 3, Employee 4, Employee 5, Employee 6 and Employee 7 are so named in an effort to protect the unlicensed employees' confidentiality.

4. On February 15, 2019, the Specialist confirmed that Employee 2 had worked thirty-one (31) shifts at Tiverton without a valid Operations License since the expiration of License GFE.009333T-O on December 31, 2018. Employee 2 has since applied for a renewal of his license but has not completed the fingerprinting portion of the application.
5. On February 18, 2019 the Specialist confirmed that Employee 3 had been working without a valid Service License since the expiration of license GFE.0010120-S on December 31, 2018. Employee 3 has since applied for a renewal of her license.
6. On April 24, 2019, the Specialist discovered that Employee 4 had been working without a valid Service License from the expiration of license GFE.0010456-S on July 8, 2018 until his removal on April 23, 2019. Employee 4 was promoted during the period his license was invalid, and the new position required an Operations License. Employee 4 is in the process of applying for an Operations License.
7. On or about May 6, 2019, the Specialist discovered that three other employees, Employees 5, 6 and 7, had changed roles at Tiverton, which requires a change of licensure from a Service License to an Operations License, but that the Department was not informed of these changes and the required Operation Licenses had not been obtained.

Applicable Law and Prior Agreements

8. Pursuant to 230-RICR-30-30-2, *License Applications* (“Regulation”), §2.3, “Gaming Facility” means “any building, enclosure, or premises at which pari-mutuel, simulcast, slot operations, and/or table games are conducted.”
9. Pursuant to Regulation §2.4(A), entitled *License Required*, “No Person shall engage in any business operation or other activity which requires presence at any Gaming Facility (other than patrons of the Gaming Facility), and no Person shall be employed at any Gaming Facility, without first obtaining a License from the Department.”
10. Pursuant to R.I. Gen. Laws §41-4-9.1(f): “The cost of the licensing pursuant to this section shall be paid by the employer of the licensee...”
11. Pursuant to the Regulatory Agreement dated as of July 1, 2016, by and among TRWH, TRMG, UTGR, TRT, the Department and others (“Agreement”) the Respondents must do or cause to be done all things necessary to obtain, preserve, renew, extend and keep in full force and effect all licenses material to the conduct of their business at Tiverton and Twin River Casino, located in Lincoln, Rhode Island.
12. Therefore, it is the Division’s position that because Respondents are responsible to ensure that its employees are properly licensed by the Department and for paying its employees’ licensing fees, maintaining the employment of the unlicensed individuals identified in paragraphs 3, 4, 5, 6 and 7 was a violation under the Regulation and the Agreement.

Conditions

13. The Division maintains that it has the requisite good cause to pursue administrative action and penalties against Respondents pursuant to its statutory and regulatory authority. However, in consideration for the execution and completion of the below agreements and representations and other good and valuable consideration, the parties have agreed to an amicable resolution of the matter without an administrative hearing and its attendant time and costs, and as such the Respondents agree as follows:
- a. Respondents shall, on a quarterly basis commencing with the quarter ending June 30, 2019, audit the employees, vendors, personnel and other service providers with respect to Tiverton and Twin River Casino (Lincoln) that are subject to licensing by the Department pursuant to its statutory and regulatory authority and shall within five (5) days of completion of each audit report to the Department in writing any noncompliance or failure of such employees, vendors, personnel or other service providers to be licensed in accordance with applicable statutory or regulatory requirements;
 - b. On or before the fifteenth (15th) day of each month, Respondents shall provide a written report to the Department of all employee promotions and position transfers that occurred during the preceding month that require a change of licensure along with written confirmation that all applicable changes of licensure have been effected; and
 - c. Upon request, Respondents will provide the Department with an employee schedule for any Rhode Island family facility organized by department covering a specified time period and/or a complete and active employee report for any Rhode Island gaming facility.
14. The Department and Respondents agree that this Consent Agreement and its terms represent the final determination of this matter.

Legal Effects of Consent Agreement

15. *Waiver of Hearing and Appeal.* By agreeing to resolve this matter through the execution of this Consent Agreement, each of the Respondents knowingly and voluntarily waives any right to an administrative hearing and waives any right to pursue an appeal to the Superior Court under the Rhode Island Administrative Procedures Act, R.I. Gen. Laws § 42-35-1 *et seq.*
16. *Enforcement.* If the Respondents fail to comply with any term or condition of this Consent Agreement within any applicable time period set forth herein, the Respondents will be in violation hereunder and the Department shall be entitled to immediately to take enforcement or other action in accordance with applicable law.

17. *Compliance; Laws.* Compliance with the terms of this Consent Agreement does not relieve the Respondents of any obligation to comply with other applicable laws or regulations administered by or through the Department or any other governmental agency.

For the Division:


Signature
Date: 5/16/19

Christina Tobiasz
Gaming and Athletics Administrator
Division of Gaming and Athletics
Department of Business Regulation

For the Respondents:


Signature
Name: Craig Eaton
Title: Exec. VP and General Counsel
Date: 5/17/19

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS
DEPARTMENT OF BUSINESS REGULATION
GAMING & ATHLETICS DIVISION
1511 PONTIAC AVENUE, BUILDING 69
CRANSTON, RHODE ISLAND 02920

June 27, 2019

Craig Eaton, Esquire
Executive Vice President & General Counsel
Twin River Worldwide Holdings, LLC
100 Twin River Road
Lincoln, RI 02865

Re: Consent Agreement dated May 16, 2019, in the Matter of Twin River Worldwide Holdings, LLC, Twin River Management Group, Inc., UTGR, Inc., and Twin River-Tiverton, LLC (collectively, "Respondents"), DBR No. 19GA006

Dear Mr. Eaton:

Reference is made to the above-described Consent Agreement. The Department of Business Regulation and the Respondents have agreed that Paragraph 13(a) of the Consent Agreement shall be amended to change "June 30, 2019" to "September 30, 2019."

Please acknowledge the foregoing amendment and agreement by countersigning this letter below.

Thank you.

Sincerely,



Christina Tobiasz
Gaming & Athletics Administrator

Acknowledged and agreed to:

For the Respondents



Craig Eaton
Executive Vice President & General Counsel

Date: 6/27/19