



# TEXAS LOTTERY COMMISSION

## OFFICE OF THE CONTROLLER

### PROCEDURE

<b>Number:</b> OC-WP-001	<b>Title:</b> Winner Payment Processing and Review	<b>Approval:</b> Gary Grief, Executive Director
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#### PROCEDURE NUMBER

OC-WP-001 [Supersedes OC-WP-001 effective April 6, 2015]

#### PURPOSE:

To provide standard guidelines for processing prize payments through Office of the Controller.

#### SCOPE:

This procedure applies to Office of the Controller and the Comptroller of Public Accounts through the Texas Treasury Safekeeping Trust Company (TTSTC). These procedures allow the Texas Lottery Commission (TLC) to provide for prize payments in a uniform, systematic, and timely manner while implementing state and federal laws.

#### RESPONSIBILITY:

Prize payment personnel from Office of the Controller have primary responsibility for this procedure. Personnel from the Lottery Operations Division, Validations Section are responsible for portions of the procedure.

#### GENERAL:

The Office of the Controller shall oversee the implementation of this procedure for all prize payments processed by Office of the Controller Prize Payment staff. The following general guideline will be used:

- Ensure that prizes for amounts that exceed the Claim Center limits of \$2,500,000, prizes paid in installments, prizes awarded to minors, cash value prizes, second-chance drawings, and other special prizes not otherwise paid by a lottery Claim Center are processed in the lottery vendor Enterprise Series (ES) system.
- Issue single, weekly, monthly, quarterly, annual and cash value payments (CVO) to scratch ticket game recipients as provided by each game's rules.

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- Issue timely annuity payments, cash value option (CVO) payments, or lump sum payments as provided by each game's rules for draw game recipients that are not otherwise paid by a lottery Claim Center.
- Ensure correct citizenship status is applied to payments.
- Determine if payment is destined for a foreign account.
- Make any necessary adjustments to the payments according to debt set-offs and warrant holds for other agencies, court orders, levies, or liens.
- Make payments per approved voluntary and involuntary assignments.
- Federal taxpayer numbers may be classified as a Taxpayer Identification Number (TIN), a Federal Employer Identification Number (EIN or FEIN). Individuals' Social Security Number (SSN) may also be considered as a TIN. An ITIN is an individual tax identification number.
- Prize winner may also be referred to as Player in ES.

Ref: Game Rules §401.301 General Definition

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## PROCEDURE

### Processing Jackpot Winners

1. Upon notification of a new winner coming into the office for processing, Products staff will send an e-mail to the Prize Payment staff informing of the new winner. The e-mail will include the game, the game number, the amount of winnings and when the winner will be coming in for processing.
2. Prize Payment staff will complete a checklist used for processing new winners. There is an additional checklist for *Mega Millions*® and *Powerball*® winner processing that must be completed in addition to the standard checklist.

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**Note:** For citizens only - when creating the payment schedule, be sure to deduct the wager from the first payment tax calculation. DO NOT deduct the wager for non-citizens.

- 2.1. For scratch ticket and jackpot winners (excluding *Mega Millions* and *Powerball*), the effective date of payment for Cash Value Option (CVO) or first annuity payment will be claim date plus 3 business days.
  - 2.2. For *Mega Millions* and *Powerball* winners, the CVO or first annuity payment can be made no sooner than 15 calendar days from the date of the draw (to allow funds to be received by MUSL) **plus** 3 business days for normal business processing.
  - 2.3. The payment schedule's "Net Prize Paid" should be adjusted for any outstanding set-off amounts related to the winner's Social Security Number (SSN) or Federal Employer Identification Number (FEIN) discovered in step 3 below.
  - 2.4. The payment schedule(s) should be reviewed and approved by management prior to meeting with the winner.
3. Prior to meeting with a new player, the Prize Payment staff will be notified if the new player is claiming as an individual or an entity. Upon notification, the Prize Payment staff will need to verify if the State Comptroller's office has any type of hold status on the individual's SSN, entity's FEIN or the member's SSN's for the entity. If the player is claiming as an entity, Legal Services will provide an SSN for each member/beneficiary of the entity.
    - 3.1. Access the State Comptroller's TINS system and navigate to the PYADDR screen to verify Player Status through either Social Security Number (SSN) or Federal Employer Identification Number (FEIN).
    - 3.2. The PYADDR screen must be accessed in the following format:

PYADDR(period)(2 for SSN or 1 FEIN (space)(period)

A last digit, or check digit, will automatically be entered in the remaining space by the computer system.

To verify by SSN, enter 10 digits: 2 as the first digit, then the 9-digit SSN.

To verify by FEIN, enter 10 digits: 1 as the first digit, and then the 9-digit FEIN

The system will automatically change the SSN or TIN to a number that begins with "7".

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```

PYADDR ██████████ 02/16/17

PAYEE NUMBER: ██████████ TAXPAYER NUMBER: ██████████

OWNERSHIP TYPE: INDIVIDUAL RECIPIENT IAT IND:

INACTIVE 07/09/15 MC CNT: 1 1099 MC LOOKUP: PF12 NEXT AVAILABLE MC: 000

MAIL CODE: 004 SIC CODE: 9936 SECURITY TYPE: 0 SECURING SOURCE:

STATUS: I 07/09/15 TELEPHONE:

NAME: JOHN DOE ADDRESS IND: S

ADDRESS: ██████████

CITY: CORPUS CHRISTI STATE: TX ZIPCODE: 78412-3816 ZONE CODE: 178

```

3.3. Replace the PYADDR with PYHOLD. This will show player hold information, with the agency name, dates, and codes needed to document the transaction.

```

PYHOLD ██████████ 08/18/97

HOLD NUMBER  HOLD DATE  EFF DATE  SOURCE  REASON  LIABILITY AMOUNT
-----
██████████ 04/21/97  08/11/97  304     026     (call agency for amount)
SALES TAX - COMPTROLLER OF PUBLIC ACCOUNTS
NAME: JOHN DOE PIN: ██████████

END OF DISPLAY - PF3=QUIT, PF4=MENU

```

3.4. Print the PYHOLD screen if warrant hold information exists and exit TINS.

3.5. If there is a set-off, look up the SSN in ES to obtain the amount of the set-off. Choose ██████████. Then select any agency and scroll to bottom of screen and enter the SSN. Set-off agency and amount will display. (See step 40 for further details). If further clarification is needed, contact the agency in which a hold status exists. Document the name of the agency representative, the date of contact, and the amount of the outstanding debt. Any other notes regarding the set-off information should be documented on this sheet.

4. Prize Payment staff will meet with the player to provide and discuss the following financial information:
  - 4.1. Options on claiming the prize due to game rules
  - 4.2. Review of player payment schedule
  - 4.3. When to expect payment
  - 4.4. Amount of taxes that will be taken out of payment(s)
  - 4.5. When to expect their W-2G tax form

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- 4.6. Obtain bank ACH instructions
- 4.7. Inform player of a debt/set-off (if applicable from step 3 above) to be withheld from payment
- 4.8. Discuss any winner questions

### Processing Payments in ES

5. If processing a scratch ticket annuity prize, Prize Payment staff must “View Annuity Control” to ensure the game or product is set up in ES. The Annuity Control must be setup prior to the Claim Center creating the claim. If not a scratch ticket annuity, skip to step 6.

To access in ES: [REDACTED]

Product	Annuity Term	Prize Amount	Prize Frequency	Disbursement Frequency	Status:
8 - Lotto	25	n/a	n/a	Yearly	Active
14 - Powerball	30	n/a	n/a	Yearly	Active
15 - MegaMillions	26	n/a	n/a	Yearly	Active
1343 - MONTHLY BONUS	20	n/a	n/a	Yearly	Active
1355 - WEEKLY GRAND	20	n/a	n/a	Monthly	Active

- 5.1. If the game is not currently setup, click on the “Add Annuity Control” tab to add the new game.
  - 5.1.1. Product                      Game Number/Name
  - 5.1.2. Annuity Type                Jackpot
  - 5.1.3. Status                         Active
  - 5.1.4. Cash Equiv Allowed        Yes or No (depends on the game rules)
  - 5.1.5. Disbursement Freq        Yearly/Quarterly/Monthly/Weekly (depends on player choice)
  - 5.1.6. Annuity Term                # Years of Annuity
  - 5.1.7. Allow Beneficiary         No

Home > [REDACTED] go> Claim Form # Quick Search

**View Annuity Controls**    **Add Annuity Control**

---

Product: 8 - Lotto

Annuity Type: Jackpot

---

Status: Active

Cash Equiv Allowed:  Yes  No

Disbursement Frequency: Yearly

Annuity Term: 1 year

Allow Beneficiary:  Yes  No

6. The Austin Claim Center will perform the following:

- 6.1. Setup the new Player record in ES. Player is not attached to the claim. Check to ensure that the player record has been set up correctly, and that there are not duplicate records before proceeding.

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If there are multiple player records for the same SSN, delete the SSN on each record except for the record to be added to the claim.

- 6.2. Create the Claim in ES and attach the ticket to the claim. This validates the ticket in ES. The Claim Type must be “Administrative/Jackpot Prize-Jackpot”.
- 6.3. If the prize payment is for \$1 million or more, the player will complete a Claim Form that allows the player to elect to remain anonymous.
- 6.4. Provide the claimant paperwork to Prize Payment staff to process the rest of claim.

### New Player Processing

(For the first payment of an annuity payment, CVO or one-time payment)

**Note:** If a *Mega Millions* or *Powerball* winner comes in and claims before 15 calendar days have elapsed from date of the draw, wait and enter claim in ES on that 15<sup>th</sup> day. This will allow ES to calculate the effective date of payment correctly.

### 7. Access ES and Navigate to Player Services “Manage Claims”

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- Recall the claim created by the Austin Claim Center by using the Quick Search at top-right corner of the screen. Select “Claim Form #” from drop down and enter number from Claim Form. Select Enter.

- The Claim as entered by Austin Claim Center is displayed. Select “Edit Claim” tab.
- Update the “Type” field to “Cash” if winner selected Cash Value Option (CVO); otherwise select “Annuity” from drop down menu.
- Update the “Prize value” field with the Gross Amount of the prize. Select the first “Update” button. (ES will recall the prize amount that was supported by sales, not necessarily the guaranteed prize amount.) Only update the amount if different, otherwise no update is needed.
- Verify that the Total Prize Value and Total Cash Payout updates with new amount (gross prize amount from payment schedule).
- Select “Add Claimant”.

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Home >  go> Claim Form #  Quick Search

Claim ID: 12020822303 Claim Date: 02/08/2012 Created By: kstuckey Claim Type: Administrative  
 Status: Hold Claim Form # claim1 Reason Type: Previously Paid - Previously paid tickets

Reason Code: 3 Missing Information

[Claim Summary](#) [Edit Claim](#) [Claim History](#) [Associated Annuities](#)

**Tickets**

Ticket Number	Prod/ Game	Result	Sec/ Draw	Draw Date	Tier/ Div	Wager Amount	Type	Desc	Selling Retailer	Paying Retailer	Prize Value	Cash Eq	Cash Eq Value	Cash Payout
<input type="checkbox"/> 8034-039190276-15	MEGA	Rejected - Not a winner	0	01/01/1970	Division 1	\$0.00	Cash		0	0	\$ 5,000,000.00			\$5,000,000.00
Number of Tickets: 1											Total Prize Value: \$ 5,000,000.00		Total Cash Payout: \$5,000,000.00	

[Remove Ticket](#) [Add Ticket](#) [Update](#)

**Claimants**

[Add Claimant](#)

**Status**

Postmark Date:

Status: Hold

**Active Reason Codes**

Missing Information

[<< ADD](#) [REM >>](#)

**Available Reason Codes**

- Duplicate Claimant Tax
- Invalid Postmark Date
- Missing Information
- Restricted Player
- Underage Player

Override [Submit](#) [Reset](#) [Cancel](#)

- A blank player record is displayed. In the SSN field, key Player's SSN and press "Enter".
- A popup window will appear. Select radio button next to player's name and press "Continue"

ES Player Services - Windows Internet Explorer provided by The Texas Lottery Comm...

**The claimant that you are attempting to add may already exist in the system**

**You Entered:**

Name:	SSN/FEIN:	DOB:	Address:
<input type="radio"/>			TX

**The system found:**

Name:	SSN/FEIN:	DOB:	Address:
<input checked="" type="radio"/> Claim Test			AUSTIN TX 78757

Return to form and edit current entry

- The Player now is attached to the claim. Verify the citizenship. Select the second "Update" button and select "Submit".



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17. Verify that the Claim Center updated the anonymous flag correctly.

18. In same screen, select the player's name (bold blue font). The Player record is displayed.

Claim ID: 12020822303    Claim Date: 02/08/2012    Created By: kstuckey    Claim Type: Administrative  
 Status: Hold    Claim Form # claim1    Reason Type: Previously Paid - Previously paid tickets

Reason Code: 3 Missing Information

Claim Summary    Edit Claim    Claim History    Associated Annuities

---

**Tickets**

Ticket Number	Prod/ Game	Result	Sec/ Draw	Draw Date	Tier/ Div	Wager Amount	Type	Desc	Selling Retailer	Paying Retailer	Prize Value	Cash Eq	Cash Eq Value	Cash Payout
<input type="checkbox"/> 8034-039190276-15	MEGA	Rejected - Not a winner	0	01/01/1970	Division 1	\$0.00	Cash		0	0	\$ 6,000,000.00			\$6,000,000.00

Number of Tickets: 1    Total Prize Value: \$ 6,000,000.00    Total Cash Payout: \$6,000,000.00

Remove Ticket    Add Ticket    Update

---

**Claimants**

Name	Player ID	DOB	Number of Shares	Address Verification	Citizen	Verified Citizen
<input type="checkbox"/> <b>Claim Test</b>	100751245		1	Non-Validated	Yes	<input type="checkbox"/>

Remove    Add Claimant    Update

---

**Status**

Postmark Date:

Status: Hold

**Active Reason Codes**  
Missing Information

<< ADD    REM >>

**Available Reason Codes**  
Duplicate Claimant Tax  
Invalid Postmark Date  
Missing Information  
Restricted Player  
Underage Player

Comments     Override    Submit    Reset    Cancel

19. Verify Personal Information and Contact Information to ensure that it agrees with the Claim Form.

20. If the address is not already "Validated", select "Validate Address" button to verify that the address information is correct with the postal service.

21. Under Bank Information, select "Add Account" and enter the banking information provided by the Player. Check "Credit" box on both "Enable" and "Default Acct".

22. Select "Submit".

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Individual Entity Status: None

**Personal Information**

\*First Name: Claim MI:

\*Last / Entity Name: Test

IRS Control Name: TEST

Suffix:

Date of Birth:

SSN/FEIN:

\*Citizen/Resident: Yes  Tax Treaty

\*Tax Category: Resident with Tax ID

**Contact Information**

Phone (h):  \*\*

Phone (m):  \*\*

\*Phone (w):  \*\* Ext:  \*\*

Fax:

Email:  \*\*

**Primary Address - Non-Validated**

\*Country: United States

\*Zip: 78757 \*\* +4  \*\* \*Street No:  \*\*

\*Street Name:  \*\* Street Type: ST

Unit Type:  Unit No:  \*\*

Address 2:  \*\*

Address 3:  \*\* \*City: AUSTIN \*\*

\*State: Texas  County: TRAVIS \*\*

Mailing Address same as Primary Address

**Mailing Address Non-Validated**

Country: United States

Zip: 78757 \*\* +4  \*\* Street No:  \*\*

Street Name:  \*\* Street Type: ST

Unit Type:  Unit No:  \*\*

Address 2:  \*\*

Address 3:  \*\* City: AUSTIN \*\*

State: Texas  County: TRAVIS \*\*

**Bank Information**

Routing Number	Bank Name	Account Type**	Account Number**	Account Holder**	Enable**	Default Acct**	Addenda
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> Debit <input type="checkbox"/> Credit	<input type="checkbox"/> Debit <input type="checkbox"/> Credit	<input type="text"/>

**Active Reason Codes**

**Available Reason Codes**

IRS SSN-Name

**Preferences**

23. Screen should return to “Edit Claim” and message at top should indicate that “Player changes have been submitted for approval”. Select “Submit” again and message at top should indicate “Claim updated successfully”.

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Claim ID: 12020822303    Claim Date: 02/08/2012    Created By: kstuckey    Claim Type: Administrative  
 Status: Pending    Claim Form # claim1    Reason Type: Previously Paid - Previously paid tickets

Reason Code:

[Claim Summary](#)    [Edit Claim](#)    [Claim History](#)    [Associated Annuities](#)

Player changes have been submitted for approval

**Tickets**

Ticket Number	Prod/ Game	Result	Sec/ Draw	Draw Date	Tier/ Div	Wager Amount	Type	Desc	Selling Retailer	Paying Retailer	Prize Value	Cash Eq	Cash Eq Value	Cash Payout
9034-039190276-15	MEGA	Rejected - Not a winner	0	01/01/1970	Division 1	\$0.00	Cash		0	0	\$ 6,000,000.00			\$6,000,000.00

Number of Tickets: 1    Total Prize Value: \$ 6,000,000.00    Total Cash Payout: \$6,000,000.00

[Remove Ticket](#)    [Add Ticket](#)    [Update](#)

**Claimants**

Name	Player ID	DOB	Number of Shares	Address Verification	Citizen	Verified Citizen
Claim Test	100751245	[REDACTED]	1.00	Non-Validated	Yes	<input type="checkbox"/>

[Remove](#)    [Add Claimant](#)    [Update](#)

**Status**

Postmark Date:

Status: Pending

**Active Reason Codes**    **Available Reason Codes**

24. Give the winner file to another Prize Payment staff for approval of Player changes.

**Note:** It is recommended to finish all possible items on the check list prior to handing over the winner folder for approval. This allows the reviewer to mark off the items that have been completed while approving the player record changes.

25. In order to view the changes, pull up Player Record and select "Approve Changes". Another screen will pop up. If information is correct, select "Approve Changes". If revisions are needed, select "Reject Changes", make the correction to player record and give back to original Prize Payment staff to "Approve Changes".

<b>Personal Information</b>	<b>Contact Information</b>					
No Changes	No Changes					
<b>Primary Address</b>	<b>Mailing Address</b>					
No Changes	No Changes					
<b>Bank Information</b>						
<b>Routing Number</b>	<b>Bank Name</b>	<b>Account Type **</b>	<b>Account Number **</b>	<b>Account Holder **</b>	<b>Enable **</b>	<b>Default Acct **</b>
From Blank	From Blank	From Blank	From Blank	From Blank	<input type="checkbox"/> Debit <input type="checkbox"/> Credit	<input type="checkbox"/> Debit <input type="checkbox"/> Credit
[REDACTED]	bank test	Checking	[REDACTED]	claim test	<input type="checkbox"/> Debit <input checked="" type="checkbox"/> Credit	<input type="checkbox"/> Debit <input checked="" type="checkbox"/> Credit
<b>Preferences</b>						
** Effective Date of Changes: 02/08/2012						<a href="#">Approve Changes</a> <a href="#">Reject Changes</a>

26. File is given to the appropriate General Ledger staff in order for the prize winner to be set up in the Comptroller's TINs system prior to payment.

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Player Name: Claim Test    Player DOB: [REDACTED]    Home Phone: [REDACTED]    Primary Address: [REDACTED]  
Tax Category: Resident with Tax ID    Player SSN/FEIN: [REDACTED]    Work Phone: AUSTIN, TX 78757  
Player ID: 100751245

[Edit Player](#)    [Associated Claims](#)    [Associated Annuities](#)    [Associated Payments](#)    [Associated Tax Liability \(5754\)](#)    [Player History](#)

Individual     Entity     Status: Pending    [Approve Changes](#)

**Personal Information**

\*First Name: Claim    MI: [REDACTED]  
\*Last / Entity Name: Test  
IRS Control Name: TEST  
Suffix: [REDACTED]  
Date of Birth: [REDACTED]  
SSN/FEIN: [REDACTED]  
\*Citizen/Resident: Yes  Tax Treaty   
\*Tax Category: Resident with Tax ID

**Contact Information**

Phone (h): [REDACTED] \*\*  
Phone (m): [REDACTED] \*\*  
\*Phone (w): [REDACTED] \*\* Ext: [REDACTED] \*\*  
Fax: [REDACTED]  
Email: [REDACTED] \*\*

**Primary Address - Non-Validated**    [Validate Address](#)

\*Country: United States  
\*Zip: 78757 \*\* +4 [REDACTED] \*\*    \*Street No: [REDACTED] \*\*  
\*Street Name: [REDACTED] \*\*    Street Type: ST  
Unit Type: [REDACTED]    Unit No: [REDACTED] \*\*  
Address 2: [REDACTED] \*\*  
Address 3: [REDACTED] \*\*    \*City: AUSTIN \*\*  
\*State: Texas    County: TRAVIS \*\*

**Mailing Address Non-Validated**    [Validate Address](#)

Country: United States  
Zip: 78757 \*\* +4 [REDACTED] \*\*    Street No: [REDACTED] \*\*  
Street Name: [REDACTED] \*\*    Street Type: ST  
Unit Type: [REDACTED]    Unit No: [REDACTED] \*\*  
Address 2: [REDACTED] \*\*  
Address 3: [REDACTED] \*\*    City: AUSTIN  
State: Texas    County: TRAVIS

Mailing Address same as Primary Address

27. File then is given to the Financial Operations Manager (Management), or designee, for Claim review and approval.
  - 27.1. Recall the claim in ES and review the Ticket Information (specifically the prize value/cash payout) and Claimant Information.
  - 27.2. Select “Edit Claim” tab and review to ensure anonymous flag selected correctly. If correct, check the box “Verified Anonymity” and select “Submit”.
  - 27.3. Select “Claim Summary” tab and select “Approve” to approve the claim.
  - 27.4. If flag is incorrect, return file to Prize Payment staff for correction.

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- [Claim Summary](#)
[Edit Claim](#)
[Claim History](#)
[Associated Annuities](#)

**Tickets**

Ticket Number	Prod/ Game	Result	Sec/ Draw	Draw Date	Win Set	Tier/ Div	Wager Amount	Type	Desc	Selling Retailer	Paying Retailer	Prize Value	Cash Eq	Cash Eq Value	Cash Payout
1870-134874-19-9425998082	ULTMIL	Pay the winner				21	\$50.00	Cash		18008500	0	\$5,000,000.00			\$5,000,000.00
<b>Number of Tickets: 1</b>												<b>Total Prize Value: \$ 5,000,000.00</b>	<b>Total Cash Payout: \$5,000,000.00</b>		

**Claimants**

Name	Player ID	DOB	Number of Shares	Address Verification	Citizen	Verified Citizen
[REDACTED]	101653245	[REDACTED]	1.00	Validated	Yes	<input type="checkbox"/>

**Status**

Postmark Date: 
**Anonymity Flag:** Yes 
**Verified Anonymity:**

Status:  Pending

**Active Reason Codes**

**Available Reason Codes**  
 Duplicate Claimant Tax  
 Invalid Postmark Date  
 Missing Information  
 Restricted Player  
 Underage Player

Override

Home >  go> Claim Form #  Quick Search

Claim ID: 12020822303    Claim Date: 02/08/2012    Created By: kstuckey    Claim Type: Administrative  
 Status: Pending    Claim Form # claim1    Reason Type: Previously Paid - Previously paid tickets

Reason Code:

- [Claim Summary](#)
[Edit Claim](#)
[Claim History](#)
[Associated Annuities](#)

**Tickets**

Ticket Number	Prod/ Game	Result	Sec/ Draw	Draw Date	Tier/ Div	Wager Amount	Type	Desc	Selling Retailer	Paying Retailer	Prize Value	Cash Eq	Cash Eq Value	Cash Payout
8034-039190276-15	MEGA	Rejected - Not a winner		01/01/1970	1	\$ 0.00	Cash		0	0	\$ 6,000,000.00			\$ 6,000,000.00
<b>Number of Tickets: 1</b>												<b>Total Prize Value: \$ 6,000,000.00</b>	<b>Total Cash Payout: \$ 6,000,000.00</b>	

**Claimants**

Name	Player ID	DOB	Number of Shares	Verified Citizen	Address Verification
Claim Test	100751245	[REDACTED]	1.00	Yes	Non-Validated
<b>Totals:</b>			<b>1</b>		

**Payments**

Prize payments are shown after Claim is approved. Agency payments are shown after the Create Agency Payments scheduled process runs.

Payment ID	Payment Type	Payee	SSN/FEIN	Net Amount	Reconciled Amount	Status	Status Date	Payment Date	Check No.
<input type="button" value="Comments"/> <span style="float: right;"> <input type="button" value="Approve"/> <input type="button" value="Cancel"/> </span>									

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27.5. Upon approval of claim, confirm “Claim approved successfully” and net amount is correct.

Claim ID: 12020822303 Status: Sent to Payment	Claim Date: 02/08/2012 Claim Form # claim1	Created By: kstuckey Reason Type: Previously Paid - Previously paid tickets	Claim Type: Administrative											
Reason Code:														
Claim Summary	Edit Claim	Claim History	Associated Annuities											
Claim approved successfully														
<b>Tickets</b>														
Ticket Number	Prod/ Game	Result	Sec/ Draw	Draw Date	Tier/ Div	Wager Amount	Type	Desc	Selling Retailer	Paying Retailer	Prize Value	Cash Eq	Cash Eq Value	Cash Payout
8034-039190276-15	MEGA	Rejected - Not a winner		01/01/1970	1	\$ 0.00	Cash		0	0	\$ 6,000,000.00			\$ 6,000,000.00
<b>Number of Tickets: 1</b>			<b>Total Prize Value: \$ 6,000,000.00</b>			<b>Total Cash Payout: \$ 6,000,000.00</b>								
<b>Claimants</b>														
Name	Player ID	DOB	Number of Shares	Verified Citizen	Address Verification									
Claim Test	100751245		1.00	Yes	Non-Validated									
<b>Totals: 1</b>														
<b>Payments</b>														
Prize payments are shown after Claim is approved. Agency payments are shown after the Create Agency Payments scheduled process runs.														
Payment ID	Payment Type	Payee	SSN/FEIN	Net Amount	Reconciled Amount	Status	Status Date	Payment Date	Check No.					
100378684	Prize	Claim Test		\$ 4,500,000.00		Ready for payment	03/02/2012	02/08/2012						

28. If annuity, select “Associated Annuities” tab and update the following items:

28.1. Anniversary Date:

28.1.1. If scratch annuity, date will be the first of the month of claim date. (i.e., claim date is 1/30/2012, the anniversary date is January 1 of each year)

28.1.2. If Lotto annuity, date will be the 15<sup>th</sup> of the month in which the draw occurred. (i.e., draw date is 1/30/2012, the anniversary date is January 15 of each year)

28.1.3. If *Mega Millions* or *Powerball* annuity, date will be the anniversary of the draw date.

28.1.4. If the anniversary date for any game falls on a weekend, the payment date will be on the following business day.

28.2. Prize Amount: Key Gross prize amount of the annuity.

29. Approve the Annuity

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Welcome tpair - Last Accessed Time is : Tue Jul 12 2011 06:21:43 PM CDT Account Preference | Label Center | Logout

Home > [Search] [Go] [Cid] [Quick Search]

Annuity ID: 143 Prize Amount: \$0.00 Status: Created On 07/12/2011 18:19:03  
Claim ID: 11071203909 Created: administrator On 07/12/2011 18:19:03

Annuity Approve

Anniversary Date: 07/12/2011 First Payment Date: 07/12/2011 Guaranteed Number of Payments: 25  
Annuity Type: Jackpot Draw Date: 01/01/1970 Disbursement Frequency: Yearly  
Prize Amount: 0.00 Insurance Company: [ ] Policy Number: [ ]

[Approve] [Cancel]

30. Review the Disbursement Plan to ensure it created correctly. If this is an annuity payment, the account type must be changed to reflect "Initial Payment" instead of annuity payment. After calling up the annuity details for the player, click on the Disbursement Number to change the account type. This must be done prior to the Electronic File Transfer (EFT) overnight process. Give the folder back to the Prize Payment staff.

Welcome tpair - Last Accessed Time is : Tue Jul 12 2011 06:38:52 PM CDT Account Preference | Label Center | Logout

Home > [Search] [Go] [Cid] [Quick Search]

Annuity ID: 143 Prize Amount: \$20,200,000.00 Status: Active On 07/12/2011 18:38:52  
Claim ID: 11071203909 Created: administrator On 07/12/2011 18:10:03

Edit Annuity Not Assignments Life Assignments Annuity History

Annuity has been approved successfully

Annuity Details Allow Termination  Terminate Annuity

Anniversary Date: 07/15/2011 First Payment Date: 07/12/2011 Guaranteed Number of Payments: 25  
Annuity Type: Jackpot Draw Date: 01/01/1970 Disbursement Frequency: Yearly  
Total Number of Payments: 25 Remaining Payments: 25 Remaining Balance: \$20,200,000.00  
Amount Paid To Date: 50.00  
Insurance Company: [ ] Policy Number: [ ]

Annuitant Details Show Add Annuitant

Gypsy LLP (Hide) Gypsy LLP Status: Active Percent: 100% Remaining Balance: \$ 20,200,000.00 Cash Out Annuitant

Payment Method: Check Additional State Tax: [ ] Additional Fed Tax: [ ]  
Tax Category: Resident with Tax ID Court Order #: [ ] Court Order Type: [ ]

**Disbursement Plan**

Disbursement	Date	Gross Amount	Status	Payment ID
1	07/12/2011	\$808,000.00	Pending	
2	07/15/2012	\$808,000.00	Pending	
3	07/15/2013	\$808,000.00	Pending	
4	07/15/2014	\$808,000.00	Pending	
5	07/15/2015	\$808,000.00	Pending	
6	07/15/2016	\$808,000.00	Pending	
7	07/17/2017	\$808,000.00	Pending	
8	07/15/2018	\$808,000.00	Pending	
9	07/15/2019	\$808,000.00	Pending	
10	07/15/2020	\$808,000.00	Pending	

31. The next day, Prize Payment staff will check the Credit EFT file to ensure that the payment processed in ES.

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32. To check the Credit EFT File in ES, log into ES and select [REDACTED] [REDACTED]” across the top and select “Go”.

33. Select “Search Payment Files” tab.

Name	Schedule Type	Next Run Date/Time	Frequency
<input type="checkbox"/> Annuity Prenote	Annuity Prenote	02/16/2017 19:00:00	1 Days
<input type="checkbox"/> TAX EFT	Tax EFT	02/16/2017 21:10:00	1 Days
<input type="checkbox"/> Credit EFT (Annuity)	Credit EFT (Annuity)	02/16/2017 18:15:00	1 Days
<input type="checkbox"/> Credit EFT (Prize Payments)	Credit EFT (Prize Payment)	02/16/2017 18:19:00	1 Days
<input type="checkbox"/> Debit EFT	Debit EFT	02/17/2017 01:12:00	1 Days
<input type="checkbox"/> Credit Check	Credit Check	03/18/2017 09:46:00	1 Months

6 items found, displaying 1 to 6

34. Using the drop-down menu, select “Credit EFT (Prize Payment)” for the schedule type. Payment date select “Previous 3 days”. Select “Search”.

\*Schedule Type:

\*Payment Date:    to

35. Select “View Log File” status that shows a number processed. If it shows a zero, then there is not any information in that file. On the bottom of the screen it will show which payments are in the file. If this payment is the batch, click on the file name to open the file. Save the file down to [REDACTED]



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View Payment Schedules
Add Payment Schedule
Search Payment Files

\*Schedule Type: Credit EFT (Prize Payment) ▾

\*Payment Date:  Previous 3 Days ▾  
 MM/DD/YYYY to MM/DD/YYYY

**Search Results**

Date	File Name	# Payments	# Processed	Status
<input type="checkbox"/>	12/10/2014 EFT_2014_12_10_17_19_00.dat	0	0	Completed <a href="#">View Log File</a>
<input type="checkbox"/>	12/09/2014 EFT_2014_12_09_17_19_00.dat	0	0	Completed <a href="#">View Log File</a>
<input type="checkbox"/>	12/08/2014 EFT_2014_12_08_17_19_00.dat	1	1	Completed <a href="#">View Log File</a>

3 items found, displaying 1 to 3

**EFT\_2014\_12\_08\_17\_19\_00.dat**

Total Number of Payment Records: 1  
Number of Successfully Processed Payment Records: 1  
Number of Failed Payment Records: 0

**Payment Schedule Task Log Details**

Payee	Payment ID	Payment Net Amount	Message
[REDACTED]		1491279.53	Added To File

36. Review the information on the file. If correct, give both the Credit EFT file and the player folder to management for review and approval.
37. Management will upload the Credit EFT batch in the ACH banking system and give folder and batch report to Prize Payment staff.
38. Management sends an e-mail to TTSTC requesting that the batch be released for payment.

### Warrant Holds and Debt Set-offs

39. Each night the agency receives a debt set-off file from the State Comptroller's office set-off that is loaded directly into ES. As prize payments are processed, the taxpayer number is compared to the debt set-off file. If a taxpayer number matches the debt set-off file, then the debt set-off will be automatically deducted from the prize payment.
40. Compare the (PYHOLD) screen print from step 3 above to ESset-off. Confirm that the agency and debt set-off agree.
41. To check for hold in ES, select [REDACTED] from the drop-down menus at the top of the page and select "Go".
42. Once the agencies appear, click on the agency name that is showing on the PYHOLD screen print.

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[View Agencies](#) [Add an Agency](#)

Agency Code	Name	Agency Type	Contact Name	Status
304	COMPTROLLER OF PUBLIC ACCOUNTS	Setoff	AA	Active
320	TEXAS WORKFORCE COMMISSION	Setoff	AA	Active
582	TX COMMISSION ON ENVIRONMENTAL QUALITY	Setoff	AA	Active
362	TEXAS LOTTERY COMMISSION	Setoff	AA	Active
529	HEALTH AND HUMAN SERVICES COMMISSION	Setoff	AA	Active
716	TEXAS ENGINEERING EXTENSION SERVICE	Setoff	AA	Active
539	DEPARTMENT OF AGING AND DISABILITY SVCS	Setoff	AA	Active
10	TX GUARANTEED STUDENT LOAN	Setoff	AA	Active
302	OFFICE OF THE ATTORNEY GENERAL	Setoff	AA	Active

43. On the lower left-hand side of the screen, enter the SSN in the space below “Search by SSN” and select “Search by SSN”.

Home >  go> Claim Form # Quick Search

[View Agencies](#) [Add an Agency](#)

**Agency Information**

\*Name: COMPTROLLER OF PUBI \*Agency Code: 304 Direct Pay:

Status: Active Agency Type: Setoff Tax Type:

**Address Information**

Address 1: LBJ Building Address 2: 111 East 17th Street Address 3:

City: AUSTIN State: Texas Zip: 78701 +4:

Country: TRAVIS Country: United States

**Contact Information**

First Name: A MI:  Last Name: A Suffix:

Phone: 5555555555 Ext:  Fax:

Email:

**Bank Information**

Routing Number:  Bank Name:  Account Number:  Enable EFT Debit:  Enable EFT Credit:


**Setoffs**

[Add New Setoff](#)

[Search by SSN](#)

[Comments](#)

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44. The debt set-off should appear on the bottom of the screen under Set-offs. Verify that the player name, SSN, agency and amount agree with the PYHOLD screen print. These amount(s) will automatically be deducted from the prize payment.

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View Agencies Add an Agency

**Agency Information**

\*Name: COMPTROLLER OF PUBI \*Agency Code: 304 Direct Pay:

Status: Active Agency Type: Setoff Tax Type:

**Address Information**

Address 1: LBJ Building Address 2: 111 East 17th Street Address 3:

City: AUSTIN State: Texas Zip: 78701 +4:

County: TRAVIS Country: United States

**Contact Information**

First Name: A MI: Last Name: A Suffix:

Phone: 5555555555 Ext: Fax:

Email:

**Bank Information**

Routing Number: Bank Name: Account Number: Enable EFT Debit: Enable EFT Credit:

**Setoffs**

Name	SSN/FEIN	Priority	Reason	Reason Description	Amount Owed	Hold Date	Effective Date
[redacted]	[redacted]	2	73	MIXED BEVERAGE GROSS RECEIP	60,537.64	09/02/2011	08/25/2011
[redacted]	[redacted]	9	380	JUDGMENT LIABILITY	10,292.00	08/26/2011	04/25/2006

Add New Setoff

Search by SSN

Comments

Submit Reset Cancel

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45. If the debt set-off is not included on ES, but it is confirmed that a set-off should be taken from payment, select the “Add New Set-off” and enter the new set-off information in the blank fields. The hold date and the effective date will automatically populate with today’s date. Select “Submit” to process. This set-off will only remain in ES until the debt set-off file is refreshed during the nightly process.

46. Place documentation in winner file to document reason a set-off was added to payment.

### Federal Income Tax Withholding

47. Federal income tax withholding will automatically be calculated at the current rate mandated by Federal Law, based on citizenship.

48. If the player is a US citizen, the first payment will be calculated by taking the gross payment minus the wager amount then multiplying by the current rate.

Example:

Gross Winnings	1,000,000.00
Wager	(2.00)
Net Winnings	999,998.00
Tax Rate	24%
Taxes W/H	239,999.52

Gross Winnings	1,000,000.00
Taxes W/H	(239,999.52)
Net Payment	760,000.48

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49. If the player is a non-US citizen, then the wager amount is not subtracted when calculating the taxes and the tax rate may be different than US citizens.
50. The winner will receive an IRS Form W-2G or 1042-S at year end depending upon citizenship based on IRS tax reporting requirements.

#### **Voided Checks**

51. If a payment needs to be voided for any reason in ES, the information must be given to management in order for the payment to be voided.
52. Prize Payment staff will then re-issue the payment on the same day the original payment is voided, when possible, to avoid any manual tax adjustments.

#### **Manual Direct Deposit Transfer (ACH)**

53. If for some reason a payment did not generate and an Electronic File Transfer (EFT) file or payment needs to be re-issued, the payment will need to be manually entered into an EFT file to be uploaded into the ACH banking system. A payment may need to be processed manually if the money was returned due to a closed bank account or incorrect banking information provided by claimant.
54. The Prize Payment staff will manually enter the direct deposit information into the EFT file. Print the EFT transaction screen, note the effective date of the payment and forward the file and EFT screen print to management. The staff with entry ability will not have the ability to create a batch or release a batch for payment.
55. Management will upload the batch for release in the ACH banking system and review for correct payment amount, banking instructions, and effective date. Review and approval is indicated by signing the printed Payments Detail Report from the ACH banking system. Email TTSTC requesting the release of payment. Management will not have access to enter transaction information.
56. TTSTC will release the batch to the bank for payment to the player. TTSTC will not have access to enter a transaction or create a batch.

#### **General Guidelines**

57. New winner payments are made 3 business days after the claim date. Holidays and weekend are not included. For *Mega Millions* and *Powerball* winners, the payment can be made no sooner than 15 calendar days from the date of the draw (to allow funds to be received by MUSL) plus three business days for normal business processing.
58. For scratch ticket games, the payment options will be provided per the game rules. Options may include weekly, monthly, quarterly, annually, and/or CVO. Note: Win for Life recipients cannot be given the option for annual payments.

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59. Payments are made each Wednesday for weekly installments. No more than 52 weekly payments will be made per year.
60. Payments are made the first business day of the month for monthly installments. Note that the winner's anniversary date is based on the winner's claim date month. Monthly installments may have a different prize amount applied for the anniversary month of each year.
61. Payments are made the first business day of the calendar quarter (January, April, July, October) for quarterly installments.
62. Payments are made the first business day of the anniversary month of the claim for annual installments.
63. For annuity payments other than annual (weekly, monthly and quarterly) processed during the first year after the claim date, the "Account Type" in the payment details needs to be adjusted to "Initial Installment Payment" instead of "Annuity Payment" as soon as a payment is ready in ES, before it is in "Sent to Payment" status.
- 63.1. To update a payment, pull up annuity in ES using either SSN, Annuity ID, or Claim Form #.
- 63.2. Click on the "Associated Payments" tab and select the most recent Payment ID number with a status of "Ready for payment". Note: if the payment status shows "Sent to payment" the Account Type will not be able to be updated and General Ledger staff will need to make an adjusting entry.
- 63.3. The Payment Details screen will appear, select the "Initial Installment Payment" from the Account Type drop-down menu. Then select "Submit". Screen will show "Payment Details have been saved successfully".
- 63.4. To complete this change, click "Approve".
64. Instructions for a change in the recipient's bank information or address information must be received as an original request with a notarized signature of the authorized signer for the player (i.e., individual, trustee, partner, executor, etc.) as long as the player is still receiving payments. After all payments have been made to the player, the player does not have to provide written instructions with a notarized signature. Written instructions, email, or a telephone call is acceptable. If the player is still actively receiving payments, updates must be made to ES.
65. Official name change must be received as a legally binding instrument, such as a court order, in order for the commission to act upon the request. These documents must be reviewed and approved by Legal Services prior to being acknowledged by the Prize Payment staff. Updates must be made to ES.
66. IRS Forms W-2G or Forms 1042-S are issued according to the respective procedures. OC-TX-001 IRS Form W-2G Reporting Process and OC-TX-004 IRS Form 1042-S Reporting Process.
67. Four times a year, the vital status of the Win for Life players is verified. See Procedure OC-WP-008, Win for Life Confirmation.

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68. A player for *Lotto Texas*<sup>®</sup> may choose the Cash Value Option or 30 Annual Payments at the time of purchase.
69. A player for *Mega Millions* may choose the Cash Value Option or 30 Annual Payments at the time of purchase.
70. A player for *Powerball* may choose the Cash Value Option or 30 Annual Payments at the time of purchase.

Ref: Game Rules §401.302 Scratch Ticket Game Rules  
 Ref: Game Rules §401.304 Draw Game Rules  
 Ref: Game Rules §401.305 “Lotto Texas” Draw Game Rules  
 Ref: Game Rules §401.312 “Texas Two Step” Draw Game Rules  
 Ref: Game Rules §401.315 “Mega Millions” Draw Game Rules  
 Ref: Game Rules §401.317 “Powerball” Draw Game Rules

#### **Payment of Prizes Awarded to a Minor**

Ref: Texas Government Code, §466.405 Payment of Prizes Awarded To Minor

71. If a minor is entitled to prize money on a winning ticket in an amount of \$600 or more, payments to the minor may be made by depositing the amount of the prize in any bank to the credit of an adult member of the minor's family or of the minor's guardian as custodian for the minor. Payment by check is not an option.
72. If the prize is a non-cash prize, the minor may be entitled to receive the cash equivalent of the prize.
73. The Claim Center office will obtain the claim and direct deposit information and forward the paperwork to Office of the Controller.
74. If the value of the non-cash prize is unknown, research the working papers for the value. If the value is not included in the working papers, contact the Scratch Ticket Strategy Coordinator or the Scratch Ticket Production Coordinator in the Products Department.
75. The claims entry in ES should reflect the information for the minor in order to send the IRS Form W-2G to the proper player.
76. The direct deposit instructions should include the information for the adult member of the minor's family or the minor's guardian as custodian for the minor.

#### **Payments Upon the Death of a Prize Winner**

Ref: Game Rules §401.310 Payment of Prize Payments Upon the Death of Prize Winner

77. Notify Legal Services of a potential estate issue or change to the main representative of an entity.

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78. In the event of a winner's death, the remaining payments will be made to the estate of the deceased prize winner who claimed the prize as an individual. Legal Services can speak to the attorney or send a letter outlining the required documents.
79. The legal representative, family member or attorney for the prize winner should forward an original certified copy of the death certificate. Other documents such as a Will and/or Letters Testamentary that state the identity of the authorized representative for the estate should be forwarded. The estate should also forward an estate Taxpayer Identification Number and any change of bank or address information with the notarized signature of the representative for the estate.
80. Once all estate related paperwork has been reviewed and approved by Legal Services, the payment schedule of the individual should be updated to transfer payments from the original claimant to the estate of the claimant. The original claimant name should not be changed on the payment schedule.
81. In order to add estate information to ES, a new player record must be created. Once the information has been added, print the screen. This information will be needed further down in the procedure.

The screenshot shows a web application interface for creating a player record. At the top, there is a navigation bar with 'Home >' and a search box. Below that is a 'Create a Player' button. The form is divided into several sections:

- Individual / Entity:** Radio buttons for 'Individual' (selected) and 'Entity'.
- Personal Information:** Fields for \*First Name, \*Last / Entity Name, IRS Control Name, Suffix, Date of Birth (MM/DD/YYYY), SSN/FEIN, \*Citizen/Resident, and \*Tax Category (Resident with Tax ID).
- Contact Information:** Fields for Phone (h), Phone (m), \*Phone (w), Fax, and Email.
- Primary Address - Non-Validated:** Fields for \*Country (United States), \*Zip (+4), \*Street Name, Street Type, Unit Type, Unit No., Address 2, Address 3, \*State (Texas), and County. Includes a 'Validate Address' button.
- Mailing Address Non-Validated:** Similar fields to the primary address, with a 'Validate Address' button.
- Bank Information:** A table with columns: Routing Number, Bank Name, Account Type, Account Number, Account Holder, Enable (checkboxes for Debit, Credit), Default Acct (checkboxes for Debit, Credit), and Addenda. Includes an 'Add Account' button.
- Active Reason Codes / Available Reason Codes:** Sections at the bottom of the form.

82. The estate player record will then need to be linked to the original player record. Call up the original player record using the player's SSN or FEIN. Click on the tab "Associated Annuities".

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Home > [Redacted] go> Claim Form # Quick Search

Player Name: [Redacted] Player DOB: [Redacted] Home Phone: [Redacted] Primary Address: [Redacted]  
Tax Category: Resident with Tax ID Player SSN/FEIN: [Redacted] Work Phone: [Redacted] CLEVELAND, TX 77328  
Player ID: 10000068

[Edit Player](#) [Associated Claims](#) [Associated Annuities](#) [Associated Payments](#) [Associated Tax Liability \(5754\)](#) [Player History](#)

83. Click on the “Annuity ID” number.

Home > [Redacted] go> Claim Form # Quick Search

Player Name: [Redacted] Player DOB: 08/02/1936 Home Phone: [Redacted] Primary Address: [Redacted]  
Tax Category: Resident with Tax ID Player SSN/FEIN: [Redacted] Work Phone: [Redacted] CLEVELAND, TX 77328  
Player ID: 10000068

[Edit Player](#) [Associated Claims](#) [Associated Annuities](#) [Associated Payments](#) [Associated Tax Liability \(5754\)](#) [Player History](#)

Annuity ID	Status	Status D/T
400206	Active	08/30/1994

[Comments](#)

84. Click on the “Show Add Annuitant”. Use the screen print from step 81 to fill in the new information for the estate.

Home > [Redacted] go> Claim Form # Quick Search

Annuity ID: 400206 Prize Amount: \$19,461,819.94 Status: Active On 08/30/1994 00:00:01  
Claim ID: 400206 Created: PSANCONV On 08/30/1994 00:00:01

[Edit Annuity](#) [Net Assignments](#) [Life Assignments](#) [Annuity History](#)

**Annuity Details** Allow Termination  Terminate Annuity

Anniversary Date:	08/15/1994	First Payment Date:	08/30/1994	Guaranteed Number of Payments:	20
Annuity Type:	Jackpot	Draw Date:	08/27/1994	Disbursement Frequency:	Yearly
Total Number of Payments:	20	Remaining Payments:	2	Remaining Balance:	\$1,946,000.00
Amount Paid To Date:	\$17,515,819.94				
Insurance Company:	<input type="text"/>	Policy Number:	<input type="text"/>		

**Annuitant Details** [Show Add Annuitant](#)

[Redacted] (Show)  
Estate of [Redacted] (Show)

85. The estate information will appear under the original player’s name. An asterisk will appear next to the word (Show)\*. This change will need to be approved by management.

86. Upon approval, go to the bottom of the page and click on “Add Annuity Task”. Enter the information for the task in the area’s highlighted in screen shot below. Have management review the new annuity task.



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87. This is an overnight process, therefore, the next day review the change made to ES to ensure that all further payments will be going to the estate instead of the original player.

The screenshot shows a software interface with two main sections. The top section is titled 'Annuitant Details' and contains a redacted area with a 'Show' button. Below this is a section titled 'Annuity Tasks' which contains a table with the following columns: Id, Task, Court Order #, Court Order Type, From/To Annuitant, Start/End Date, Gross Amount, Note, Status, and Status D/T. A single row is visible in the table with the following data: Id: 37, Task: (dropdown), Court Order #: (dropdown), Court Order Type: Voluntary Assignment, From/To Annuitant: Choose From Annuitant / Choose To Annuitant, Start/End Date: (dropdown), Gross Amount: (dropdown), Note: (dropdown), Status: Pending, Status D/T: 01/23/2012. There are also buttons for 'Add Annuity Task' and 'Delete'.

### Involuntary Assignments

Ref: Game Rules §401.309 Assignability of Prizes and Game Rules §401.310 Payment of Prize Payments Upon the Death of Player

88. Pursuant to an appropriate judicial order under Texas Government Code, §466.406(c) that resolves a bona fide underlying controversy involving the player.
89. The petition must be reviewed for the appropriate historical information of the original prize, any previous assignments, and the proposed assignment.
90. Verification of the authorized authority to sign as an individual or on behalf of an entity or estate.
91. Once the petition and draft court order have been reviewed, an e-mail is sent to the assigned attorney in Legal Services to report any errors in the petition or to receive clarification.
92. Once the final court order has been reviewed and if everything appears to be correct, send an email to the assigned attorney to report that the review has been completed. If the information is not correct or any paperwork is missing, alert the assigned attorney that information is needed or needs to be corrected.

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93. Once approved by Legal Services, approval will be forwarded to Office of the Controller via acknowledge letter that will be placed in the winners file.
94. Updates to information in ES or any spreadsheets will need to be completed.
95. A new payment schedule will be printed to include the assignment information.
96. The original documents will be filed in the winner's file.
97. If the current payment is due, and no response has been received by Legal Services, steps may be taken such as, but not limited to, the list below:
  - Email the appropriate attorney for the status of the order.
  - Notify the appropriate attorney that a letter from the player's attorney should be sent to acknowledge that no payment is to be made until the issue is resolved.
  - Payment may be made to the order of the court as approved by Legal Services.
  - Notification of Intent to Legal Services. The notification should state the circumstances and why Prize Payment staff intends to or not to make the payment as described.
  - Placing payments on "Hold" in ES until assignment is finalized.
98. Follow steps 7-38 to process the assignment in ES.

### **Voluntary Assignments**

99. Pursuant to an order under Texas Government Code, §466.410 obtained by a player or an assignee of a player. Ref: Game Rules §466.410 Assignability of Prizes.
100. The petition must be reviewed for the appropriate historical information of the original prize, any previous assignments, and the proposed assignment.
101. Verification of the authorized authority to sign as an individual or on behalf of an entity or estate.
102. Once the petition and/or draft court order have been reviewed by both Prize Payment staff and management, an e-mail is sent to the assigned attorney in Legal Services to report any errors or to receive clarification.
103. General guidelines are as follows:
  - Assignment must be made to a "person" designated by an order of a district court of Travis County. The original certified copy will be maintained in the winner's file.
  - No more than three payees may be paid for any one prize made in any single payment period.
  - A \$500 administrative fee is required.
104. Verification of the final court order must also be reviewed for accuracy of information.
  - Original player's information
  - Prior assignments
  - Assigned payment information
  - Affidavits
  - Spousal consent

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- Release to Indemnify and Hold Harmless
- Receipt of the required fee

105. Assignment checklist is completed by Prize Payment staff and management when reviewing the petition, draft order, and final order.
106. Once the final court order has been reviewed and if everything appears to be correct, send an email to the assigned attorney to report that the review has been completed and the assignment fee has been received. If the information is not correct or any paperwork is missing, alert the assigned attorney that information is needed or needs to be corrected. Once approved by Legal Services, the original acknowledgement letter will be forwarded to Office of the Controller.
107. Update ES and any spreadsheets with assignment details as necessary.
108. A new payment schedule will be printed to include the assignment information.
109. The original documents will be filed in the winner's file.
110. Follow steps 7-37 to process the assignment in ES.

### Tax Liability 5754

111. If a winner presents Prize Payment staff with an IRS Form 5754, the Prize Payment staff reviews the form to ensure it was filled out completely and correctly and signed by the prize winner.
112. Claim is prepared using same steps for processing new winner beginning with step 5, but once the payment is created, click "Net Amount" and open the Payment screen.

Home > [Redacted] go> Claim Form # [Redacted] Quick Search

Claim ID: 12020822303 Claim Date: 02/08/2012 Created By: kstuckey Claim Type: Administrative  
 Status: Sent to Payment Claim Form # claim1 Reason Type: Previously Paid - Previously paid tickets

Reason Code:

Claim Summary Edit Claim Claim History Associated Annuities

**Tickets**

Ticket Number	Prod/ Game	Result	Sec/ Draw	Draw Date	Tier/ Div	Wager Amount	Type	Desc	Selling Retailer	Paying Retailer	Prize Value	Cash Eq	Cash Eq Value	Cash Payout
8034-039190276-15	MEGA	Rejected - Not a winner		01/01/1970	1	\$ 0.00	Cash		0	0	\$ 6,000,000.00			\$ 6,000,000.00
<b>Number of Tickets: 1</b>											<b>Total Prize Value: \$ 6,000,000.00</b>		<b>Total Cash Payout: \$ 6,000,000.00</b>	

**Claimants**

Name	Player ID	DOB	Number of Shares	Verified Citizen	Address Verification
Claim Test	100751245	[Redacted]	1.00	Yes	Non-Validated
<b>Totals:</b>			<b>1</b>		

**Payments**

Prize payments are shown after Claim is approved. Agency payments are shown after the Create Agency Payments scheduled process runs.

Payment ID	Payment Type	Payee	SSN/FEIN	Net Amount	Reconciled Amount	Status	Status Date	Payment Date	Check No.
100378684	Prize	Claim Test	[Redacted]	\$ 4,500,000.00		Ready for payment	03/02/2012	02/08/2012	

Comments [Redacted] Cancel

113. Select the "Tax Liability(5754)" tab.

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Payee: Player: [Claim Test](#) SSN: ██████████ Source : Payment Source Type Claim  
 Primary Address: ██████████ AUSTIN, TX, Tax Category: Resident with Tax ID SourceID : 12020822303  
 78757  
 Payment ID: 100378684

[Payment Details](#) [Tax Liability\(5754\)](#) [Payment History](#)

Reconciled	Status	Reason	Payable Date	Payment Type	Payment Method	Payment Date	User
\$	Ready for payment		02/08/2012	Prize	EFT		administrator
<b>Gross Amount:</b>							<b>\$ 6,000,000.00</b>

Account Type: Prize Payment Addenda

**Payer Lottery Bank Information**

Account Number	Account Type	Bank Name	Routing Number
██████████	Checking	Bank Of America	██████████

**Payee Player Bank Information**

Account Number	Account Type	Bank Name	Routing Number
██████████	Checking	bank test	██████████

**Taxes**

Identifier	Tax Type	System Calculated Amount	Additional Withholdings	Tax Amount
T8034-039190276-15/D0/B0	Federal (Cash)	\$ 1,500,000.00	\$ 0.00	\$ 1,500,000.00
<b>Total taxes:</b>				<b>\$ 1,500,000.00</b>

**Net Amount: \$ 4,500,000.00**

114. Add the additional prize recipients in ES as listed on Part II of the Form 5754.

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Payee: Player: **Claim Test**      SSN: [REDACTED]      Source : Payment Source Type Claim  
Primary Address: [REDACTED] AUSTIN, TX      Tax Category: Resident with Tax ID      SourceID : 12020822303  
78757  
Payment ID: 100378684

**Payment Details**      **Tax Liability(5754)**      **Payment History**

**Prizes**

Identifier	Exemption Amount	Amount Won
T8034-039190276-15/D0/B0	\$ 0.00	\$ 6000000.00
<b>Total prizes:</b>		<b>\$ 6,000,000.00</b>

**Taxes**

Identifier	Tax Type	System Calculated Amount	Additional Withholdings	Tax Amount
T8034-039190276-15/D0/B0	Federal (Cash)	\$ 1,500,000.00	\$ 0.00	\$ 1,500,000.00
<b>Total taxes:</b>				<b>\$ 1,500,000.00</b>

Individual     Entity

\*Last / Entity Name: \_\_\_\_\_    IRS Control Name : \_\_\_\_\_  
\*First Name: \_\_\_\_\_    MI: \_\_\_\_\_    Suffix: \_\_\_\_\_  
Country: United States    Zip: \_\_\_\_\_    +4: \_\_\_\_\_  
Street No: \_\_\_\_\_    Street Name: \_\_\_\_\_    Street Type: \_\_\_\_\_  
Unit Type: \_\_\_\_\_    Unit No: \_\_\_\_\_    Address 2: \_\_\_\_\_  
City: \_\_\_\_\_    State: \_\_\_\_\_  
County: \_\_\_\_\_  
\*SSN/FEIN: [REDACTED]    Date of Birth: \_\_\_\_\_    Citizen: \_\_\_\_\_    Tax Category: Resident with Tax ID  
Phone (h): \_\_\_\_\_

Name	Player ID	SSN/FEIN	DOB	Address Verification
<input type="checkbox"/> <b>JOE BOX</b>	100583570	[REDACTED]	[REDACTED]	Non-Validated
Identifier T8034-039190276-15/D0/B0		Amount Won [REDACTED]		\$ 0.00
<b>Total Amount Won: \$</b>				<b>Total Liability Amount: \$</b>

115. Once the recipient has been added, enter the Gross Amount of their portion of the winnings in “Amount Won”. Select “Update”.
116. When all recipients have been added, select “Submit”. The message “Tax Liability payee updated successfully” will appear at top.

**Tax Liability payee updated successfully.**

**Prizes**

Identifier	Exemption Amount	Amount Won
T8034-039190276-15/D0/B0	\$ 0.00	\$ 6000000.00
<b>Total prizes:</b>		<b>\$ 6,000,000.00</b>

**Taxes**

Identifier	Tax Type	System Calculated Amount	Additional Withholdings	Tax Amount
T8034-039190276-15/D0/B0	Federal (Cash)	\$ 1,500,000.00	\$ 0.00	\$ 1,500,000.00
<b>Total taxes:</b>				<b>\$ 1,500,000.00</b>

117. The original prize winner/claimant and the additional tax liability payees will be sent W-2Gs at year end.

### Second-chance Winner Processing for Non-Cash Prizes

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118. Second-chance Winner Listings are posted on the website with the corresponding scratch ticket game.
119. The claimant will be contacted by Claim Center staff about the non-cash prize and will be sent to the closest Claim Center to complete the Claim Form. The Claim Center will complete the Claim Form and forward to the Prize Payment staff.
120. A second-chance drawing of a non-cash prize is not validated by the Claim Center because the ticket is not actually a winning ticket and therefore does not contain validation verifications.
121. If the winner owes any debts to other agencies, the winner must pay the debt prior to receiving the prize or the prize is forfeited and an alternate winner is chosen.
122. Once the Claim Form is received, Prize Payment staff will process the claim in ES.
123. Open and print a copy of the “Prize Amount By Game” tab that relates to the game being processed from [REDACTED]. Highlight the prize that relates to the claim. Include a copy in the work papers with the Claim Form. The Gross Amount of the prize is entered in ES during step 128 below.
124. If player has not been set up in ES by Claim Center staff, set up player in ES.
125. All non-cash claims are processed in ES as Administrative/Non-Cash claims by choosing the correct drop-down box after entering the “Create Claim” screen. Enter the Claim Form # which is located on the top-right corner of the Claim Form. Then select Instant (Manual) button and enter the ticket number.

126. Once the ticket number is entered and the “Add” button is selected, review to ensure tickets reads “Rejected – Not a winner status” under the Results section. This message indicates that the ticket number was correct.

**Note:** If “Bad Check Digits” error message is displayed in the Results section after entering the ticket number, contact the Claim Center staff that e-mailed the claim to be processed. This error message indicates that there is an issue with the ticket number provided and will need to be verified and corrected in ES before continuing to process the claim.

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127. Select “Merchandise” as “Type” of prize and write brief description of prize won in the “Desc” (description) box.
128. Enter the Gross Amount of the prize won in the Prize Value and Cash Eq Value box and then select “Update”.
129. Within the “Claimants” section, enter the Social Security Number and press Enter. This will bring up the player information in a new window. Select the radio button next to the winner’s name and select “Continue”. Verify the citizenship by clicking on the check box and selecting “Update”. Review all data for correctness and press “Submit”.

Ticket Number	Prod/ Game	Result	Sec/ Draw	Draw Date	Tier/ Div	Wager Amount	Type	Desc	Selling Retailer	Paying Retailer	Prize Value	Cash Eq Value	Cash Eq Value	Cash Payout
<b>Claimants</b>														
<input checked="" type="radio"/> Individual <input type="radio"/> Entity														
*Last/Entity Name: <input type="text"/> IRS Control Name: <input type="text"/>														
*First Name: <input type="text"/> M.I.: <input type="text"/> Suffix: <input type="text"/>														
Country: <input type="text"/> United States   Zip: <input type="text"/> +4: <input type="text"/>														
Street No: <input type="text"/> Street Name: <input type="text"/> Street Type: <input type="text"/>														
Unit Type: <input type="text"/> Unit No: <input type="text"/> Address 2: <input type="text"/>														
City: <input type="text"/> State: <input type="text"/> Texas														
County: <input type="text"/>														
*SSN/FEIN: <input type="text"/> Date of Birth: <input type="text"/>														
*Citizen/Resident: <input type="text"/> Tax Category: <input type="text"/> Resident with Tax ID <input type="checkbox"/> Tax Treaty														
Phone (h): <input type="text"/>														

Upon submission, the screen will show “Claim created successfully”. Print a screen shot, and give this page, as well as the copy of the Claim Form and the prize value calculations, to management for approval.

130. Management will review the claim against the “Outstanding deposits” spreadsheet to ensure claim ties to winner list for game by prize type. File is located at [REDACTED] [REDACTED] Spreadsheet is updated with the approval date of the claim. Claim is approved in ES and returned to Prize Payment staff.
131. Upon management’s approval of claim, search for the Claim ID in ES and click on the blue “Net Amount” prize value. This will open up the payment screen from where the tax document is printed. Print the tax document and mail it to the winner. Print a screen shot that shows the “Check printed successfully” and staple to the approved screen shot and Claim Form copy for filing.
132. Once the tax documents have been created, send an e-mail to appropriate OC and Claim Center staff letting them know that the Non-Cash Claims have been approved by OC. Be sure to include the game name and number, the draw number, and the name of the second-chance winners that were processed.

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Welcome dcollins - Last Accessed Time is: Mon Feb 06 2012 03:22:58 PM CST

Account Preference | Label Center | Logout

Home > [redacted] go> Claim Form # [redacted] Quick Search

Claim ID: 12011344366 Claim Date: 01/13/2012 Created By: dcollins Claim Type: Administrative  
 Status: Sent to Payment Claim Form # 20316923 Reason Type: Non-Cash - non-cash prizes

Reason Code:

Claim Summary Edit Claim Claim History Associated Annuities

**Tickets**

Ticket Number	Prod/ Game	Result	Sec/ Draw	Draw Date	Tier/ Div	Wager Amount	Type	Desc	Selling Retailer	Paying Retailer	Prize Value	Cash Eq	Cash Eq Value	Cash Payout
1365-88259-68-0039994899	COWBOY	Rejected	1012		0	\$ 5.00	Merchandise	Season Tickets	45870800	0	\$ 13,331.67	No	\$	\$ 0.00

Number of Tickets: 1 Total Prize Value: \$ 13,331.67 Total Cash Payout: \$ 0.00

**Claimants**

Name	Player ID	DOB	Number of Shares	Verified Citizen	Address Verification
[redacted]	100771072	[redacted]	1.00	Yes	Non-Validated
Totals:			1		

**Payments**

Prize payments are shown after Claim is approved. Agency payments are shown after the Create Agency Payments scheduled process runs.

Payment ID	Payment Type	Payee	SSN/FEIN	Net Amount	Reconciled Amount	Status	Status Date	Payment Date	Check No.
100491194	Merchandise	[redacted]	[redacted]	\$ 10,000.00		Sent to payment	01/13/2012	01/13/2012	571
100491060	Tax	IRS NON CASH		\$ 13,326.68		Sent to payment	01/13/2012	01/13/2012	

Comments Cancel

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Welcome dcollins - Last Accessed Time is: Mon Feb 06 2012 03:42:08 PM CST

Account Preference | Label Center | Logout

Home > [redacted] go> Claim Form # [redacted] Quick Search

Payee: Player: [redacted] Edit SSN: [redacted] Source: Payment Source Type Claim  
 Primary Address: [redacted] DR, DEL RIO, TX, 78840 Tax Category: Resident with Tax ID SourceID: 12011344366  
 Payment ID: 100491194

Payment Details Payment History

Reconciled	Status	Reason	Payable Date	Payment Type	Payment Method	Payment Date	User
\$	Sent to payment		01/13/2012	Merchandise	Voucher	01/13/2012	kstuckey
Gross Amount:							\$ 13,331.67

Account type: Prize Payment Addenda [redacted] Select Printer: CONTROLLER-AUSTIN Reprint Tax Document

**Payer Lottery Bank Information**

Account Number	Account Type	Bank Name	Routing Number
[redacted]	Checking	Bank Of America	[redacted]

**Payee Payer Bank Information**

Account Number	Account Type	Bank Name	Routing Number
[redacted]			

**Taxes**

Identifier	Tax Type	System Calculated Amount	Additional Withholdings	Tax Amount
[redacted]	Federal (Non-cash)	\$ 3,331.67	\$ 0.00	\$ 3,331.67
Total taxes:				\$ 3,331.67
Net Amount:				\$ 10,000.00

Comments Void Submit Reset Cancel

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### Second-chance Winner Processing For Cash Prizes

- Follow Steps 118-130 for processing of second-chance cash prizes with the exception of Step 121. A debt set-off can be deducted from a cash prize.



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134. Upon management approval, an e-mail is sent to Claim Center staff for them to print the check and mail to the winner. The Claim Center should process the payment to the second-chance winner on the same day it is processed in ES.