

Tennessee Sports Wagering Council Post-License Report and Submission Requirements
(last updated 7-8-25)

Report/Submission	Frequency	Comments/Submission Instruction	Reference
LICENSEE			
Any change in status that may disqualify Licensee from holding License	Within 48 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	SWAC.Licensing@tn.gov	Tenn. Code Ann. § 4-49-124(b); Rule 1350-01-.07(13)(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(8)
If reserve is not sufficient to cover calculated requirement for two consecutive business days, notify and indicate steps Licensee has taken to remedy any deficiency	Within 24 hours	Submit via Kaseware Licensee Portal (Appropriate Entry=Compliance; Which Form?=SWC Reserve Balance Deficiency Reporting)	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.

Tennessee Sports Wagering Council Post-License Report and Submission Requirements
(last updated 7-7-25)

Report/Submission	Frequency	Comments/Submission Instruction	Reference
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(7)(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	SWAC.Tech@tn.gov	Rule 1350-01-.07(8)(b)
Report Unusual or Suspicious Wagering activity	In accordance with Licensee's approved procedures	Submit via Kaseware Licensee Portal (Appropriate Entry=Suspicious Activity Reporting) and to Licensee's Integrity Monitoring Provider	Rule 1350-01-.07(9)(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 48 hours of knowledge	Submit via Kaseware Licensee Portal (If previously reported, provide additional information by selecting Appropriate Entry=More Information Required. If newly identified Suspicious Wagering Activity, Appropriate Entry=Suspicious Activity Reporting) and Mary.Beth.Thomas@tn.gov	Rule 1350-01-.07(9)(d); Rule 1350-03-.06(2)
Notify if suspending or canceling Wagering on Events related to Suspicious Wagering Activity	Within 48 hours of knowledge	Mary.Beth.Thomas@tn.gov	Rule 1350-01-.07(9)(e)

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.

Tennessee Sports Wagering Council Post-License Report and Submission Requirements
(last updated 7-8-25)

Report/Submission	Frequency	Comments/Submission Instruction	Reference
Report (a) The total number of Licensee's Sports Gaming Accounts created in Tennessee that have passed KYC and been activated as of the date of the report; and (b)The total number of Licensee's Sports Gaming Accounts created in Tennessee that Licensee suspended at any time for any reason during the prior month (whether or not those Sports Gaming Accounts are still suspended as of the date of the report). If an account is suspended more than once in a month, it should just be counted as one suspension in the report.	Monthly	SWAC.TN@tn.gov	Rule 1350-03-.06(6)

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.

Tennessee Sports Wagering Council Post-License Report and Submission Requirements
(last updated 7-7-25)

Report/Submission	Frequency	Comments/Submission Instruction	Reference
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	Within 48 hours of knowledge	Submit via Kaseware Licensee Portal (For 1., Appropriate Entry=Compliance; Which Form?=Criminal or Disciplinary Proceedings of Investigations Reporting Form. For 2.-6., Appropriate Entry=Suspicious Activity Reporting) and Mary.Beth.Thomas@tn.gov; also report to relevant sports governing body and provide written notice of same to Mary.Beth.Thomas@tn.gov	Tenn. Code Ann. § 4-49-115(b) and (c); Rule 1350-01-.03(10)(c); Rule 1350-01-.07(10)(h)

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.

Tennessee Sports Wagering Council Post-License Report and Submission Requirements
(last updated 7-8-25)

Report/Submission	Frequency	Comments/Submission Instruction	Reference
Licensee shall provide electronic copies of all advertising, marketing, and promotional materials developed by a Licensee or by a Vendor on behalf of the Licensee.	Within 5 business days following their publication, distribution, or airing to the public	SWAC.Gaming@tn.gov	Rule 1350-01-.07(11)(a)
Vendors who advertise, market, or offer promotions on behalf of more than one Licensee or without affiliation to any Licensee shall 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(11)(a)
Licensees and Vendors may also submit advertising, marketing, and promotional materials in advance of publication, distribution, or airing to the public	At least 48 hours in advance of publication, distribution, or airing to the public	SWAC.Gaming@tn.gov	Rule 1350-01-.07(11)(a)
Provide list of individuals who have requested placement on the Licensee-Specific Self-Exclusion List (even if the list contains zero individuals)	No less than once per week	SWAC.Tech@tn.gov	Rule 1350-01-.07(12)(a)
Report both number of individuals who requested Voluntary Self-Exclusion through the Licensee-Specific Self-Exclusion List and number of individuals Licensee processed from Statewide Self-Exclusion List	Monthly	SWAC.Tech@tn.gov	Rule 1350-01-.07(12)(b)

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.

Tennessee Sports Wagering Council Post-License Report and Submission Requirements
(last updated 7-7-25)

Report/Submission	Frequency	Comments/Submission Instruction	Reference
Submit amendments to House Rules for approval	No less than 10 business days prior to their proposed implementation	SWAC.TN@tn.gov	Rule 1350-01-.07(14)(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(16)(c)
Submit material changes to Internal Control Standards. Submit a redline when seeking review and approval of material changes to Internal Control Standards and new certifications consistent with Rule 1350-01-.05(3)(d). Submit a clean copy of revised Internal Control Standards after approval.	No less than 10 business days prior to their proposed implementation	SWAC.TN@tn.gov	Rule 1350-01-.07(15)
Submit material changes to Terms and Conditions for approval not less than ten (10) business days prior to their proposed implementation. Submit a redline when seeking review and approval of material changes to Terms and Conditions, and submit a clean copy of revised Terms and Conditions after approval.	Not less than 10 days prior to proposed implementation	SWAC.TN@tn.gov	Rule 1350-01-.07(17)

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.

Tennessee Sports Wagering Council Post-License Report and Submission Requirements
(last updated 7-8-25)

Report/Submission	Frequency	Comments/Submission Instruction	Reference
Report any known violations or incidents of noncompliance with any part of Rules 1350-03-.01 through .13 re: Minimum Internal Controls	Within 48 hours of knowledge	Submit via Kaseware Licensee Portal (Appropriate entry=Compliance; Which Form?=SWC General Compliance Incident) and Mary.Beth.Thomas@tn.gov	Rule 1350-03-.12(20)
Notice of proposed change of control upon entering into an oral or written agreement regarding the proposed change of control	Within 48 hours of knowledge	Mary.Beth.Thomas@tn.gov and SWAC.Licensing@tn.gov	Rule 1350-01-.13(2)
Submit report 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. If there is nothing to report, the Licensee does not have to submit such a report.	Monthly	Submit via Kaseware Licensee Portal (Appropriate Entry=Compliance; Which Form?=SWC Rule 1350-03-.08(2) Reporting Form)	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	Upon request	As requested	Rule 1350-03-.12(14)

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.

Tennessee Sports Wagering Council Post-License Report and Submission Requirements
(last updated 7-7-25)

Report/Submission	Frequency	Comments/Submission Instruction	Reference
SYSTEM			
Submit change management log listing changes to Sports Gaming System	on the 15th day following the close of each calendar quarter	SWAC.Tech@tn.gov	Rule 1350-03-.02(3)
Report all incidents related to information systems security, which may compromise confidentiality, integrity, or availability of Sports Gaming System, or involving Player PII	Within 48 hours of knowledge	Submit via Kaseware Licensee Portal (Appropriate Entry=Compliance; Which Form?=SWC Technical Incident Reporting) and 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 48 hours of knowledge	Submit via Kaseware Licensee Portal (Appropriate Entry=Compliance; Which Form?=SWC Technical Incident Reporting) and 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)
Provide reports documenting all performed internal audits	Within 10 days of completion	SWAC.Licensing@tn.gov	Rule 1350-03-.04(2)(c)4.
(if necessary) Provide results of investigation and resolutions of material exceptions resulting from internal audit work	Within 10 days of the resolution of the exception	SWAC.Licensing@tn.gov	Rule 1350-03-.04(2)(c)5.

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.

Tennessee Sports Wagering Council Post-License Report and Submission Requirements
(last updated 7-8-25)

Report/Submission	Frequency	Comments/Submission Instruction	Reference
(if necessary) 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)6.
(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)7.
(If necessary) Licensee's Information Systems Officer or equivalent designee shall report authentication failure	Within 48 hours of knowledge	SWAC.Tech@tn.gov	Rule 1350-03-.13

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.