

Gaming audit submission requirements (Information for applicants)

Table of contents:

1	Application / submission form (WN121)	2
1.1	Applicant, operator	2
2	Audit Submission Requirements	2
2.1	Documentation	2
3	Brief description of the audit procedure	3
3.1	Review of production environment	3
3.2	Subsequent personnel interviews	3
4	Confidentiality of information	3
5	Location and contact data	3

Revision summary:

Initial revision.

1 Application / submission form (WN121)

To initiate a gaming-related audit procedure with SIQ Ljubljana (from here on: SIQ), preferably the form WN121 (Application for testing / certification of gaming products) shall be used. Other forms can be used, providing that all information as requested in WN121 is covered. Latest issue of WN121 is always available on SIQ website, or upon request.

Equivalent to submitting the form WN121 on paper is filling in the online application form on SIQ Customer portal. Access to the portal is available to SIQ customers on request (please ask any of the SIQ gaming department personnel).

The applicant commits to complete functional identity of the supplied hardware and software to the supplied documented specification, and declares possession of copyright for all submitted items, including software source code.

The person signing the application form WN121 must be duly authorized to sign it.

1.1 Applicant, operator

Besides the full name of the company (applicant) and address of the company seat, the registration number of the company's register (in many cases court register) shall be given. See Chapter 1 of WN121. An excerpt from the company's (or court) register shall be enclosed as well, if this is the applicant's first application, or if the registration has been changed in any way. This registry is known under various names in different countries, e.g.:

- UK: *Excerpt from the Company's register, or Excerpt from the court register*
- Austria, Germany, Switzerland: *Auszug aus dem Handelsregister*
- France, Belgium: *Immatriculation au Registre du Commerce et des Sociétés*
- Italy: *Informazioni reperite presso la camera di commercio*
- Slovenia: *Izpis iz sodnega registra*
- Croatia: *Izvadak iz registra Trgovačkog suda*

All contact persons, authorized by the applicant, who may be informed about the testing process and may participate in it and provide information necessary by the laboratory, shall be listed. If other authorized personnel are to be involved at later stages of the process, a written authorization from the applicant shall be required.

Applicant is in most cases also the internet gaming system operator. If the applicant is NOT the operator, its relation towards the operator shall be specified, e.g. parent company, distributor, etc. See Chapter 2 of the WN121. The applicant shall then enclose:

- operator's written and duly signed authorization to carry out testing or certification in operator's name and behalf;
- the full name of the holder of audit report which shall appear on the audit report, e.g., the operator name or the representative name.

2 Audit Submission Requirements

2.1 Documentation

The following documentation shall be sent prior to the audit:

- List of operators you are offering your games to
- General system architecture or Logical server scheme - description of system deployment with server roles according to logical structure.
- List of games with RTP variants.
- Description of RTP performance monitoring (automatic or manual RTP monitoring).
- Summary and list of RTP performance alerts, IT operational and other bugs or errors in the last 12 months.

- Short description of scheduled operational maintenance (mirroring and backup plan, daily, weekly and monthly administrative access to check system performance...).
- List of authorized personnel with roles.
- Description of stage-testing and deployment plan with authorization process.
- Description of development environment with references to source control and check-in rules for comments, tickets (if any).
- List of updates of production software components for the past 12 months; shall include a minimum of: time, updated modules, update severity (minor, major..), person responsible, person authorizing the update.
- Documentation of the change-management procedure.

3 Brief description of the audit procedure

3.1 Review of production environment

During the review of production environment, we'll require:

- back-office access to verify files and settings on the system (we'll send a tool to calculate hashes of deployed files),
- access to back-office administrative portal to generate reports on games performance,
- database access to sample-verify data reviewed in reports.

3.2 Subsequent personnel interviews

After documentation review and review of production environment, SIQ may perform follow-up interviews with authorized personnel regarding:

- Procedures taken after:
 - o alerts on game RTP performance,
 - o IT operational alerts,
 - o other errors or bugs reported;
- Development environment, rules and procedures;
- Staging environment testing;
- Production deployment.

4 Confidentiality of information

SIQ warrants complete confidentiality of all sensitive information disclosed to it for the purpose of auditing, as agreed within a separately signed NDA. SIQ offers a generic form of NDA, which may further be adapted by the applicant (in agreement with SIQ) to serve applicant's particular needs.

5 Location and contact data

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All testing services are performed at the above listed location, except services performed at the premises of the customer (upon individual arrangement) and services performed by the subcontracted laboratories. In certain special cases, testing services may be performed at the locations of the subsidiary companies of SIQ Ljubljana.