

STATE OF CONNECTICUT

DEPARTMENT OF CONSUMER PROTECTION

Connecticut Super Draw #14 – January 1, 2018

Investigative Report

Executive Summary

The Department of Consumer Protection, Gaming Division, conducted an investigation into the activities that transpired at the drawing January 1, 2018, for the Connecticut Lottery Corporation (CLC) “CT Super Draw” Game #14 (CSD #14). CSD #14 is a “raffle” style game that is based on tickets sold in sequential order. The range of tickets sold is entered into a Random Number Generator (RNG), which then selects the series of winning numbers. Prizes are awarded to the numbers selected in the order in which the numbers are selected. In this instance, the upper range of the game parameters was not entered correctly.

The investigation concluded that the error occurred as a result of the Drawing Team deviating from approved official drawing procedures. While the Department of Consumer Protection attempts to ensure safeguards are in place to maintain the public’s confidence and the integrity of all lottery games, these safeguards failed for this particular game.

Finding of Facts

- The investigation uncovered no intentional or malicious acts by any individual.
- The Drawing Team consisted of two Connecticut Lottery Corporation (CLC) employees, one acting as Drawing Director (DD) the other the Drawing Performer (DP), two DCP employees, one a videographer (DCPV) and the other a Drawing Auditor (DCPA) and one Auditor from Marcum LLP (Marcum).
- The members of the CT Super Draw 14 Drawing Team, with the exception of Marcum, had participated in previous promotional drawings that were intended to encourage early purchase of game tickets for the CT Super Draw 14. The promotional drawings were referred to as “CSD 14 Early Bird Drawings” and involved entering the ticket range for tickets sold during a specified week (weekly beginning on 10/15/17 and continuing for 9 consecutive weeks), into an RNG and drawing 10 winners of a \$1,000 prize.
- The promotional drawings were conducted pursuant to DCP approved Early Bird Drawings Procedures that did not require adding 100,000 to the upper range.
- The January 1, 2018 CT Super Draw 14 drawing was to be conducted pursuant to approved, Official Drawing Procedures for CT Super Draw 14, a 33 page document (Official Drawing Procedures). A draft of the Official Drawing Procedures was first submitted by CLC to DCP on December 11, 2017. A number of iterations of the draft went back and forth between CLC and DCP. The final approved Official Drawing Procedures, which included adding 100,000 to the upper range, were signed on December 29, 2017.

- Pursuant to its Engagement letter with CLC, Marcum was to “Observe that the procedures enumerated in Parts 5, 6, and 7 of the Lottery’s Official Drawing Procedures for CSD #14 are followed by the drawing personnel”. Page 13, Section 7.04 of the Official Drawing Procedures provide for 100,000 to be added to the upper range number in the game parameters. Thus, this step was among those that Marcum was to ensure was followed.
- The requirement of adding 100,000 to the upper range was included because the lowest ticket sold for this game was 100,001, as opposed to 000001. CLC has the discretion to choose whichever report they determine will best assist them to successfully complete the drawing. The ticket report CLC chose to use – the CSD Ticket Count Report – provided the total number of tickets sold. Hence, the upper range number on that report was 100,000 lower than the number of the actual highest ticket sold. A different report – the End Ticket Report – would have listed the last ticket number purchased.
- To assist with the drawing, CLC developed a checklist based upon the Official Drawing Procedures. The CLC checklist was shared with DCP. DCP offered minor suggestions to the CLC checklist and also added notes to a version of the checklist for use by the DCPA.
- The checklist contained all necessary steps to complete the drawing, assuming the Drawing Team was also using the Official Drawing Procedures.
- Four test runs of the drawing were conducted prior to the official January 1, 2018 drawing where the upper range was entered correctly. At the test run on December 27, 2017, the DP initially forgot to add the 100,000 to the upper range and the mistake was quickly corrected by the DD. After that incident, the DCPA member of the Drawing Team was reminded of the need to add 100,000 and confirmed her understanding of this step.
- CLC provided Marcum a draft of the Official Drawing Procedures on December 27, 2017. The draft provided to Marcum was identical to the final approved copy except that it did not have the final signatures of CLC Officials.
- CLC provided Marcum a copy of the CLC checklist when the Drawing Team gathered on January 1, 2018, as revealed on the video. The Engagement letter between CLC and Marcum, however, makes no reference to a checklist.
- Although the Drawing Team was permitted to use a checklist to assist with the Drawing, it was not an official, approved document and did not replace the Official Drawing Procedures.
- Video review of the drawing activity revealed that on January 1, 2018, the Drawing Team failed to follow the Official Drawing Procedures. Specifically, the Drawing Team failed to correctly enter the game parameters, as specified in Section 7.04, page 13. The Official Drawing Procedures provide a description and illustration of how to correctly enter the game parameters, which includes a requirement that 100,000 be added to the upper range number on the report utilized by CLC (the CSD Ticket Count Report).

7.04 Set Draw Range Parameters

The DP will set the drawing range parameters to the appropriate settings:

- "Lower Range" will be set to 100001
- "Upper Range" since the Lower Range starts at 100001, the total tickets sold on the CSD #14 Ticket Count Report must be adjusted by 100,000 to represent the increase due to the starting Lower Range. (In the example below, the Ticket Count Report reflects 275,000 tickets sold so the Upper Range is, therefore, set to 375,000.)
- "Number to Pick" will be set to 1311
- DP, DD and DCP will sign the "CSD Ticket Count Report" confirming that the drawing range was entered correctly

CSD

Lower Range:	100001
Upper Range:	375000
Number To Pick:	1311
Drawing #:	0001

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- The Drawing Team, except the DCPV, all had a checklist in hand at some point during the drawing process. The DD, DCPA and Marcum were all seen with Official Drawing Procedures in hand as well.
- The checklist(s) used during the drawing contained two steps that pertained to entering the game ticket range parameters.

10. DP clicks [Run CSD] and sets the Drawing Range Parameters to the appropriate settings:

Lower Range: 100001

Upper Range: _____

Number to Pick: 1311

11. Drawing Team verifies that the Drawing Range Parameters were entered correctly into the RNG system, then signs the "CSD Ticket Count Report" to confirm.

- The DP, at this critical point, did not refer to the detailed step by step instructions in the Official Drawing Procedures to determine how to set the "Upper Range." Furthermore,

the other members of the Drawing Team failed to verify the Drawing Range Parameters were entered correctly.

- In addition, the video review revealed some confusion as to the role of each member of the Drawing Team. Specifically, at the critical point of entering the drawing parameters, the DP began reading from the CSD Ticket Count Report, but her sentence was finished by the DCPA. The result was that the DCPA was reading the number rather than verifying the number entered by the DP.
- Once the parameters were entered, the Drawing Team completed the remainder of the drawing in accordance with the CSD #14 Official Drawing Procedures although it appears they did so using the checklist.
- At approximately 12:50pm on Monday, January 1, 2018, CLC notified DCP that there had been a problem with the Super Draw 14 drawing in that it appeared the Drawing Team failed to add the 100,000 to the total tickets sold.
- Later that same day, DCP opened this investigation.
- The conclusion of the investigation is that the problem resulted from human error caused by deviating from approved official procedures.
- Other factors that contributed to the ultimate error were:
 - Starting the ticket sales at 100,001 and then using a report that required a manual calculation to determine the game parameters;
 - Sharing the checklist with Marcum;
 - Muscle memory from Early Bird Drawings, which were conducted in a similar manner, but without the addition of 100,000 to the upper range; and
 - Confusion of the roles of the regulator and drawing performer.

Development of Official Drawing Procedures

- Sec. 12-568a-2 of the Administrative Regulations requires CLC to develop and submit official procedures for every game, “which assure the integrity of the Connecticut State lottery games in order to minimize the possibility of corruption or illegal practices for the protection of the public.” The Official Procedures for each game govern the conduct of the game.
- DCP, as the regulatory authority, must provide written approval of all CLC official procedures. The DCP approval is based on the sufficiency and accuracy of the procedures submitted.
- On November 14, 2017, DCP initiated a request for CLC to submit CSD #14 Official Drawing Procedures to allow sufficient time for review.
- CLC decided to use the Ticket Count Report, which showed the total tickets sold for the game. DCP recommended language to be included in version 4.0 of the Official Drawing Procedures that included clarifying the addition of 100,000 to the number on the Ticket Count Report to obtain the Upper Range, specifically Section 7.04, page 13 of the “Official Drawing Procedures for Connecticut Super Draw Game #14” “Upper Range”: Since the Lower Range starts at 100001, the total tickets sold on the CSD #14 Ticket

Count Report must be adjusted by 100,000 to represent the increase due to the starting Lower Range. (In the enclosed example, the Ticket Count Report reflects 275,000 tickets sold so the Upper Range is, therefore, set to 375,000).

- CSD #14 Drawing Procedures version 1 was received by DCP on Dec. 11, 2017
 - Version 2 was received by DCP on December 20, 2017
 - Version 3 was received by DCP on December 22, 2017
 - Version 4 was received by DCP on December 26, 2017
 - Version 4.1 was also received by DCP on December 26, 2017
 - Version 6 was received by DCP on December 27, 2017
 - Version 8 was also received by DCP on December 27, 2017

Each version contained a suggested revision and practice drawings were occurring until final version 8 was approved on December 29, 2017.

- The Drawing Team had successfully adjusted the Upper Range in four practice drawings using draft drawing procedures and checklists.

Game History

Connecticut Super Draw Game #14 (CSD #14) is a “raffle” style game that is based on tickets sold in sequential order. The range of tickets sold is entered into an RNG, which then selects the series of winning numbers. Prizes are awarded to the numbers selected in the order in which the numbers were selected (for example first series of numbers selected wins first prize level, second series of numbers selected, second prize level and so forth until all prize levels are selected).

CLC introduced the “CT Super Draw” game in 2010 after the CLC Board of Directors and the Division of Special Revenue approved generic rules for “CT Super Draw.” The generic rules allowed CLC to offer the game with different prize structures at different times of the year without going through the approval process each time CLC determined it wanted to offer the game. The generic rules required CLC to submit Game Parameters each time a new “CT Super Draw” game was to be offered. The first “CT Super Draw” game went on sale October 1, 2010 with sales continuing through December 31, 2010, and the first drawing was conducted on January 1, 2011. CLC continued to offer the game at various times.

The CSD #14 was the fourteenth iteration of “CT Super Draw” and followed the same parameters as set out in 11 of the other “CT Super Draw” games. The parameters for the game were submitted to the DCP on August 30, 2017, and approved by the DCP on September 26, 2017. The parameters established the game specific rules for how the CSD #14 would be offered to the public. The actual procedures for how the drawing would occur on January 1, 2018, were to be drafted at a later date and submitted to DCP for approval.

On December 11, 2017, DCP received the first draft of the “Official Drawing Procedures for Connecticut Super Draw Game #14 - v1.0” submitted by CLC, and additional drafts of this document came from CLC. The final version of the “Official Drawing Procedures for

Connecticut Super Draw Game #14 – v8”, signed by appropriate CLC Officials, was received by DCP on December 29, 2017, and approved.

Outstanding Issues

- CLC has not provided requested documentation. The documents were requested from Senior Management at CLC on January 19, 24, 25, 26, and 31, 2018. An additional request was made February 1, 2018.
- Marcum LLP has not responded to DCP’s requests for documents and other information or multiple requests to interview the Marcum employee that was on the Drawing Team.


Recommendations

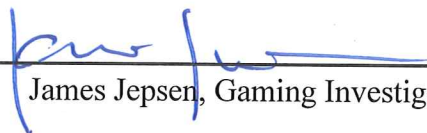
- Official Drawing Procedures and any game related procedures must be submitted to, and approved by, DCP prior to any ticket sales or promotions associated with the game.
- CLC should only utilize, and DCP should only approve procedures that provide for the use of, reports that accurately reflect the figure to be entered in order to eliminate any manual calculation.
- DCP should clarify the role of each Drawing Team member to ensure there is a distinct segregation of duties between CLC and DCP personnel. CLC personnel must conduct all drawing activity and DCP personnel should conduct an audit function only.
- If an auditor or other person is retained to verify that specific steps within the Official Game Procedures are followed, that person should not be provided any documents other than the Official Game Procedures.
- Checklist will not be used for any drawing that utilizes a random number generator to determine game outcome as, an RNG is more susceptible to human error.

Long Term Objectives

- DCP should assess CLC’s policies and procedures for ensuring the integrity of games and lottery drawings and consider whether statutory or regulatory changes are necessary to improve these processes.
- DCP should assess its own internal policies and procedures for regulating CLC and ensuring the integrity of games and lottery drawings and consider whether statutory or regulatory changes are necessary to improve these processes.

- DCP should evaluate the relationship between itself, CLC and the CLC Board of Directors to determine whether structural changes are appropriate to further protect the integrity of lottery games and drawings and, if so, whether statutory or regulatory changes are necessary to accomplish such changes.

Submitted by: 
William E. Ryan, Gaming Director

Submitted by: 
James Jepsen, Gaming Investigator

Exhibits

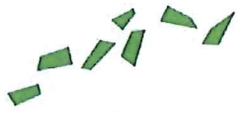
Connecticut Super Draw #14 – January 1, 2018

Investigative Report

- Exhibit #1** Redacted Early Bird Drawing Procedures
- Exhibit #2** CLC Checklist
- Exhibit #3** CLC Checklist with DCP Notes
- Exhibit #4** Marcum Engagement Letter
- Exhibit #5** Marcum's Response to CLC Inquiry

Redacted Early Bird Drawing Procedures

Exhibit #1



r- . CT Lottery

Connecticut Lottery Corporation

Official Early Bird Drawing Procedures for
Connecticut Super Draw Game 14

Version 4.0

October 19, 2017

Connecticut Lottery Corporation
Official Early Bird Drawing Procedures for Connecticut Super Draw Game 14

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Connecticut Lottery Corporation

Official Early Bird Drawing Procedures for Connecticut Super Draw Game 14

PART 1: OVERVIEW

- 1.01 These Official Drawing Procedures ("Procedures") shall govern the Connecticut Super Draw Game 14 ("CSD Game 14") Early Bird Drawings to be conducted by the Connecticut Lottery Corporation ("Lottery").

PART 2: PRIZES

- 2.01 A total of 10 cash prizes will be awarded in each of nine (9) Early Bird Drawings in accordance with official game rules.
- 2.01.01 Level 1 - Ten (10) prizes equal to one-thousand dollars (\$1,000).

PART 3: DRAWING DATE, TIME AND LOCATION

- 3.1 The drawing dates and times are scheduled for Monday mornings as listed below at approximately 10:00 a.m., or at such other time as may be determined pursuant to Part 11 of these Procedures.
- 3.1.1 Monday, October 23, 2017
 - 3.1.2 Monday, October 30, 2017
 - 3.1.3 Monday, November 6, 2017
 - 3.1.4 Monday, November 13, 2017
 - 3.1.5 Monday, November 20, 2017
 - 3.1.6 Monday, November 27, 2017
 - 3.1.7 Monday, December 4, 2017
 - 3.1.8 Monday, December 11, 2017
 - 3.1.9 Monday, December 18, 2017
- 3.2 Each drawing will be held at either the Lottery's Headquarters located at 777 Brook Street, Rocky Hill, CT 06067 or at such other place as may be determined pursuant to Part 11 of these Procedures.

PART 4: DRAWING PREPARATIONS

- 4.1 EQUIPMENT and SUPPLIES
- 4.1.1 Computer, monitor and printer

- 4.1.2 Smartplay Origin Random Number Generator (computer program, "RNG")
- 4.1.3 Digital/video recording equipment
- 4.1.4 Drawing checklists and transmittal forms
- 4.1.5 Lottery-supplied Sandisk brand USB flash drive, still in its original packaging (NOTE: Sandisk brand flash drives work properly with this RNG right out of the package - they do not need to be formatted; other brands may have to be formatted).

4.2 PERSONNEL

- 4.2.1 The Drawing Team will consist, minimally, of the Lottery's Drawing Performer; the Lottery Director of Security or designee (acting as the Drawing Director); a drawing representative from the Division of Gaming in the Department of Consumer Protection ("DCP"). Both a backup Drawing Performer and a backup Drawing Director will also be designated; backups will be contacted no later than 10:05 a.m. on the drawing day and directed to travel to the drawing location in the event of an emergency situation. A representative from Lottery IT will also participate in the drawing as a technical advisor. The drawing will be open to the public; however, any member of the public must register

with the Lottery Security Department at least 24 hours in advance of the drawing.

A. Lottery Drawing Performer or designee responsibilities:

- i. Ensure all necessary equipment and supplies are available and in good working order.
- ii. Ensure that all required personnel are present, briefed and prepared to conduct the drawing.
- iii. Ensure that all required documents, checklists and certification forms are completed in a timely manner.
- iv. Ensure that the drawing is electronically recorded for Lottery security purposes.
- v. Select all winning entries using the RNG.
- vi. Export the drawing files onto the Lottery-provided flash drive.
- vii. Halt the drawing if anything improper is observed.
- viii. Approve continuation of the drawing after discussion with appropriate personnel and once an observed problem is corrected.

B. Lottery Director of Security or designee responsibilities:

- i. Ensure that the drawing is electronically recorded.
- ii. Observe all aspects of the drawing, ensuring that nothing is tampered with.
- iii. Halt the drawing if anything improper is observed.
- iv. Approve continuation of the drawing after discussion with appropriate personnel and once an observed problem is corrected.

C. DCP responsibilities:

- i. Observe all aspects of the drawing and bring any improprieties or irregularities to the attention of the Lottery Director of Security or designee.
- ii. Verify that the software is approved by conducting the Gambling Laboratories, Inc. ("GU") Verify process.
- iii. Halt the drawing if anything improper is observed.

- iv.** Approve continuation of the drawing after discussion with appropriate personnel and once an observed problem is corrected.
- v.** Examine equipment and supplies (pre- and post-drawing) to ensure operation will not compromise the integrity of the drawing.
- vi.** Assist in examination of selected entries.
- vii.** Inspect and sign correct certified drawing documents.
- viii.** Forward a report to the Lottery's Director of Security or designee to certify that the drawing has been held in compliance with all applicable statutes, rules and these procedures.
- ix.** Electronically record the drawing.
- x.** If the drawing is held at Lottery offices at Hammer Mill, deliver the USB flash drive containing the drawing files to Lottery IT at Lottery Headquarters.

PART5: DRAWING PROCESS - OVERVIEW

- 5.1 The Drawing Team will assemble at Lottery Headquarters by 10:00 a.m. each Monday as listed in Part 3.01.
 - s.01.01 Lottery IT personnel will prepare a CSD 14 Early Bird Drawing Ticket Range Report of the previous week's range of CSD 14 ticket sales. The data that is used to compile this report is delivered daily to the Lottery from SGI under the file name "CSD_Range_YYYY-mm-dd.csv". The printed report reflects the total range of tickets purchased for the specified week; an example of this report from a previously run Lotto promotion can be found in the Appendix of these procedures.
- 5.2 DCP will conduct a coin flip to determine which RNG will be used for the drawing (the coin, when flipped, must come to rest on the ground; the coin must not be caught in-flight):
 - 5.2.1 "Heads" = Lottery Headquarters at 777 Brook Street
 - 5.2.2 "Tails"= Lottery offices at Hammer Mill Road
- 5.3 The drawing shall proceed when the appropriate personnel are present at the chosen location.
- 5.4 Prior to the drawing, the Drawing Team will inspect the drawing equipment to ensure all is operating properly. The equipment must show no signs of tampering or any other condition that might compromise the integrity or fairness of the drawing.
- 5.5 The DCP representative or designee will position one (1) digital/video camera (camera provided by DCP) such that there is a clear view of the drawing. Recording will begin once the equipment is in place and will continue until the conclusion of the drawing process.
- 5.6 Prior to the official drawing, there will be [REDACTED] test drawings which will be recorded as [REDACTED].
- 5.7 Ten (10) unique available CSD Game 14 Early Bird Drawing ticket numbers will be selected during the official Early Bird Drawing process using the RNG.
- 5.8 Once the official winning numbers have been selected for the CSD Game 14 Early Bird Drawing, the Drawing Performer will export the file containing the officially selected winning entries to a Lottery-provided Sandisk flash drive.
- 5.9 Any member of the team who observes any irregularity shall bring it to the attention of the Lottery Drawing Performer or designee, DCP

representative, or Lottery Director of Security or designee, whom shall call for the proceedings to be halted.

- A. In the event that the drawing is suspended for any reason, the Drawing Team shall immediately secure the entry database, equipment and supplies until the drawing can re-commence.
- B. A Discrepancy Report describing the occurrence must be completed by the Lottery Director of Security or designee, and included with the drawing forms.

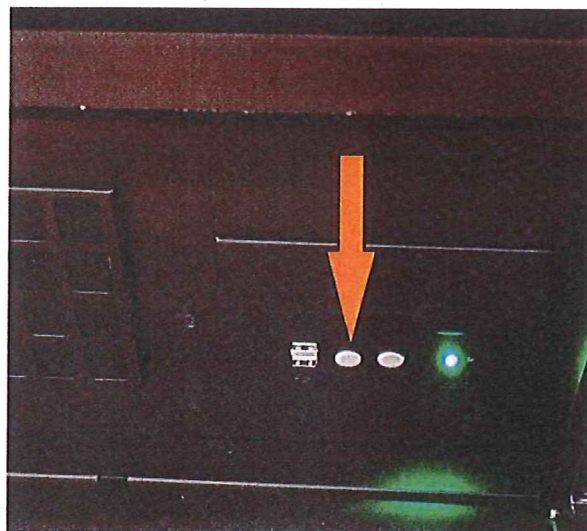
5.10 10 Following completion of the drawing, the Drawing Team will inspect and secure the equipment.

PART 6: BEGIN THE DRAW PROCESS (Please Note: the following screen captures are for illustration only; the dates and number of entries reflected on the screen at the time of the drawing will reflect the date and number of entries of the actual drawing being conducted)

6.01 Power On Sequence

Power Button: The power button is located behind the server chassis' door. [redacted]

[redacted] s the chassis allow access [redacted]
which s [redacted] e [redacted] o [redacted] e [redacted] e.

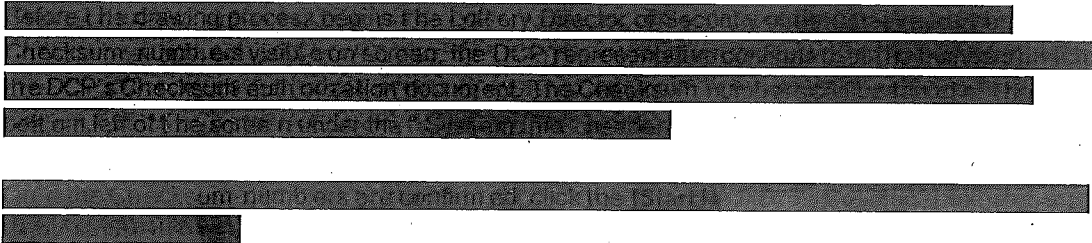


Initial Boot: [redacted] en e sys s properly a screens a a for a
moments with so e x

Control Panel: [redacted] Following a e screen s s av e Origin Control e.

PART 7: Running a Drawing

1.01 Step 1: Click [Start New Draw Session]



The Login screen will appear.

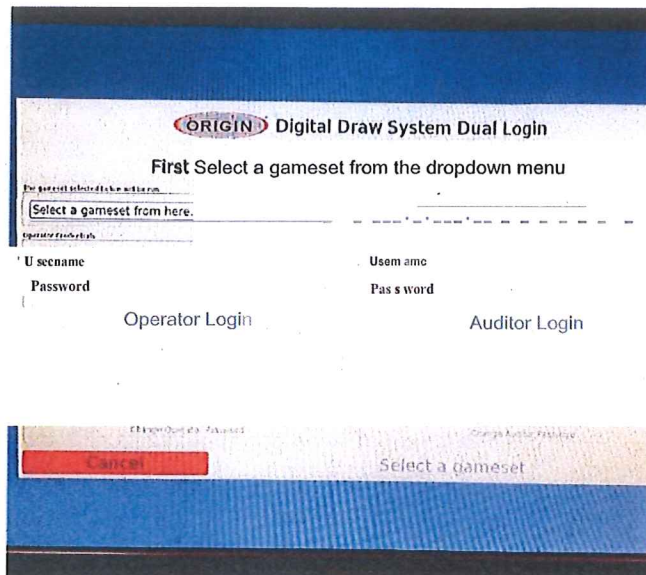
[REDACTED]

System Ready: The system should now be responsive and ready to use.

[REDACTED]

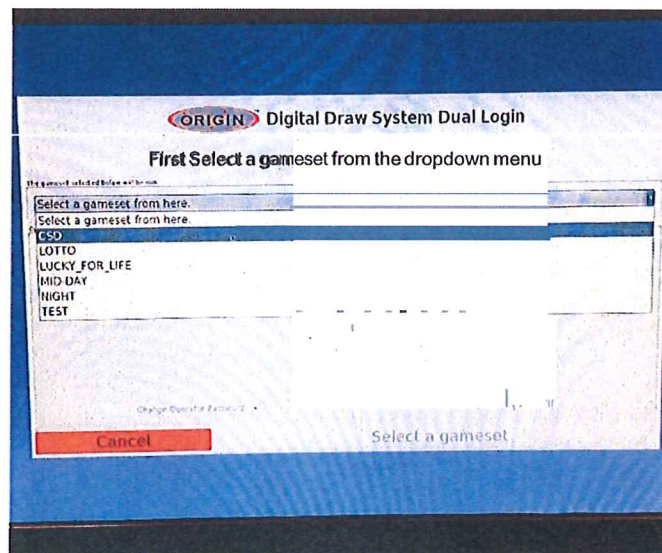
SMARTPLAY INTERNATIONAL INC.

Zachery Brodersen
IT Technician
zack.brodersen@smartplay.com
609.880.1860 phone
609.880.1865 fax
smartplay.com



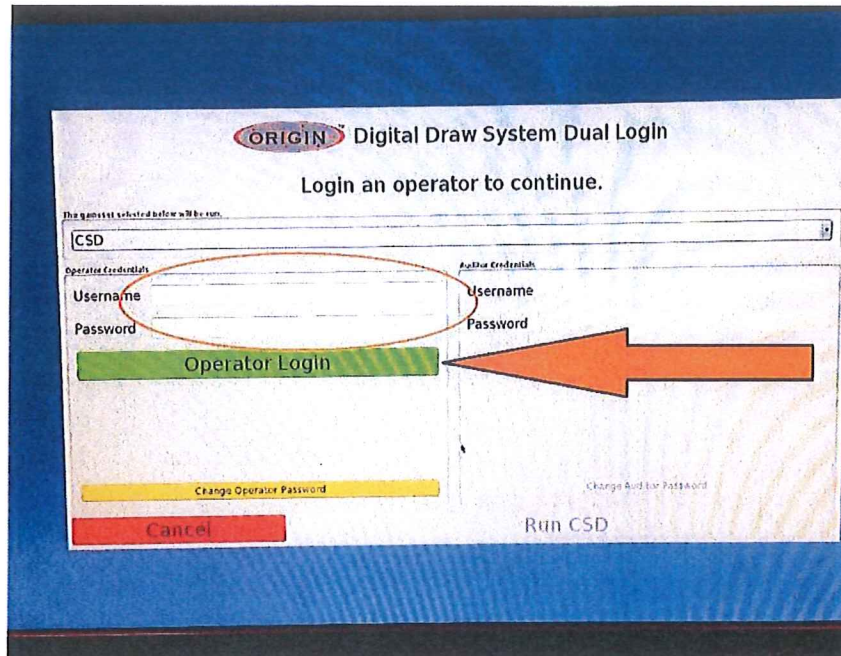
7.2 Step 2: Select CSD

Select CSD from the drop down list. Once selected, proceed to login.

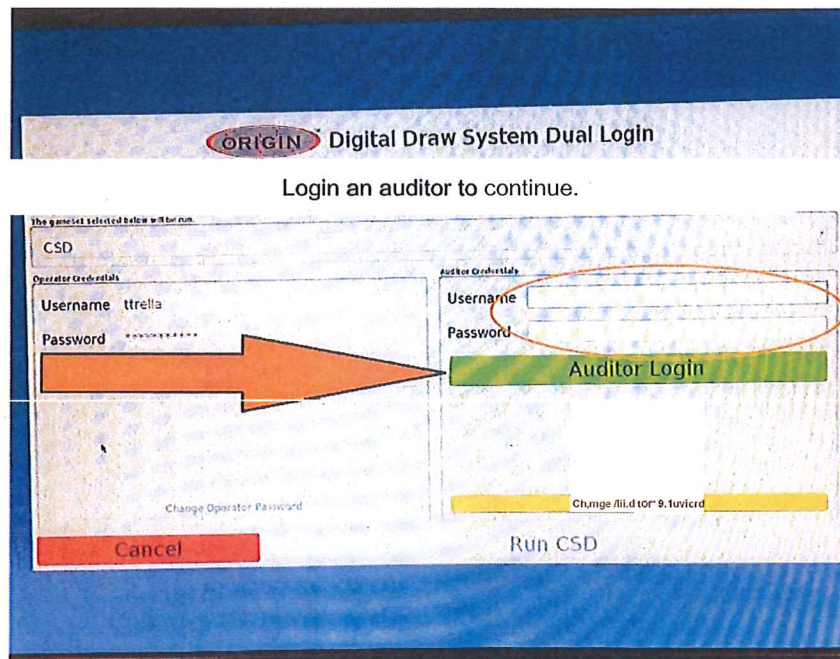


7.3 Step 3: Login - Drawing Performer and DCP Representative

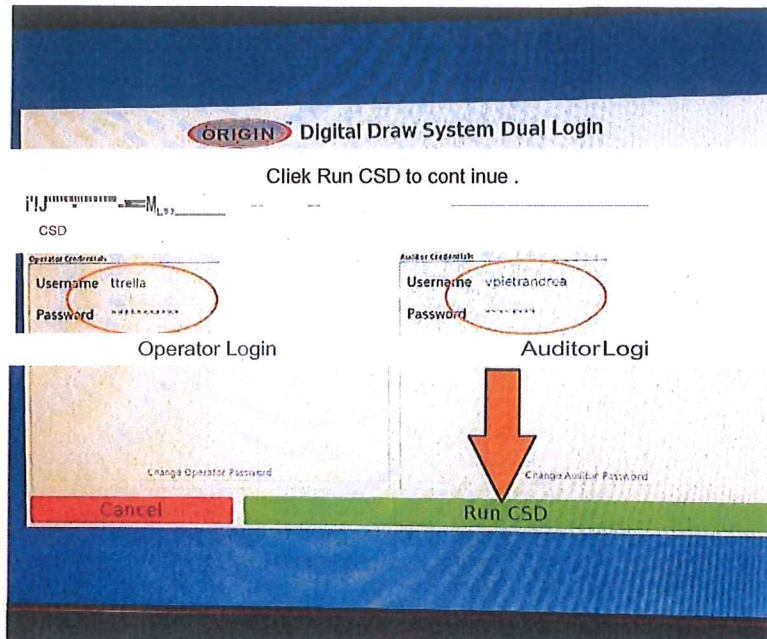
First, enter the Username and Password of the Drawing Performer in the Operator Credentials section and click [Operator Login].



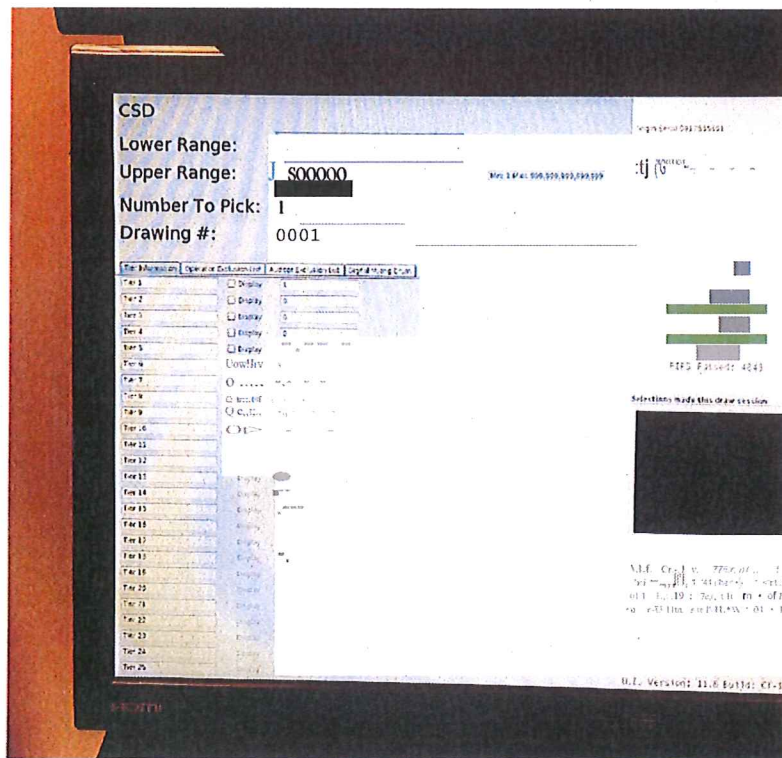
Second, enter the Username and Password of the DCP Representative in the Auditor Credentials section and click **[Auditor Login]**.



Click **[Run CSD]** to start the testing process.



The draw range parameters screen appears.



7.4 Step 4: Set Draw Range Parameters

The drawing performer will set the drawing range parameters to the appropriate settings as indicated in the CSD 14 Early Bird Drawing Ticket Range Report:

- "Lower Range" will be set to the lowest number of the range of numbers that constitute the drawing universe for the draw (the number of the first ticket sold for that week)
- "Upper Range" will be set to the number of the last CSD 14 ticket sold for that week; this number will be provided by Lottery IT in a report entitled "CSD 14 Early Bird Drawing Ticket Range" that lists the "End Tkt Number" - the last ticket sold for CSD 14 (in the example below the upper range is set to 156000)
- "Number to Pick" will be set to 10
- Lottery Drawing Performer or Designee and DCP representative will sign CSD 14 Early Bird Drawing Ticket Range Report Transmittal Form confirming that the drawing range was entered correctly.

CSD

Lower Range:	100001
Upper Range:	156000
Number To Pick:	10
Drawing#:	0001

Next, the drawing performer will set the number of prizes awarded by prize tier to the appropriate settings:

- "Tier 1" will be set to 10

CSD

Lower Range: 100001

Upper Range: 156000

Number To Pick: 10

Drawing#: 0001

Tier Information	Operator Exclusion List	Auditor Exclusion List	Digital Mixing Drum
Tier 1	<input type="checkbox"/> Display	10	
Tier 2	<input type="checkbox"/> Display	0	
Tier 3	<input type="checkbox"/> Display	0	
Tier 4	<input type="checkbox"/> Display	0	
Tier 5	<input type="checkbox"/> Display	0	

NOTE: If the sum of the number of prizes awarded by tier does not match the Number to Pick amount entered above, an error message will appear alerting the drawing performer to the discrepancy.

7.5 Step 4: Run Pre-Test Drawings

The drawing performer will conduct a total of [redacted] Pre-Test Draws prior to the actual "Live" drawing. The drawing process is as follows.

Click the "Enable Custom Message" button.

Draw Controls

- Start New Draw Session
- Run Draw as Test
- Run PRE-TEST Draw
- Display Results
- End Draw Session
- Build Animation
- Enable Custom Message

Quick Help

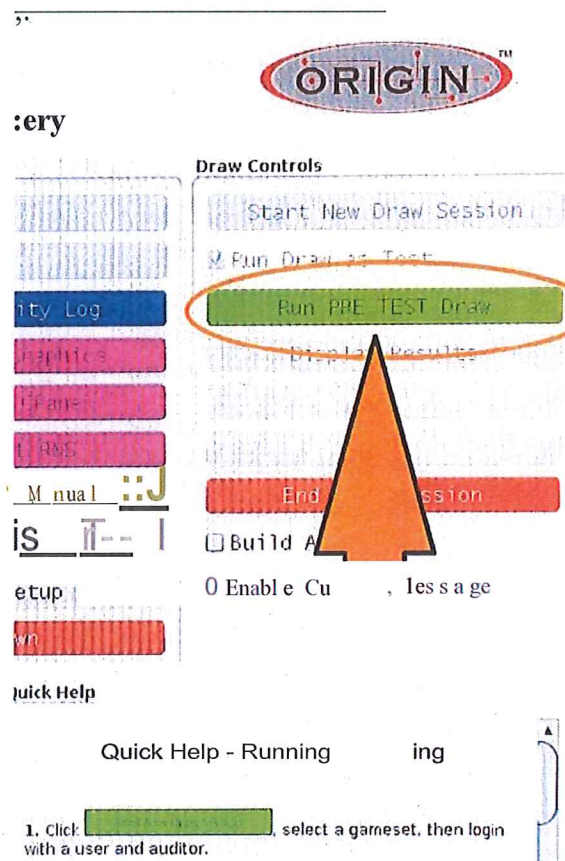
Quick Help - Running a Drawing

1. Click [redacted] select a gameset, then login with a user and auditor.

In the field below the Enable Custom Message button enter the name of the drawing being conducted as follows:

- "CSD 14 Early Bird Drawing mmddyy - [REDACTED]"
- "CSD 14 Early Bird Drawing mmddyy - [REDACTED]"
- "CSD 14 Early Bird Drawing mmddyy - [REDACTED]"
- "CSD 14 Early Bird Drawing mmddyy - [REDACTED]"
- "CSD 14 Early Bird Drawing mmddyy-[REDACTED]"
- "CSD 14 Early Bird Drawing mmddyy-[REDACTED]"
- "CSD 14 Early Bird Drawing mmddyy-[REDACTED]"

Click the [Run PRE-TEST Draw] button for the [REDACTED] (CSD 14 Early Bird Drawing mmddyy - [REDACTED])

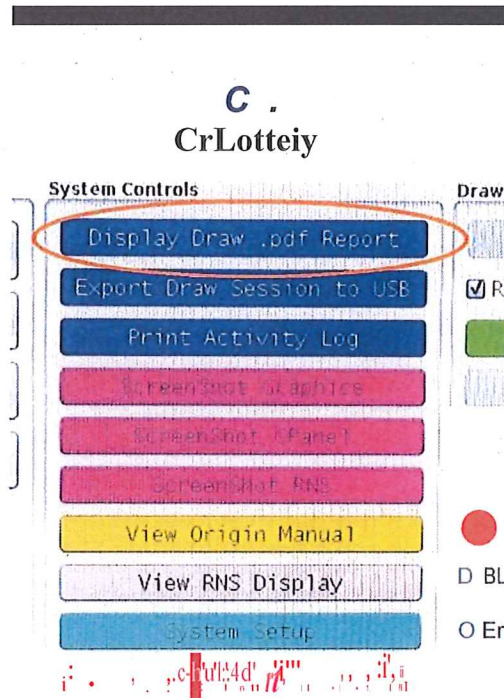


The pre-test draw will run. It takes approximately five seconds for the RNG to select the numbers.

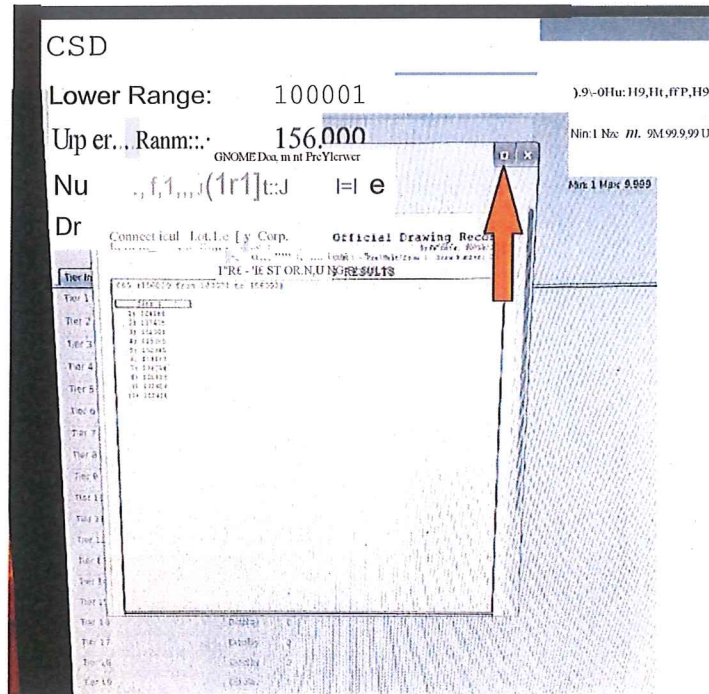
After the pre-test draw has run the pre-test draw results must be printed and checked against the RNG results showing on-screen.

Print and Confirm Test-Draw Results

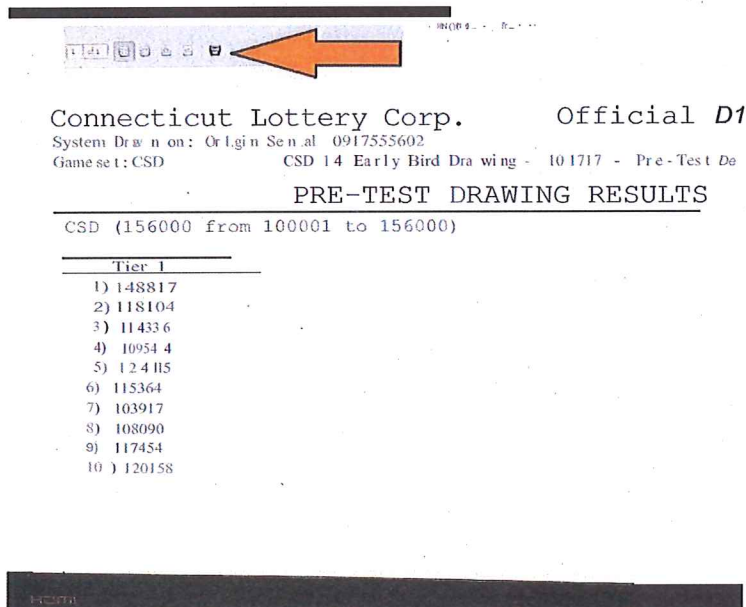
Click on **[Display Draw .pdf Report]**



The draw report appears in the left half of the screen. To make it easier to read, enlarge the report by clicking on the enlarge icon in the upper right corner of the report.



Print the draw report by clicking on the printer icon.



Confirm that the first number and last number on the printed draw report match those that are on the screen and confirm that the numbers selected are within the draw range. On screen, the

numbers can be found under "Tier 1". The Drawing Performer will read the first and last numbers aloud and the DCP representative will confirm that they match the numbers on the printed report.

If the numbers on the screen don't match the numbers on the printed report or are not within the draw range the Lottery and DCP will consider the next steps (see Parts 10 and 11 of these drawing procedures).

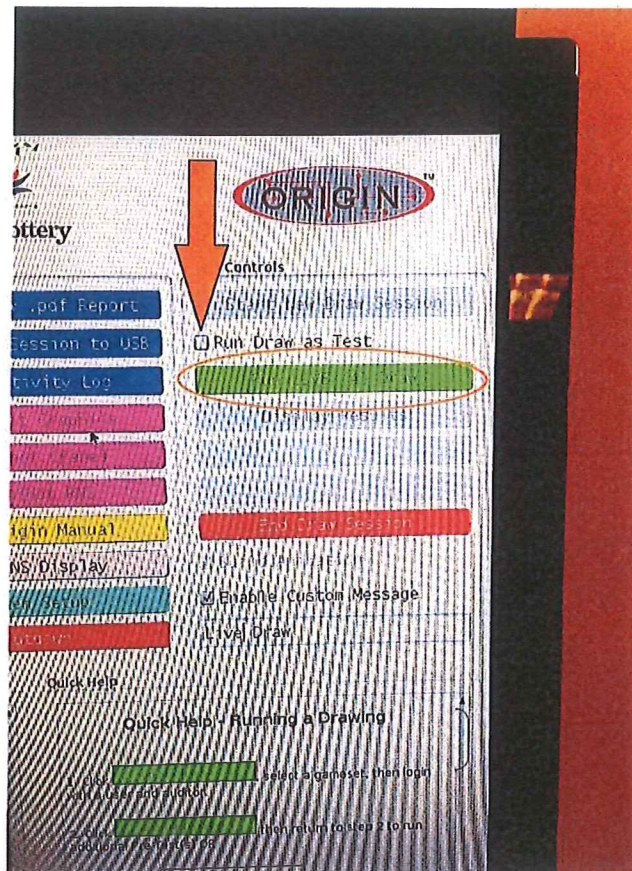
If the numbers do match, the Drawing Performer and DCP representative initial and date the printed draw report. The DCP representative will review the numbers.

Repeat the process for [REDACTED] Pre-Test Draws. **PLEASE REMEMBER TO CHANGE THE CUSTOM MESSAGE FIELD TO REFLECT THE PROPER TEST DRAW BEING CONDUCTED.** After the [REDACTED] Pre-Test Draw is conducted you can run the Live Draw.

7.6 *Step 5: Run the Live Drawing*

Remove the check mark (./) next to "Run Draw as Test" to run an official draw.

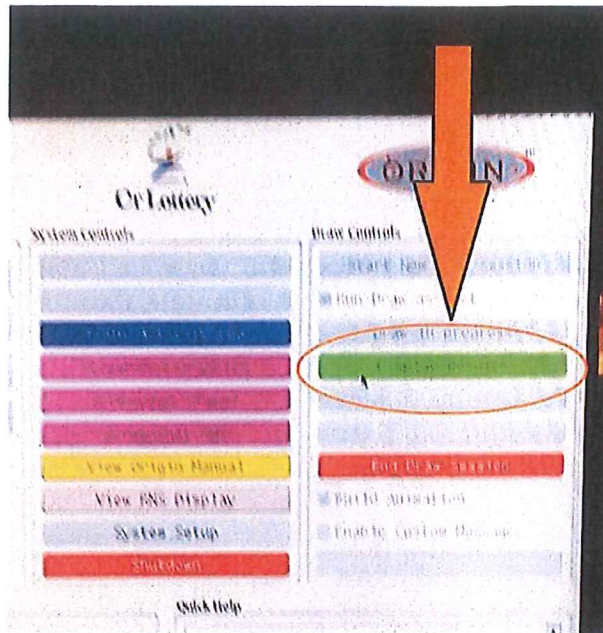
CHANGE THE CUSTOM MESSAGE FIELD TO REFLECT THE LIVE DRAW BEING CONDUCTED ("CSD 14 Early Bird Drawing mmddyy - Live Draw").



Click the **[Run LIVE (4) Draw]** button.

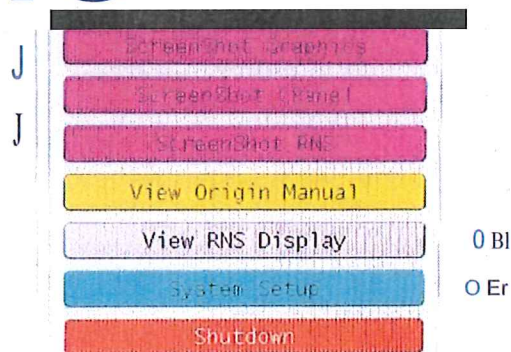
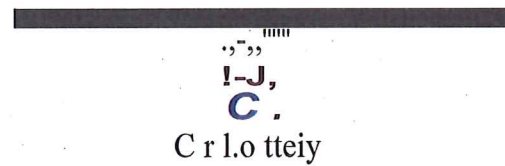
The drawing results in text will be shown in "Selection made this draw session" area.

Click **[Display Results]** to see the video and display the winning numbers.

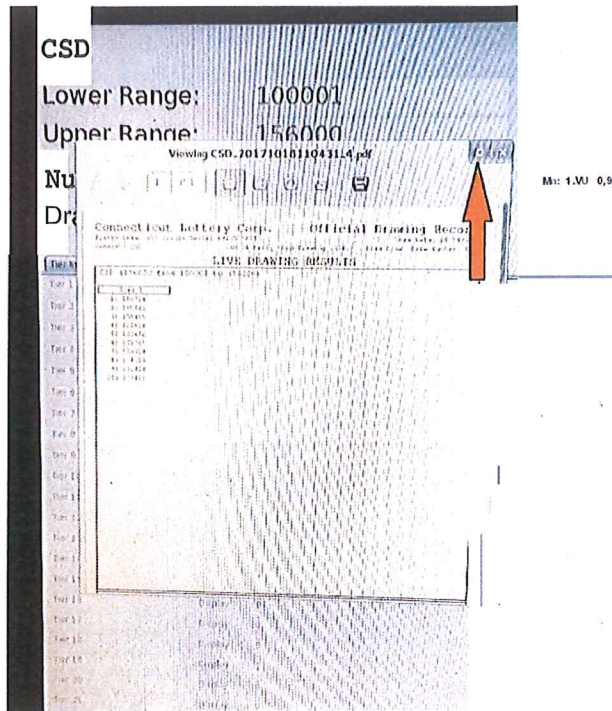


Print Live Draw Results

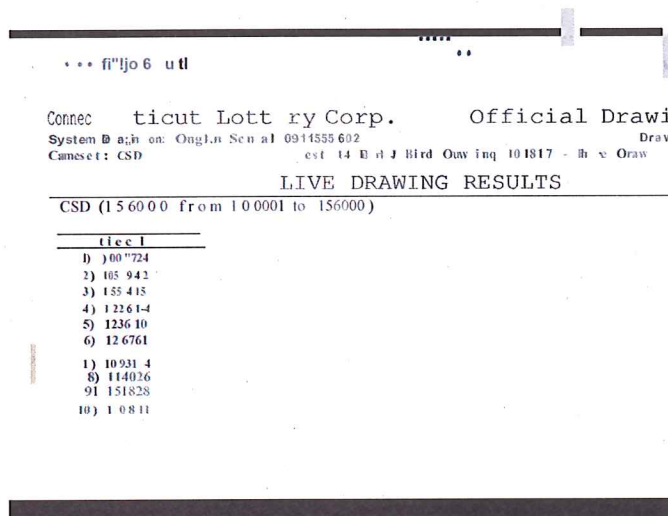
Click on [Display Draw .pdf Report]



The draw report appears in the left half of the screen. To make it easier to read, enlarge the report by clicking on the enlarge icon in the upper right corner of the report.



Print the draw report by clicking on the printer icon.



Confirm that the first number and last number on the printed draw report match those that are on the screen and confirm that the numbers selected are within the draw range. On screen, the numbers can be found under "Tier 1". The Drawing Performer will read the first and last

numbers aloud and the DCP representative will confirm that they match the numbers on the printed report .

If the numbers on the screen don't match the numbers on the printed report or are not within the draw range the Lottery and DCP will consider the next steps (see Parts 10 and 11 of these drawing procedures).

If the numbers do match, the Drawing Performer and DCP representative initial and date the printed draw report. The DCP representative will review the numbers.

Proceed to conduct the post-test draw. **PLEASE REMEMBER TO CHANGE THE CUSTOM MESSAGE FIELD TO REFLECT THE POST-TEST DRAW BEING CONDUCTED.**

7.7 Step 5: Run the Post-Test Draws

The drawing performer will conduct a total of [REDACTED] Post-Test Draw s following the actual "Live" drawing.

Check the box (v) next to "Run Draw as Test" to run a Post -Test Draw.

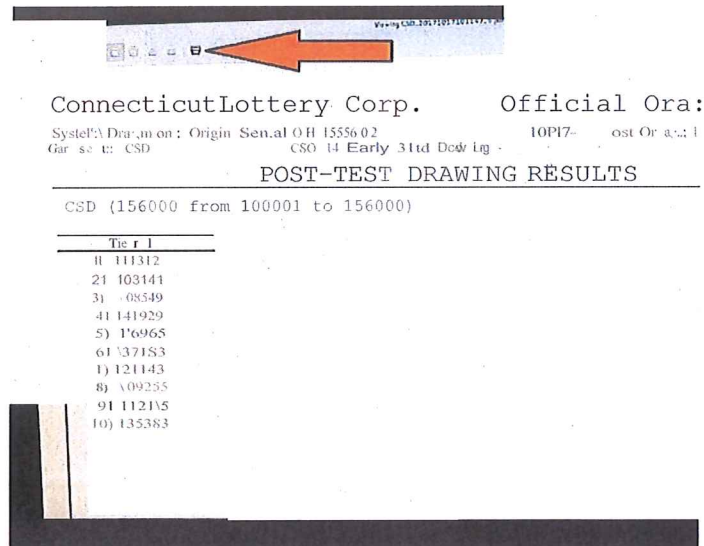
CHANGE THE CUSTOM MESSAGE FIELD TO REFLECT THE POST-TEST DRAW BEING CONDUCTED (" CSD 14 Early Bird Drawing mmdyy-[REDACTED] "). Click

the **[Run POST TEST (S) Draw]** button.

Print and Confirm Post- Draw Results

Click on **[Display Draw .pdf Report]**

Print the draw report by clicking on the printer icon.



Confirm that the first number and last number on the printed draw report match those that are on the screen and confirm that the numbers selected are within the draw range. On screen, the numbers can be found under "Tier 1". The Drawing Performer will read the first and last numbers aloud and the DCP representative will confirm that they match the numbers on the printed report.

If the numbers on the printed report don't match the numbers on the screen or are not within the draw range the Lottery and DCP will consider the next steps (see Part s 10 and 11 of these drawing procedures).

If the numbers do match, the Drawing Performer and DCP representative initial and date the printed draw report. The DCP representative will review the numbers.

Repeat the process for the 2nd and 3rd Post -Test Draws. **PLEASE REMEMBER TO CHANGE THE CUSTOM MESSAGE FIELD TO REFLECT THE PROPER TEST DRAW BEING CONDUCTED.**

7.8 Step 7: Export the Draw Results

The results can be exported from the system to a USB flash drive.

7.08.01 Export the Current Results to USB

- The DCP representative will insert a [REDACTED] USB flash drive into the RNG's USB port (NOTE: [REDACTED] flash drives work properly with this RNG right out of the package- they do not need to be formatted; other brands may have to be formatted).

The Drawing Performer will click the [Export Draw Session to USB] button



If a USB flash drive is not connected, the system will ask for one: "Insert a USB flash drive and then click OK continue."

Insert a USB flash drive and then click OK continue

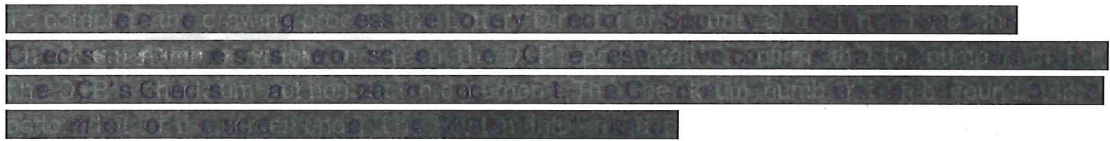
cancel ok

The files should then copy to the flash drive. The DCP representative will take possession of the USB flash drive.



7.9 Exit Draw Session

Warning:



End Draw Session

7.10 Power Down Properly

From the Origin Control Panel, the Drawing Performer will click the [Shutdown] button, then click [Yes] when asked to confirm.

Shutdown

The system will fully turn off in a few seconds.

Warning: Do *not* use the physical power button to turn off the Origin System! This should only be used if the system locks up and completely fails to respond.

7.11 Secure the RNG

The drawing team will return the RNG to its appropriate storage location.

7.12 Create Copies of Initialed Draw Reports

The Lottery Director of Security or designee will make copies of the initialed draw reports for all Pre-Test drawings, all Post-Test drawings, and the Live drawing and provide those copies to the DCP representative for their records.

7.13 Inputting the Winning Numbers for Claims Processing

The winning numbers from each CSD 14 Early Bird Drawing will be manually input into the "Claims Processing - Maintenance" database by Lottery IT personnel. This database is accessed by the claims processing department to manually cash prize winning tickets that are still eligible for another prize drawing. All Early Bird Drawing winning tickets that are cashed in advance of the final CSD 14 drawing are still eligible to win a prize in the final drawing.

- The DCP representative will provide the Lottery IT personnel with the USB flash drive that contains all the files from the CSD 14 Early Bird Drawing.
- Lottery IT personnel will select the RAFFLE_NUMBERS text file and print a copy.
- The Lottery Director of Security and DCP representative will review the drawing results listed on the CSD 14 Early Bird LIVE Drawing results report and compare them with the numbers listed on the printed RAFFLE_NUMBERS text file to determine if they match.
 - o If the numbers DON'T match, refer to Parts 10 and 11 of these procedures
 - o If the numbers match, continue to the next step in this process
- Lottery IT personnel will input the 10 winning numbers listed on the printed RAFFLE-NUMBERS text file into the "Claims Processing - Maintenance" database.

CLAIMS PROCESSING - MAINTENANCE

Logout Reporting Monitor Webservice Queries Lookup Lawson TroubleTickets

ADD TRAILER

TICKET

Game #:

Ticket #:

Date Sold: 09/07/2012

Prize Amt:

Add Ticket | Cancel

- The Lottery Director of Security or designee and the DCP representative will confirm that each winning number is entered into the database correctly.
- After all 10 winning numbers have been entered, Lottery IT personnel will print a screen capture of the "Claims Process - Maintenance" screen that lists all 10 winning numbers.

CLAIMS PROCESSING - MAINTENANCE

Logout Reporting Monitor Webservice Queries Lookup Lawson TroubleTickets

TRAILER TICKETS

Serial #	Game	Ticket	Date Sold	Prize	Paid	Claim
1209172800000256	28	256	9/17/2012	\$1,000.00	No	0
1209162800000120	28	120	9/16/2012	12,000.00	Yes	301906
1209152W1000021	28	21	9/15/2012	\$1,000.00	No	0

IF TICKET NOT CLAIMED, CLICK SERIAL # TO UPDATE

Add Ticket

- o Lottery Director of Security or designee and DCP representative will each sign and date the printed screen capture confirming that the numbers were entered correctly.
- o The Lottery Director of Security or designee will make a copy of the signed printed screen capture and provide it to the DCP representative for their records.
- o The DCP representative will release into custody the USB flash drive containing the CSD 14 Early Bird Drawing files to the Lottery Director of Security or designee.

PART 8: INFORMING PLAYERS OF THE WINNING NUMBERS

- 8.1 The Lottery website will be updated with all officially selected winning numbers for each CSD Game 14 Early Bird Drawing at approximately 1:00p.m. The winning numbers will be uploaded to the website by Lottery staff.
- 8.2 The winning ticket numbers for the Early Bird prizes will be listed on the LIM system beginning the Tuesday following each Monday Early Bird Drawing.

PART9: CONFIDENTIALITY OF DRAWING PROCEDURES

- 9.1 It is incumbent upon all Lottery, DCP and SGI professional staff to maintain the confidentiality of these Procedures for CSD Game 14 Early Bird Drawings.
- 9.2 Any questions or concerns regarding these procedures or dissemination of these Procedures must be brought to the attention of the appropriate immediate supervisor(s).

PART 10: DRAWING ANOMALY OR IMPROPRIETY

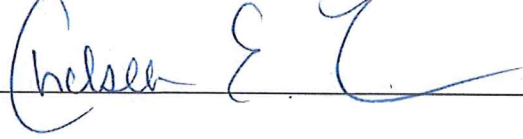
- 10.1 If the successful test draw requirements are not met (see Part 7.05 of these Procedures) then the other RNG will be used to conduct the drawing.
- 10.2 If any other anomaly or impropriety is determined by the Drawing Team:
 - 10.2.1 Lottery President, Director of Marketing, Chief Operating Officer and DCP Gaming Director or designee will be contacted and the situation explained to them.
 - 10.2.2 Direction on how to proceed will be determined by the Lottery President or designee and the DCP.

PART 11: AUTHORITY, UNFORSEEN CIRCUMSTANCES

- 11.01 In the event of an occurrence not covered by these procedures or arising from unforeseen or emergency circumstances, the President shall determine a course of conduct, including supervision of the drawing, in accordance with the Lottery's Rules of Operation and Sec. 12-568a-20 of the Regulations of Connecticut State Agencies.

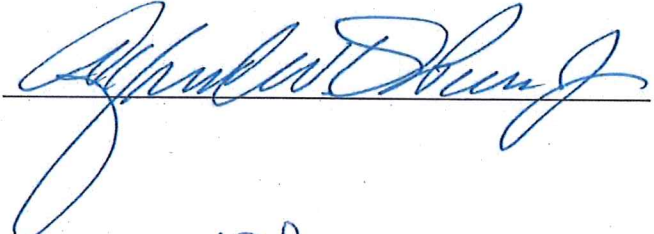
PART 12: SIGNATURES OF APPROVAL


The foregoing Official Drawing Procedures for the Connecticut Lottery's "Connecticut Super Draw Game 14 Early Bird Drawings" are approved as of the date indicated below.

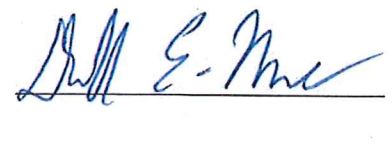
Chelsea Turner, Interim President & CEO 
Date 10/20/17

Kendra Eckhart, Interim Director of Marketing 
Date 10/20/17

Michael Hunter, Chief Operating Officer _____
Date 10/01/17

Alfred Dupuis, Security Director 
Date 10/20/17

Matt Stone, General Counsel 
Date 10/20/17

Darrell Morrod, General Manager, SGI 
Date 10/20/17

APPENDIX

Example of a 'Ticket Range Report' from a Lotto promotion conducted in 2013. A similar report will be provided by Lottery IT prior to each CSD 14 Early Bird Drawing.

Day Of Week	Start Date	End Date	Promo Name	Start Tkt Number	End Tkt Number	Total Tkt Sold
Sunday	04/14/2013 12:00:00 AM	04/14/2013 11:59:59 PM	LOTIO 345Plays	1	1663	1663
Monday	04/15/2013 12:00:00 AM	04/15/2013 11:59:59 PM	LOTIO 345Plays	1664	5398	3735
Tuesday	04/16/2013 12:00:00 AM	04/16/2013 11:59:59 PM	LOTIO 345Plays	5399	18611	13213
Wednesday	04/17/2013 12:00:00 AM	04/17/2013 11:59:59 PM	LOTIO 345Plays	18612	21062	2451
Thursday	04/18/2013 12:00:00 AM	04/18/2013 11:59:59 PM	LOTIO 345Plays	21063	25526	4464
Friday	04/19/2013 12:00:00 AM	04/19/2013 11:59:59 PM	LOTIO 345Plays	25527	41531	16005
Saturday	04/20/2013 12:00:00 AM	04/20/2013 11:59:59 PM	LOTIO 345Plays	41532	43323	1792
Sunday	04/21/2013 12:00:00 AM	04/21/2013 11:59:59 PM	LOTIO 345Plays	43324	44954	1631
Monday	04/22/2013 12:00:00 AM	04/22/2013 11:59:59 PM	LOTIO 345Plays	44955	49018	4064
Tuesday	04/23/2013 12:00:00 AM	04/23/2013 11:59:59 PM	LOTIO 345Plays	49019	63296	14278
Wednesday	04/24/2013 12:00:00 AM	04/24/2013 11:59:59 PM	LOTIO 345Plays	63297	65676	2380

CLC Checklist

Exhibit #2

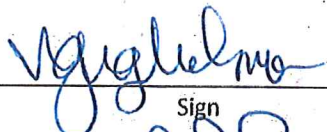
CT SUPER DRAW GAME #14 – CHECKLIST

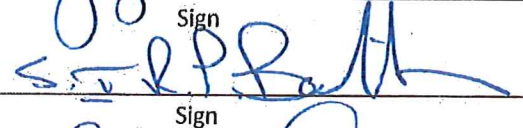
12/22/17

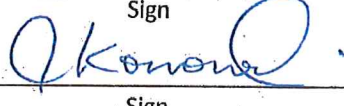
1.	The Drawing Team assembles in the employee parking lot of the CLC Headquarters by 10:30 a.m.	✓
2.	DCP begins digital/video camera recording once all appropriate personnel are present and will continue until the conclusion of the drawing process.	✓
3.	SGL presents print-out of the "CSD Pool Closing Report" which shows that pools are closed; and the "CSD Ticket Count Report" which shows the total number of tickets sold for this game.	✓
4.	DP, SGL and DCP each sign the "CSD #14 Ticket Count Report Transmittal Form" indicating that the report has been delivered to CLC.	✓
5.	DCP conducts coin flip to determine which RNG will be used for the drawing. HEADS = Lottery Headquarters at 777 Brook Street ✓ TAILS = Lottery offices at Hammer Mill Road The drawing proceeds when all personnel are present at the chosen location.	✓
6.	DCP moves the RNG into position and unlocks the cabinet; and the Drawing Team visually inspects the drawing equipment.	✓
7.	When visual inspection is complete, DP turns on RNG by pressing [START] button.	✓
8.	DD reads aloud the Checksum numbers visible on the screen while DCP confirms the numbers match the DCP's Checksum authorization document.	✓
9.	DP clicks [Start New Draw Session] on the Origin Control Panel; selects CSD game from drop down menu, and logs into the RNG draw system. DCP Auditor then logs in to the system.	✓
10.	DP clicks [Run CSD] and sets the Drawing Range Parameters to the appropriate settings: Lower Range: 100001 Upper Range: <u>214601</u> Number to Pick: 1311	✓
11.	Drawing Team verifies that the Drawing Range Parameters were entered correctly into the RNG system, then signs the "CSD Ticket Count Report" to confirm.	✓
12.	DP sets the number of prizes awarded by tier to the appropriate settings: "Tier 1" set to <u>1</u> "Tier 2" set to <u>10</u> "Tier 3" set to <u>50</u> "Tier 4" set to <u>1250</u>	✓
13.	PRE-TESTS: DP clicks [Enable Custom Message] and enters message: CSD 14 - mmddyy - Pre-Test Draw 1	✓
14.	DP clicks [Run PRE-TEST Draw] for the first Pre-Test, prints and displays the report on the screen.	✓
15.	a) DP reads aloud number in Tier 1, and the first number and last number in Tiers 2, 3 and 4. b) DCP confirms that numbers read aloud match the numbers on the printed report. c) DCP conducts an independent review of the numbers. d) DP and DCP sign the printed draw report.	✓
16.	DP CHANGES THE CUSTOM MESSAGE FIELD TO REFLECT THE PROPER PRE-TEST DRAW BEING CONDUCTED. DP and DCP repeats step 15 above for Pre-Test Draw 2 and 3.	✓
17.	DP removes the check mark (✓) next to "Run Draw as Test" to run an official LIVE DRAW and changes custom message to: CSD 14 - mmddyy - Live Draw	✓
18.	LIVE DRAW: DP clicks [Run LIVE (4) Draw] button. When complete, DP clicks [Display Results], clicks [Display Draw .pdf Report], and then prints and displays the report on the screen for review.	✓
19.	a) DP reads aloud number in Tier 1, and the first number and last number in Tiers 2, 3 and 4. b) DCP confirms that numbers read aloud match the numbers on the printed report. c) DCP conducts an independent review of the numbers. d) DP and DCP sign the printed draw report.	✓
20.	Note: After the Live Drawing, the RNG system will automatically transition to Post-Test Draw mode.	✓
21.	POST-TESTS: DP changes custom message to CSD 14 - mmddyy - Post-Test Draw 1	✓
22.	DP clicks [Run POST-TEST Draw] for Post-Test Draw 1, prints and displays the report on the screen.	✓
23.	a) DP reads aloud number in Tier 1, and the first number and last number in Tiers 2, 3 and 4. b) DCP confirms that numbers read aloud match the numbers on the printed report. c) DCP conducts an independent review of the numbers.	✓

	d) DP and DCP sign the printed draw report.	✓
24.	DP CHANGES THE CUSTOM MESSAGE FIELD TO REFLECT THE PROPER POST-TEST DRAW BEING CONDUCTED. DP and DCP repeats step 23 above for Post-Test Draw 2 and 3.	✓
25.	DCP opens a new SanDisk USB flash drive package and carefully inserts it into the RNG USB port.	✓
26.	DP clicks [Export Draw Session to USB] button to export the drawing files to the flash drive.	✓
27.	DCP carefully removes and takes possession of the USB flash drive.	✓
28.	DD reads aloud the Checksum numbers visible on the screen while DCP confirms the numbers match the DCP's Checksum authorization document.	✓
29.	DP clicks [End Draw Session] on the Origin RNG Control Panel.	✓
30.	DP clicks the [Shutdown] and then clicks [Yes] when asked to confirm.	✓
31.	DCP locks the RNG and the drawing team returns the RNG to its appropriate storage location.	✓
32.	DD makes copies of the initialed draw reports for all Pre-Test drawings, all Post-Test drawings, and the Live drawing and provides those copies to DCP for their records.	✓
33.	DD and DCP, in the presence of the Marcum auditor, hand-delivers the USB flash drive to SGI.	✓
34.	DD, DCP and SGI each sign the CSD Game #14 USB Flash Drive Transmittal Form indicating that the flash drive containing the winning numbers has been delivered.	✓
35.	SGI uploads contents of USB flash drive to the primary TXE in the presence of the DD, DCP and Marcum. a) SGI executes CT_Raffle_insert.sh on the primary TXE to insert the file into the system b) SGI <u>examines</u> the output of rpdprt for CSD Game #14 to ensure that the file was uploaded correctly; and <u>verifies</u> that the file was uploaded correctly c) DCP will review the results of the file upload with the printed Live Draw report. d) The final process for making the CSD Game #14 Live Draw official is then conducted by SGI and DCP. CSD Draw is made "drawn" CSD Draw is made "scanned" CSD Draw is "priced" CSD Draw is made "official" e) SGI returns the USB flash drive containing the CSD Game #14 Drawing files to DD. f) DD, DCP and SGI each sign the "Connecticut Super Draw Game #14 USB Flash Drive Transmittal Form" in the section identified as "USB Flash Drive from Scientific Games to CLC". g) DD makes a copy of the CSD #14 Flash Drive Transmittal Form and provides a copy to DCP for its Records.	✓
36.	DCP ends electronic recording of the drawing process.	✓
37.	DD/CLC Security maintains all original Drawing forms for archiving purposes.	✓

ABOVE ACTIVITIES HEREBY CONFIRMED BY:

CLC Drawing Performer:  1-1-18
Sign Date

CLC Drawing Director:  1-1-18
Sign Date

DCP Representative:  1-1-18
Sign Date

CLC Checklist with DCP Notes

Exhibit #3

CT SUPER DRAW GAME #14 – CHECKLIST

12/28/18

1.	The Drawing Team assembles in the employee parking lot of the CLC Headquarters by 10:30 a.m.	
2.	DCP begins digital/video camera recording once all appropriate personnel are present and will continue until the conclusion of the drawing process. FIRST STEP IS TO ANNOUNCE DATE AND DRAW INFO FOR CAMERA and then ID ALL PRESENT ON CAMERA	
3.	SGI presents print-out of the “CSD Pool Closing Report” which shows that pools are closed; and the “CSD Ticket Count Report” which shows the total number of tickets sold for this game.	
4.	DP, SGI and DCP each sign the “CSD #14 Ticket Count Report Transmittal Form” indicating that the report has been delivered to CLC.	
5.	DCP conducts coin flip to determine which RNG will be used for the drawing. _____ HEADS = Lottery Headquarters at 777 Brook Street _____ TAILS = Lottery offices at Hammer Mill Road The drawing proceeds when all personnel are present at the chosen location.	
6.	DCP ENSURES SIGNED EVIDENCE TAPE ON LOCKBOX IS INTACT PRIOR TO OPENING. DCP moves the RNG into position and unlocks the cabinet; and the Drawing Team visually inspects the drawing equipment. DCP states RNG appears to be secure & shows no evidence of tampering and asks Draw Team to confirm.	
7.	When visual inspection is complete, DP turns on RNG by pressing [START] button.	
8.	DD reads aloud the Checksum numbers visible on the screen while DCP confirms the numbers match the DCP’s Checksum authorization document.	
9.	DP clicks [Start New Draw Session] on the Origin Control Panel; selects CSD game from drop down menu, and logs into the RNG draw system. DCP Auditor then logs in to the system.	
10.	DP clicks [Run CSD] and sets the Drawing Range Parameters to the appropriate settings: (from CSD Ticket Count Report) Lower Range: 100001 Upper Range: _____ Number to Pick: 1311	
11.	Drawing Team verifies that the Drawing Range Parameters were entered correctly into the RNG system, then signs the “CSD Ticket Count Report” to confirm. DCP verifies correct range /date entered correctly.	
12.	DP sets the number of prizes awarded by tier to the appropriate settings: “Tier 1” set to 1 “Tier 2” set to 10 “Tier 3” set to 50 “Tier 4” set to 1250	
13.	PRE-TESTS: DP clicks [Enable Custom Message] and enters message: CSD 14 - mmddyy - Pre-Test Draw 1	
14.	DP clicks [Run PRE-TEST Draw] for the first Pre-Test, prints and displays the report on the screen.	
15.	a) DP reads aloud number in Tier 1, and the first number and last number in Tiers 2, 3 and 4. b) DCP confirms that numbers read aloud match the numbers on the printed report. c) DCP conducts an independent review of the numbers (to determine if numbers are within the draw range, and if there are any duplicates or patterns). ONCE REVIEWED, if no anomalies are found, DCP SHOULD ANNOUNCE THAT NO ANOMALIES WERE NOTED. d) DP and DCP sign the printed draw report.	
16.	DP CHANGES THE CUSTOM MESSAGE FIELD TO REFLECT THE PROPER PRE-TEST DRAW BEING CONDUCTED. DP and DCP repeat step 15 above for Pre-Test Draw #2 and #3. DCP’s independent review for the 2nd & 3rd Pre-Test Draws now includes the current Pre-Test Draw printed report as well as the previous Pre-Test Draw printed reports. Keep this in mind while repeating Step 15 for the 2nd & 3rd Pre-Test Draws.	
17.	DP removes the check mark (✓) next to “Run Draw as Test” to run an official LIVE DRAW and changes custom message to: CSD 14 - mmddyy - Live Draw	
18.	LIVE DRAW: DP clicks [Run LIVE (4) Draw] button. When complete, DP clicks [Display Results] , clicks [Display Draw .pdf Report] , and then prints and displays the report on the screen for review.	
19.	a) DP reads aloud number in Tier 1, and the first number and last number in Tiers 2, 3 and 4.	

	<p>b) DCP confirms that numbers read aloud match the numbers on the printed report.</p> <p>c) DCP conducts an independent review of the numbers (to determine if numbers are within the draw range, and if there are any duplicates or patterns). DCP CONDUCTS INDEPENDENT REVIEW OF THE NUMBERS FOR THE LIVE DRAW AS WELL AS WORKS WITH THE PREVIOUS PRE-TEST DRAW PRINTED REPORTS. ONCE REVIEWED, if no anomalies are found, DCP SHOULD ANNOUNCE THAT NO ANOMALIES WERE NOTED.</p> <p>d) DP and DCP sign the printed draw report.</p>	
20.	Note: After the Live Drawing, the RNG system will automatically transition to Post-Test Draw mode.	
21.	POST-TESTS: DP changes custom message to CSD 14 - mmddyy - Post-Test Draw 1	
22.	DP clicks [Run POST-TEST Draw] for Post-Test Draw 1, prints and displays the report on the screen.	
23.	<p>a) DP reads aloud number in Tier 1, and the first number and last number in Tiers 2, 3 and 4.</p> <p>b) DCP confirms that numbers read aloud match the numbers on the printed report.</p> <p>c) DCP conducts an independent review of the numbers (to determine if numbers are within the draw range, and if there are any duplicates or patterns). DCP CONDUCTS INDEPENDENT REVIEW OF THE NUMBERS FOR THE POST-TEST DRAW AS WELL AS WORKS WITH THE PREVIOUS PRE-TEST and LIVE DRAW PRINTED REPORTS. ONCE REVIEWED, if no anomalies are found, DCP SHOULD ANNOUNCE THAT NO ANOMALIES WERE NOTED.</p> <p>d) DP and DCP sign the printed draw report.</p>	
24.	DP CHANGES THE CUSTOM MESSAGE FIELD TO REFLECT THE PROPER POST-TEST DRAW BEING CONDUCTED. DP and DCP repeats step 23 above for Post-Test Draw #2 and #3. DCPs independent review for the 2nd & 3rd Post-Test Draws now includes the current Post-Test Draw printed report as well as the previous Pre-Test, LIVE and Post-Test Draw printed reports. Keep this in mind while repeating Step 23 for the 2nd & 3rd Post-Test Draws.	
25.	DCP opens a new SanDisk USB flash drive package and carefully inserts it into the RNG USB port.	
26.	DP clicks [Export Draw Session to USB] button to export the drawing files to the flash drive.	
27.	DCP carefully removes and takes possession of the USB flash drive. CONFIRM THE DOWNLOAD IS COMPLETE BEFORE REMOVING THE FLASH DRIVE.	
28.	DD reads aloud the Checksum numbers visible on the screen while DCP confirms the numbers match the DCP's Checksum authorization document.	
29.	DP clicks [End Draw Session] on the Origin RNG Control Panel.	
30.	DP clicks the [Shutdown] and then clicks [Yes] when asked to confirm.	
31.	DCP locks the RNG and the drawing team returns the RNG to its appropriate storage location. THE KEYS AND GLI VERIFY PAPERWORK ARE RESECURED IN THE LOCKBOX AND DCP SIGNS AND DATES EVIDENCE TAPE AND PLACES IT ON THE LOCKBOX.	
32.	DD makes copies of the initialed draw reports for all Pre-Test drawings, all Post-Test drawings, and the Live drawing and provides those copies to DCP for their records.	
33.	Once the entire Drawing Team has reassembled and all parties are present, the DD and DCP, in the presence of the Marcum auditor, hand-deliver the USB flash drive to SGI.	
34.	DD, DCP, and SGI each sign the CSD Game #14 USB Flash Drive Transmittal Form indicating that the flash drive containing the winning numbers has been delivered.	
35.	DCP ends electronic recording of the drawing process.	
36.	<p>SGI uploads contents of USB flash drive to the primary TXE in the presence of the DD, DCP and Marcum.</p> <p>a) SGI executes CT_Raffle_insert.sh on the primary TXE to insert the file into the system</p> <p>b) SGI <u>examines</u> the output of rpd1prt for CSD Game #14 to ensure that the file was uploaded correctly; and <u>verifies</u> that the file was uploaded correctly</p> <p>c) DCP will review the results of the file upload with the printed Live Draw report.</p> <p>d) The final process for making the CSD Game #14 Live Draw official is then conducted by SGI and DCP.</p> <p style="padding-left: 40px;">CSD Draw is made "drawn"</p> <p style="padding-left: 40px;">CSD Draw is made "scanned"</p> <p style="padding-left: 40px;">CSD Draw is "priced"</p>	

Marcum Engagement Letter

Exhibit #4

September 21, 2017

Mr. Alfred DuPuis
Connecticut Lottery Corporation
777 Brook Street
Rocky Hill, CT 06067

Re: Engagement of Marcum LLP

Dear Mr. Dupuis:

The purpose of this letter is to confirm our understanding of the terms of our engagement to provide services to Connecticut Lottery Corporation (the "Lottery").

Services and Related Report

Marcum LLP ("Marcum," the "Firm," "we," "us" or "our") will perform the procedures enumerated below relating to the Lottery's Connecticut Super Draw Game #14 ("CSD #14") final drawing to take place on January 1, 2018 ("Final Drawing").

The Official Drawing Procedures for CSD #14 ("Drawing Procedures") attached to this letter (Exhibit A) have been created by the Lottery. The sufficiency of the Drawing Procedures is solely the responsibility of the Lottery. Consequently, we make no representation regarding the sufficiency of the Drawing Procedures either for the purpose of this engagement or for any other purpose.

Within a reasonable time following the Final Drawing, we will provide you with a written report of independent accountants on applying agreed-upon procedures. Our independent accountants' report will be intended solely for the information and use of the Lottery and is not intended to be and should not be used by anyone else. If for any reason we are unable to complete the engagement, we may decline to issue a report as a result of this engagement. If such situations arise, we will notify you before making our decision.

Marcum will:

1. Be physically present at the Lottery's CSD #14 drawing site on January 1, 2018 (Time TBD). The site of the Final Drawing will be determined on January 1, 2018 in accordance with the Drawing Procedures;
2. Act as an official witness in physical attendance at the "live" Final Drawing; and



3. Observe that the procedures enumerated in Parts 5, 6 and 7 of the Lottery's Official Drawing Procedures for CSD #14 are followed by the drawing personnel.
4. Certify the Authenticity and the Honesty of the Drawing Process Based on Our Observations.

Marcum will assign at least two (2) Firm representatives to this engagement – one (1) primary and one (1) back-up. Marcum understands that pursuant to Connecticut General Statutes § 12-815a each of these representatives must obtain a Class I Occupational License from the Connecticut Department of Consumer Protection ("CT DCP"). Marcum will cooperate with the Lottery's Director of Security and the CT DCP, including, without limitation, promptly completing all necessary license applications and responding to Lottery and CT DCP information requests.

Our Responsibilities and Limitations

We will perform this engagement and report our findings in accordance with attestation standards established by the American Institute of Certified Public Accountants ("AICPA"), and we will comply with the AICPA's Code of Professional Conduct, including the ethical principles of integrity, objectivity, professional competence, and due care. We make no representation regarding the sufficiency of the procedures described above either for the purpose for which this report has been requested or for any other purpose.

Because the above procedures do not constitute an audit conducted in accordance with auditing standards generally accepted in the United States of America, we will not express an opinion on any of the accounts or items referred to above. Our engagement cannot be relied upon to disclose errors, irregularities or illegal acts, including fraud or defalcations that may exist. We will inform you of any material errors, irregularities or illegal acts that come to our attention, unless they are clearly inconsequential.

We will provide Lottery management with bound and electronic copies of our written report listing the procedures performed and our findings. This report is intended solely for the use of the Lottery, and should not be used by those who did not agree to the procedures and take responsibility for the sufficiency of the procedures for their purposes. You may, however, without our consent, freely distribute copies of the report, electronically or otherwise, to your individual board members and regulators. Additionally, you may distribute the report without our consent to comply with subpoenas served on the Lottery; court orders directed to the Lottery; and requests made to the Lottery under the Connecticut Freedom of Information Act. Our report will contain a paragraph indicating that had we performed additional procedures, other matters might have come to our attention that would have been reported to you. Should we have any reservations with respect to the Drawing Procedures, we will discuss them with you before the report is issued.

We have not been engaged to, and will not, perform an audit or an examination, the objective of which would be the expression of an opinion on the Lottery's Drawing Procedures for CSD #14. Accordingly, we will not express such an opinion. If we were to perform additional procedures, other matters might come to our attention that would be reported to you. Our report will relate only to the specified financial statement elements, accounts or items and will not extend to any financial statements of the lottery taken as a whole.

Management's Responsibilities and Representations

The Lottery's Drawing Procedures for CSD #14 referred to above are the responsibility of the management of the Lottery.

At the conclusion of our engagement, we will require written representations from certain members of management that, among other things, will confirm management's responsibility for attesting to the completeness and truthfulness of representations and disclosures made to us during the course of our work. The management representation letter must be signed and returned to us before we will release our report.

Background Checks

As a matter of our Firm policy, we perform background checks, which may require out-of-pocket expenses, on potential clients and/or on existing clients, on an as-determined basis. The terms and conditions of this engagement are expressly contingent upon the satisfactory completion of our investigatory procedures and we reserve the right to withdraw from any relationship should information which we deem to be adverse come to our attention. The results of all background checks and other investigatory procedures are submitted to, and reviewed by, our Firm's Client Acceptance Committee.

Independence

Professional standards require that a firm and its members maintain independence throughout the duration of the professional relationship with a client. In order to preserve the integrity of our relationship, no offer of employment shall be discussed with any Marcum LLP professionals assigned to the engagement, during the one year period prior to commencement of the engagement. Should such an offer of employment be made, or employment commences during the indicated time period, we will consider this an indication that our independence has been compromised. As such, we may be required to recall our report due to our lack of independence. In the event additional work is required to satisfy independence requirements, such work will be billed at our standard hourly rates.

Access to Working Papers

The working papers prepared in conjunction with our engagement are the property of Marcum and constitute confidential information. These working papers will be retained by us in accordance with our Firm's policies and procedures. However, we may be required, by law or regulation, to make certain working papers available to regulatory authorities for their review, and upon request, we may be required to provide such authorities with photocopies of selected working papers. To the extent a request is made, Marcum LLP will notify the Lottery in a timely manner.

The Firm is required to undergo a "Peer Review" every three years. During the course of a Peer Review engagement, selected working papers and financial reports, on a sample basis, will be inspected by an outside party on a confidential basis. Consequently, the accounting work we performed for you may be selected. Your signing this letter represents your acknowledgement and permission to allow such access should your engagement be selected for review.

As a result of our prior or future services to you, we may be required or requested to provide information or documents to you or a third-party in connection with a legal or administrative proceeding (including a grand jury investigation) in which we are not a party. This is not intended, however, to relieve us of our duty to observe the confidentiality requirements of our profession.

Non-Assignment

We shall not assign any of our rights or delegate any of our obligations under this engagement letter to any other person or entity.

CLC Confidential Information

Marcum acknowledges that, in its performance of this Agreement, it may receive and have access to information regarding CSD #14 and the CLC that is confidential information ("CLC Confidential Information"), whether or not marked "Confidential," and whether oral or written. Marcum agrees that all CLC Confidential Information is confidential information and shall be treated as confidential information, and is and shall remain the exclusive property of the CLC except to the extent otherwise provided herein.

Marcum will maintain, use, and otherwise handle CLC Confidential Information in strict compliance with this Agreement.

- a. Except as required by law, rule, regulation or legal process or as otherwise permitted hereunder, Marcum will not (i) disclose or cause to be disclosed any CLC Confidential Information to any third party, or (ii) use or cause to be used any CLC Confidential Information, for any purpose, except: (a) as required to perform this Agreement or (b) with the CLC's prior express written consent in each instance (collectively, the "Permitted Uses"). Marcum may share CLC Confidential Information on a need-to-know

basis with its employees performing this Agreement, and these employees may use CLC Confidential Information for the Permitted Uses, provided such employees are bound by protection and non-disclosure obligations equal to or greater than those set forth in this Agreement. Marcum will be responsible for, and remain liable to, the CLC for the actions and omissions by its employees concerning the maintenance, use, and handling of CLC Confidential Information as if they were Marcum's own actions and omissions.

- b. Marcum will exercise a level of care to protect CLC Confidential Information against unauthorized access, disclosure, loss, or misuse that, at a minimum, equals or exceeds the level of care Marcum exercises to protect its own non-public sensitive, confidential, and proprietary information, but not less than reasonable care and diligence.
- c. Marcum must immediately report any actual or suspected unauthorized use or disclosure of, or access to, CLC Confidential Information; violation of law (e.g., theft), disappearance of or tampering with CLC Confidential Information; or other compromise of CLC Confidential Information and will cooperate with the CLC in investigating such incidents at the CLC's expense unless the foregoing is due to Marcum's violation of the preceding paragraphs (a) and (b).

Marcum's confidential treatment of CLC Confidential Information will survive the completion, expiration, or earlier termination of this Agreement.

Dispute Resolution Procedure, Waiver of Jury Trial and Jurisdiction and Venue for Any and All Disputes Under This Engagement Letter and Governing Law

AS A MATERIAL INDUCEMENT FOR US TO ACCEPT THIS ENGAGEMENT AND/OR RENDER THE SERVICES TO THE LOTTERY IN ACCORDANCE WITH THE PROVISIONS OF THIS ENGAGEMENT LETTER:

The Firm and the Lottery each hereby knowingly, voluntarily and intentionally waive any right either may have to a trial by jury with respect to any litigation based hereon, or arising out of, under or in connection with this engagement letter and/or the services provided hereunder, or any course of conduct, course of dealing, statements (whether verbal or written) or actions of either party.

The Firm and the Lottery each expressly agree and acknowledge that the Superior Court of the State of Connecticut, and the United States District Court for the District of Connecticut, shall each have exclusive and sole jurisdiction and venue for any respective state or federal actions arising from, relating to or in connection with this engagement letter, or any course of conduct, course of dealing, statement or actions of either party.

The terms and provisions of this engagement letter, any course of conduct, course of dealing and/or action of the Firm and/or the Lottery and our relationship with you shall be governed by the laws of the State of Connecticut to the extent said laws are not inconsistent with the Federal Securities Laws and Rules, Regulations and Standards thereunder. In any litigation brought by either the Firm or the Lottery, the prevailing party shall be entitled to an award of its reasonable attorneys' fees and costs incurred, including through all appeals.

We acknowledge your right to terminate our services at any time, and you acknowledge our right to resign at any time (including instances where in our judgment, our independence has been impaired or we can no longer rely on the integrity of management), subject in either case to our right to payment for all undisputed direct and indirect charges including prior Lottery-approved out-of-pocket expenses incurred through the date of termination or resignation.

You agree that our liability arising out of our services provided shall not exceed the total amount paid for the services described herein. This shall be your exclusive remedy.

No action, regardless of form, arising out of the services under this agreement may be brought by either party more than one year after the date the last services are provided under this agreement.

The Lottery hereby indemnifies Marcum and its partners, principals, and employees, and holds them harmless from all claims, liabilities, losses, and costs arising directly out of a known misrepresentation by a member of the Lottery's management, regardless of whether such person was acting in the Lottery's interest. This indemnification will survive termination of this letter of engagement.

Fees

Subject to your compliance with your obligations hereunder, we estimate that our fee for the above described professional services can be completed for a fee of \$3,700. You will also be billed for travel and other out-of-pocket costs as incurred, as well as an administrative fee of 3% of our professional fees as an allocation of overhead expenses that are not billed as direct reimbursable expenses. Our invoices for these fees will be rendered as the work progresses, and are due and payable upon presentation. In the event that you dispute any of the fees or expenses on a specific invoice, you agree to notify us within twenty (20) days of receipt of the invoice of such dispute. If you fail to notify us within the twenty (20) day period, your right to dispute such invoice will be waived. Prior to the commencement of the services described above, any past due balances are required to be paid in full. In accordance with our Firm policies, should any invoice remain unpaid for more than thirty days, we reserve the right to defer providing any additional services until all outstanding invoices are paid in full. Amounts past due sixty days from the invoice date will incur a finance charge of 1% per month. Nothing herein shall be construed as extending the due date of payments required under this agreement, and you agree that we are not responsible for the impact on the Lottery of any delay that results from such non-payment by you.

The estimate of our fee is based on certain assumptions, including the required assistance from the Lottery as needed. To the extent that certain unforeseen circumstances arise during the engagement, our fee estimate may be significantly affected and additional fees may be necessary. Any additional fees and costs must be approved by the Lottery; such approval will not be unreasonably withheld. Additional services provided beyond the described scope of services will be billed separately.

Timeline

Our engagement ends with the delivery of our written agreed upon procedures report. Any follow-up services that might be required will be a separate, new engagement. The terms and conditions of that new engagement will be governed by a new, specific engagement letter for that service.

Agreement

This letter, including its attachments, comprises the complete and exclusive statement of the agreement between the parties, superseding all proposals oral or written and all other communications between the parties. If any provision of this letter is determined to be unenforceable, all other provisions shall remain in force.

It is hereby understood and agreed that this engagement is being undertaken solely for the benefit of the Lottery and that no other person or entity shall be authorized to enforce the terms of this engagement.

If you agree with the terms of our engagement, as described in this letter, please sign the enclosed letter and return to us and we will send you an executed original.

We appreciate the opportunity to be of service to you and believe this letter accurately summarizes the significant terms of our engagement. If you have any questions, please let us know.

Very truly yours,

Marcum LLP



Michael K. Brooder, Partner
Partner

This letter correctly sets forth the agreement of the Connecticut Lottery Corporation.

Officer's signature: Val A. [Signature] on behalf of Chelsea Turner

Title: Interim President & CEO

Date signed: 12-28-17

Marcum's Response

CLC Inquiry

Exhibit #5



January 29, 2018

Via Overnight Mail

Matthew Stone, Esq.
Connecticut Lottery Corporation
777 Brook Street
Rocky Hill, CT 06067

Re: CT Super Draw Game No. 14 drawing on January 1, 2018

Dear Mr. Stone:

In connection with your inquiry regarding the Connecticut Lottery Corporation's ("CLC") lottery drawing on January 1, 2018, Marcum LLP ("Marcum") conducted an internal investigation. Our findings are discussed below.

INTRODUCTION

Put simply, Marcum had no responsibility for the error in the drawing of the Connecticut Lottery Super Draw Game # 14 ("CDS #14") on January 1, 2018. Rather, the error was caused by the insistence of the Department of Consumer Protection in the use of "CT Super Draw Game #14 Checklist" as opposed to draft version No. 8 of the CT Lottery Corporation drawing procedures dated December 27, 2017 or official drawing procedures, if they existed.

MARCUM'S RETENTION TO SUPERVISE THE LOTTERY

On December 28, 2017, Marcum was retained by CLC to "perform the procedures enumerated below" relating to the CDS #14 drawing. This retention was an "agreed upon procedures" engagement. This type of engagement is one where Marcum was engaged to report findings based upon agreed-upon procedures provided by the client.

Specifically, Marcum agreed to:

1. Be physically present at the Lottery's CSD #14 drawing site on January 1, 2018 (Time TBD). The site of the Final Drawing will be determined on January 1, 2018 in accordance with the Drawing Procedures;
2. Act as an official witness in physical attendance at the "live" Final Drawing; and
3. Observe that the procedures enumerated in Parts 5, 6 and 7 of the Lottery's Official Drawing Procedures for CSD #14 are followed by the drawing personnel.
4. Certify the Authenticity and the Honesty of the Drawing Process Based on Our Observations.



MARCUMGROUP
MEMBER

Marcum will assign at least two (2) Firm representatives to this engagement- one (1) primary and one (1) back-up. Marcum understands that pursuant to Connecticut General Statutes § 12-815a each of these representatives must obtain a Class 1 Occupational License from the Connecticut Department of Consumer Protection ("CT DCP"). Marcum will cooperate with the Lottery's Director of Security and the CT DCP, including, without limitation, promptly completing all necessary license applications and responding to Lottery and CT DCP information requests.

According to the retention agreement, the CLC was to provide the Drawing Procedures. In the retention agreement Marcum made "no representation regarding the sufficiency of the Drawing Procedures". While the engagement letter called for Official Drawing Procedures to be attached to the correspondence by the CLC, they were not.

On December 27, 2017, Michael Brooder and Gregory Zoll of Marcum received the draft Drawing Procedures version 8 for CDS #14 and forwarded them to Keith Lewis, also of Marcum. No one from Marcum ever received final Drawing Procedures to date.

MARCUM IS DIRECTED AS TO THE CONDUCT OF THE DRAWING

In the morning of January 1, 2018, Mr. Lewis (with draft Drawing Procedures in hand) met with Val Guglielmo, the drawing performer who advised Mr. Lewis that she had been working for CLC for approximately 15 years. Following this initial introduction Christine Komorowski ("Komorowski") of the DCP, Robert Balicki, the Drawing Director and Auknu Ahmad, a cameraman from the DCP arrived at the CLC Headquarters. Once everyone had arrived, a coin was flipped to determine which CLC office would be the location for the drawing.

At approximately 10:30 A.M., Mr. Lewis met with the entire group at the entrance to lottery headquarters. Mr. Lewis had with him the draft Version 8 of the Drawing Procedures. Prior to the coin flip Ms. Komorowski noticed that Mr. Lewis did not have the CT Super Draw Game # 14 Checklist ("Checklist") a two-page document which was to guide the drawing. Mr. Lewis advised Ms. Komorowski that he had draft Version 8 of the Drawing Procedures and that he intended to follow them. Ms. Komorowski provided Mr. Lewis with the checklist and advised him to follow the checklist. Mr. Lewis noticed that of all of the attendees, only he had draft Version 8 of the Drawing Procedures. Nor did any of the attendees have the final version of the Drawing Procedures.

Mr. Lewis, observed Ms. Komorowski, Ms. Guglielmo and Mr. Balicki follow the procedures in the Checklist as stated by Ms. Komorowski.

CLC ADVISES MARCUM THAT A SECOND DRAWING IS REQUIRED

Shortly after the completion of the drawing, Mr. Balicki received a call regarding a problem with the drawing. He advised Mr. Lewis and the others that the drawing had been done incorrectly and that it would be necessary to repeat the drawing. Shortly before 1:00 P.M., Mr. Lewis, along

with Ms. Komorowski, Mr. Balicki, Ms. Guglielmo and Mr. Ahmad, drove to the CLC office on Hammer Mill Road and waited for further instructions.

At approximately 3:00 P.M., Alfred Dupuis of the lottery arrived and provided the group an overview of the issue with the first drawing and advised that a second drawing was necessary.

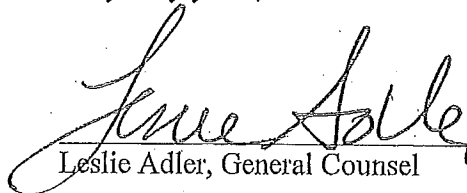
**THE DCP'S INSISTENCE ON THE USE OF THE CHECKLIST CAUSED
THE ISSUE WITH THE FIRST DRAWING**

Mr. Lewis's use of the DCP provided Checklist was in accordance with the agreed upon procedure nature of Marcum's retention with the CLC. The CLC, and the DCP based upon their authority, were to provide the procedures for the drawing. Marcum was to solely observe the procedures being performed. This is exactly what happened. While Marcum's retention states that they would solely observe the Official Drawing Procedures for CSD #14 number 5, 6, and 7, Marcum was never provided a finalized Official Drawing Procedure. At any rate, as the CLC and DCP had final authority over the drawing, Mr. Lewis was acting appropriately in observing CLC and DCP following the Checklist since Ms. Komorowski advised him that this was correct procedure.

What should be clear to the CLC and DCP is that the DCP provided "Checklist" caused the error in the drawing. The fundamental questions requiring answering should center on the creation of the Checklist, the basis for providing to Marcum and deciding to follow the checklist and why a final Official Drawing Procedure for Drawing No. 14 was never provided to Marcum.

If you have any questions, feel free to contact me.

Very truly yours,


Leslie Adler, General Counsel