

**TENNESSEE SPORTS WAGERING
COUNCIL**

**TENNESSEE SPORTS
GAMING OPERATOR
SUPPLEMENTAL FORM**

DATE OF COMPLETION

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Last updated
12/12/23

INITIALS_____

Tennessee Sports Wagering Council Sports Gaming Operator Supplemental Form

This Tennessee Sports Wagering Council ("SWC") Sports Gaming Operator Supplemental Form is additional to any personal or business disclosure form and applies only to those seeking a License as a Sports Gaming Operator.

Every question must be answered completely, accurately, and legibly. If a question is not applicable, indicate by replying, "N/A" or "Does Not Apply." Only respond to a question with "Unknown" if substantial effort is made to obtain the response. If the response space to a question is insufficient or if additional details are necessary to adequately respond to the question, attach an additional page that clearly references the question being answered.

If this form or any other form or document required or requested to be submitted as part of the application is not legible or incomplete, the application will be deemed **incomplete** and returned to the applicant. Any portion of an application that is incomplete and not corrected within five (5) days of notice sent to the email address or telephone number on file constitutes an **incomplete** application and will be returned to the applicant. It is the burden of the applicant to notify the SWC of any change in email address or telephone number.

Once a complete application is submitted and accepted as complete, it cannot be withdrawn without approval of the SWC.

Applications are confidential pursuant to Tennessee law, except as necessary in the administration of the Sports Gaming Act or policies, rules, or regulations promulgated thereunder by the SWC or pursuant to a lawful court order. Nevertheless, an applicant or licensee waives any liability of the State of Tennessee, the SWC, or any representatives, agents, or employees thereof for any damages resulting from the disclosure or publication in any matter, except if made willfully and unlawfully. Any application form, document, or information provided to the SWC as part of the application remains the property of the SWC and will not be returned to the applicant.

Upon submitting this form, you certify that you have responded truthfully and have not made **ANY MISREPRESENTATION, MISLEADING STATEMENT, OR OMISSION, OR FAILED TO STATE A MATERIAL FACT** in this form or any other form, document, or submission of information that is part of the application. Such action may be cause for denial of the application or grounds for disciplinary action upon discovery that such action was taken during the application process.

1. Entity and dba/trade name of applicant:

2. When do you anticipate or propose commencing operations in the State of Tennessee?

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3. Types of wagers you propose to offer as a Sports Gaming Operator. Check all boxes that apply.

- Spread Betting
- Fixed-Odds
- Pari-Mutuel Sports Gaming
- Parlay
- Money Line
- Proposition
- Future
- Live
- Pool
- Other: _____
- Other: _____

4. Provide a list of all sports you propose to offer and accept wagers on as a Sports Gaming Operator. The list must identify the classification of sport, sanctioning organization governing body, and summary of integrity safeguards, measures, and practices for the sport or sporting event. If offering pari-mutuel sports gaming, identify the disseminator and any third-party provider for pool operations.

NOTE: Sporting events upon which wagers are accepted must be overseen by a sanctioning organization or independent organization that oversees integrity of events. The SWC has full and absolute discretion to limit the sports or events upon which wagers may be accepted. Wagering may be restricted to a limited number of events (e.g., Olympics, e-sports, or college athletics) at the full and absolute discretion of the SWC.

5. Provide the identity of the entity's responsible contact serving as key personnel over sports gaming operations in the State of Tennessee. The individual must submit an application for suitability as provided by Tennessee laws and regulations.

Name: _____

Home Address: _____

Date of Birth: _____

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Mobile/Cell Number: _____

If this responsible contact does not have authority to engage in direct communications with the SWC on matters relating to sports gaming, provide the identity of the entity's responsible regulatory contact over sports gaming operations in the State of Tennessee.

Name: _____

Home Address: _____

Date of Birth: _____

Mobile/Cell Number: _____

6. Provide an estimate of the privilege tax revenue to be generated by the Applicant for the first three (3) years of operation in the State of Tennessee.

7. Provide any research, analysis, reports, data, or other information with projections on the amount of annualized gross revenue; estimated new capital investment; and scientific or market research performed by the Applicant or its contractors to show the economic benefit to the State of Tennessee the Applicant will provide.

8. Provide an organizational chart reflecting individuals who have the power to exercise significant influence over sports wagering in Tennessee, whether or not physically located in Tennessee, and who are associated with the Applicant as (a) a principal owner of more than 5% of the Applicant; (b) a partner of the Applicant, voting member on the board of directors of the Applicant, or an officer of the Applicant; or (c) an employee of the Applicant who principally oversees wagering activity, risk management, platform management, or integrity monitoring. The organizational chart should be supplemented with a list that includes the name, home address, date of birth, and title and summary of duties and responsibilities of those identified on the chart.

9. Will the applicant have any physical location presence in the State of Tennessee?
 Yes No

If the answer is "Yes," provide a summary of each physical location, purpose and nature of location presence, and number of key personnel, employees, contractors, or other agents or representatives stationed at the location.

Provide copies of any agreements or contracts as part of any partnership, joint venture, or arrangement to occupy any space or portion of premises for the purposes of sports gaming operations.

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10. Provide a customer service phone number and e-mail address for responding to public and patron inquiries and questions originating from the State of Tennessee or relating to sports gaming operations in the State of Tennessee.
11. Will the applicant offer complimentaries, bonuses, free play, refunds or discounts, rebates, or other promotions for customers or potential customers?

Yes No

If the answer is "Yes," provide a copy of the policies, procedures, terms, and rules of any such program or promotion and a list of key personnel, employees, contractors, or other agents or representatives with authority to offer, approve, or oversee complimentaries, bonuses, free play, refunds or discounts, rebates, or other promotions.

12. Will the applicant offer a customer rewards or loyalty program for sports gaming in the State of Tennessee?

Yes No

If the answer is "Yes," provide the terms and conditions of the rewards program and summary of sports gaming activity required to participate, types of rewards and benefits awarded, and how rewards and benefits are earned and awarded. Provide a summary of how a customer enrolls in the program, monitors activity, and closes a rewards account, the security and privacy policies and procedures to protect customers enrolled in the program, and any other relevant information. If a bettor enrolls in this customer rewards or loyalty program for sports gaming in the State of Tennessee, do you auto-enroll the bettor in any other rewards programs? If yes, how is information shared among those programs?

13. Regarding any sports gaming account for customers in the State of Tennessee, provide the following:

- (a) Minimum deposit required to establish an account
- (b) Summary of terms, conditions, and procedures for establishing an account
- (c) Policies, procedures, or mechanisms for ensuring wagers are made in the State of Tennessee from accounts that are commingled with accounts in other jurisdictions where sports gaming is legal (e.g., shared wallet).
- (d) Procedures, processes, and mechanisms to prevent wagers from accounts being established and wagers being made by Minors.

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- (e) Methods for performing identification verification, due diligence, and know-your-customer reviews for accounts and transactions
- (f) Terms and conditions for customer sports gaming account
- (g) Customer privacy and security policies
- (h) Procedures and processes for depositing funds, including the types or forms of funds accepted
- (i) Procedures and processes for withdrawing funds, including the types or forms of payments allowed and anticipated time between request to withdraw and receipt of funds by customer
- (j) Procedures and processes for closing an account, including how any funds balance will be disbursed or returned to the customer and anticipated time between request or notice to close account and receipt of funds by customer.

14. Notwithstanding a patron's use of responsible gaming tools, will the applicant's House Rules offer the same maximum wager limits for all patrons for all wagering markets offered in Tennessee? If the applicant intends to provide lower maximum wager amounts for certain patrons, provide information regarding the method by which the applicant will identify and select certain patrons to have lower maximum wager limits, including information on how the new maximum wager amount is determined.

15. Provide a copy of the notice supplied to customers about restrictions on wagers. Identify any restrictions on wagers that are in addition any restrictions or prohibitions provided by the laws or regulations of the State of Tennessee.

16. Will the applicant accept or place layoff wagers in accordance with State of Tennessee and federal law?

Yes No

If the answer is "Yes," provide a summary of plans to accept or place layoff wagers, agreements with sports gaming operators in Tennessee to accept or place layoff wagers, and mechanisms to ensure that layoff wagers remain intrastate to comport with federal law.

17. Provide a summary of the risk management, odds making, and line monitoring and setting processes and procedures for the applicant, including the use and extent of global risk management. Include a list of Key Personnel, employees, contractors, or other agents or representatives assigned to manage risk, create odds, and set lines for sports gaming in the State

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of Tennessee. The list must include the name, home address, date of birth, location where such activity occurs, title and summary of duties and responsibilities, and whether the person has authority to adjust lines.

The summary must include how opening lines are established and what sources are used to establish opening lines.

Provide copies of any agreements or contracts with any third party, independent contractor, vendor, consultant, or other provider for risk management, odds making, line setting, or sports gaming information services, including any services for real time line movement and wagering updates or feeds.

18. Provide a responsible gaming plan for sports gaming operations in the State of Tennessee. The plan should include a summary of responsible gaming measures and controls; messaging and interaction with players; whether customers have the ability to self-limit or self-exclude; ability of customers to monitor account and transactions history; training for any key personnel, employee, contractor, agent, or representative connected to sports gaming operations in Tennessee; policies and procedures for responsible gaming inquiries or concerns; forms, location, and availability and accessibility of resources for customers; and any other relevant information.
19. Provide a copy and summary of any policies, procedures, and mechanisms for ensuring integrity in sports gaming in the State of Tennessee and any jurisdiction where the applicant operates, including, but not limited to, use of integrity monitoring services, participation in integrity associations, information sharing channels, and communication channels to regulators in the State of Tennessee and any jurisdiction where the applicant operates sports gaming.
20. Provide an advertising and marketing plan to customers and potential customers in the State of Tennessee prior to commencement of operations and during the first full year of operations if licensed for sports gaming in the State of Tennessee. The plan should include, but not be limited to, communication mediums to be used (e.g., magazine, television, radio), format of advertising and marketing, responsible gaming messages or information accompanying advertising and marketing, frequency of advertising and marketing, methods used to ensure advertising and marketing is not directed to persons under the age of 21 years, methods used to ensure advertising and marketing is not directed to persons placed on an exclusion list, and any other relevant information.
21. Provide a copy of the house rules for sports gaming in the State of Tennessee and identify how customers can access and view the rules.

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22. Provide a copy and summary of the policies, procedures, and mechanisms for resolving patron disputes, including, but not limited to, disputes involving wagers, lines or odds, information assisting in placement of wagers, access to customer funds, and complimentarys, bonuses, free play, refunds or discounts, rebates, other promotions, or account takeovers.
23. Provide the policies, procedures, and mechanisms for customer exclusion and limitation, including ability of customers to self-exclude or self-limit and for licensee-initiated exclusion or limitation of customers. Indicate how the applicant will prevent persons on the exclusion lists from accessing or establishing a customer account to wager. Indicate how the applicant will prevent persons on the exclusion lists from receiving direct advertising or marketing, including offers of complimentarys, bonuses, free play, refunds or discounts, rebates, or other promotions.
24. Provide policies, procedures, and mechanisms to ensure compliance with the requirement that wagers occur within the boundaries of the State of Tennessee. Provide copies of any agreement with a geolocation services entity or other provider to restrict placement of wagers outside the state.
25. Identify the location of the server to process wagers within the State of Tennessee. Provide copies of any agreement with a data center, server hosting center, or other server location. Include a security plan for ensuring the server is secure and protected.
26. List all software, hardware, and systems to be used by the applicant for sports gaming operations in the State of Tennessee, including, but not limited to, account wagering, live/in-game/in-play, risk management, lines or odds, rewards or loyalty, pari-mutuel, or other software, hardware, or systems required for sports gaming operations in the State of Tennessee.
Provide copies of any agreement with a software, hardware, or systems provider specific to sports gaming or sports gaming systems.
27. Supply the name and address of the bank, credit union, or other financial institution that will hold the cash, bond, or other source of reserve required pursuant to the Tennessee Sports Gaming Act and regulations promulgated thereunder. Provide copies of the proposed reserve agreement to be entered into and name, telephone number, and principal contact at the bank, credit, or other financial institution.
28. Provide the name and address of the independent accountant responsible for any external audit services relating to sports gaming operations in the State of Tennessee.
29. Provide the name and address of any third party attorney, accountant, auditor, compliance specialist, or other person or organization who assisted with completion of this form or any part of the applicant's application.

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