

**Tennessee Sports Wagering Council Post-License Report and Submission Requirements
(last updated 12-14-23)**

Report/Submission	Frequency	Comments/Submission Instruction	Reference
LICENSEE			
Any change in status that may disqualify Licensee from holding License	Within 24 hours of knowledge	Mary.Beth.Thomas@tn.gov	Tenn. Code Ann. § 4-49-117(h)
All changes to its key personnel, including: a statement as to any conflict of interest that may exist; any information relating to name, home address, and date of birth of any new Key Personnel; potential purchase or sale, transfer, assignment, gift or donation, or other disposal or acquisition of 5% or more ownership of Licensee; resignation, termination, removal, or departure of any Key Personnel	Within 3 business days of the change	Mary.Beth.Thomas@tn.gov	Tenn. Code Ann. § 4-49-124(b); Rule 1350-01.07(14)(b)
Petition for approval of new Sporting Event upon which Wagers may be placed or accepted	72 hours before offering	SWAC.Gaming@tn.gov	Rule 1350-01-.03(8); Rule 1350-03-.09(2)
Any amendments to Responsible Gaming Plan for approval	45 days before proposed effective date of any changes	SWAC.Licensing@tn.gov	Rule 1350-01-.06(9)
If reserve is not sufficient to cover calculated requirement, notify and indicate steps Licensee has taken to remedy any deficiency	Within 24 hours	SWAC.Licensing@tn.gov and Mary.Beth.Thomas@tn.gov	Rule 1350-01-.07(1)(d)

This is a summary of report and submission requirements. Please be sure to refer to the Sports Gaming Act (Tenn. Code Ann. §§ 4-49-101 *et seq.*) and the SWC Rules (Chapters 1350-01, 1350-02, and 1350-03) for complete requirements.

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Any changes to methodology for verifying age of Bettor or any change of any Vendor or provider that provides age verification services	Within 10 days of change	SWAC.Licensing@tn.gov	Rule 1350-01-.07(8)(b); Rule 1350-03-.11(3)
Any changes to methodology for determining whether or not Player is ineligible due to his/her inclusion in one or more classes of Prohibited Participants in the Sports Gaming Act	Pursuant to the change management provisions in Rule 1350-03-.02, by submitting the change management log to the Executive Director on the 15 th day following the close of each calendar quarter	Mary.Beth.Thomas@tn.gov	Rule 1350-01-.07(9)(b)
Report Unusual or Suspicious Wagering activity	In accordance with Licensee's approved procedures	SWAC.Gaming@tn.gov and to Licensee's Integrity Monitoring Provider	Rule 1350-01-.07(10)(a); Rule 1350-03-.06(1)
Notify if previously reported Unusual Wagering Activity rises to level of Suspicious Wagering Activity or if Licensee identifies Suspicious Wagering Activity	Within 24 hours of knowledge	Mary.Beth.Thomas@tn.gov	Rule 1350-01-.07(10)(d); Rule 1350-03-.06(2)
Notify if suspending or canceling Wagering on Events related to Suspicious Wagering Activity	Within 24 hours of knowledge	Mary.Beth.Thomas@tn.gov	Rule 1350-01-.07(10)(e)

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<p>Report any information relating to: 1. Criminal or disciplinary proceedings or nonroutine government or law enforcement investigations commenced against Licensee in connection with operations in any jurisdiction; 2. Unusual or Suspicious Wagering Activity, including activities reported to federal government pursuant to AML laws and regulations and Wagers placed to conceal or launder funds derived from illegal activity; 3. Any potential or actual breach of sports governing body's internal rules and code of conduct pertaining to sports wagering that is known or reasonably should have been known to Licensee; 4. Cheating, including wagering activities or patterns that may indicate concern with integrity of Sporting Event; 5. Conduct that corrupts, is intended to corrupt, or unduly influences betting outcome of Sporting Event for purpose of financial gain, including match fixing; and 6. An agent or proxy placing a Wager on behalf of another Person, or the use of false identification</p>	<p>Within 24 hours of knowledge</p>	<p>Mary.Beth.Thomas@tn.gov; also report to relevant sports governing body and provide written notice of same to Mary.Beth.Thomas@tn.gov</p>	<p>Tenn. Code Ann. § 4-49115(b) and (c); Rule 1350-01-.03(10)(c); Rule 1350-01-.07(11)(h)</p>

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Provide electronic copies of all advertising, marketing, and promotional materials	Within 5 business days following their publication, distribution, or airing to the public	SWAC.Gaming@tn.gov	Rule 1350-01-.07(12)(a)
Report of number of individuals who requested to exclude themselves from ability to participate in Interactive Sports Gaming on Sports Gaming System	Monthly	SWAC.Tech@tn.gov	Rule 1350-01-.07(13)(b)
Amendments to House Rules for approval	No less than 10 days prior to their proposed implementation	SWAC.Licensing@tn.gov	Rule 1350-01-.07(15)(a)
Provide evidence that geolocation system is updated to latest version every 180 days or provide access to geolocation system (or a dashboard or application utilized by the geolocation system Vendor) so that compliance can be independently verified by the Council	Provide evidence of update at least every 180 days or provide Council access to system or dashboard	SWAC.Tech@tn.gov	Rule 1350-01-.07(17)(c); Rule 1350-03-.12(19)
Report any known violations or incidents of noncompliance with any part of Rules 1350-03-.01 through .13 re: Minimum Internal Controls	Within 24 hours of knowledge	Mary.Beth.Thomas@tn.gov	Rule 1350-03-.12(22)
Notice of proposed change of control upon entering into an oral or written agreement regarding the proposed change of control	Within 24 hours of knowledge	Mary.Beth.Thomas@tn.gov and SWAC.Licensing@tn.gov	Rule 1350-01-.13(2)

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Notify upon discovery and knowledge of any violation or non-compliance with AML compliance program, policies and procedures; AML laws or regulations; any regulatory compliance program, policies and procedures; or any law or regulation governing Licensee in any jurisdiction, including Tennessee	Within 24 hours of knowledge	Mary.Beth.Thomas@tn.gov	Rule 1350-03-.08(2)
Record and generate reports on Wagers exceeding \$10,000; futures Wagers; Sports Gaming Account activity, including Sports Gaming Account number, transaction, and transaction amount, including deposit amounts withdrawal amounts, winnings and Wagers made; and changes in odds, Wager cutoff times, Event data, or Sporting Event results	Daily	Upon request	Rule 1350-03-.12(15)
SYSTEM			
Change management log listing changes to Sports Gaming System	on the 15th day following the close of each calendar quarter	Mary.Beth.Thomas@tn.gov	Rule 1350-03-.02(3)

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Report all incidents related to information systems security, which may compromise confidentiality, integrity, or availability of Sports Gaming System, or involving Player PII	Within 24 hours of knowledge	Mary.Beth.Thomas@tn.gov	Rule 1350-03-.04(2)(d)4.
Report any discrepancies in date and time display in Sports Gaming System	Within 24 hours of knowledge	Mary.Beth.Thomas@tn.gov	Rule 1350-03-.12(1)
AUDITS			
Pay privilege tax of 1.85% of Gross Handle; submit report showing Gross Handle, deductions taken in accordance with Rule 1350-01-.07(6)(d), and the total amount of privilege tax owed by the Licensee	No later than the 5th business day of following month	Transfer funds to Council and submit report to SWAC.Accounting@tn.gov	Tenn. Code Ann. § 4-49-104(c); Rule 1350-01.07(6)
Report privilege tax calculation over a daily, weekly, and monthly period, in a manner determined by the Council	Daily, weekly, and monthly	SWAC.Accounting@tn.gov	Rule 1350-01-.07(4)
Report any material internal audit findings to management within ten days of the finding. Report any non-material internal audit findings to management within ten days of the finding validation.	Within 10 days	Report to Licensee's management	Rule 1350-03-.04(2)(c)8.

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(If necessary) Report on corrective measures taken to avoid recurrence of audit exceptions	Simultaneously with or within 10 days of internal audit noncompliance report	SWAC.Licensing@tn.gov	Rule 1350-03-.04(2)(c)9.
(If necessary) Report authentication failure	Within 24 hours	SWAC.Tech@tn.gov	Rule 1350-03-.13

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