

TENNESSEE SPORTS WAGERING COUNCIL

**VENDOR REGISTRATION
RENEWAL FORM**

DATE OF COMPLETION

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Last updated
2/26/24

INITIALS _____

VENDOR REGISTRATION RENEWAL APPLICATION

Every question in this Tennessee Sports Wagering Council ("SWC") Renewal Application 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. Registrant must submit **ONE ELECTRONIC copy (in searchable PDF format)**, to the following email address: SWAC.licensing@tn.gov

The application must be organized and clearly labeled or marked using the numeration and order designated below. For any attachments to the application forms, clearly separate and label the sections (e.g., tabs, cover pages). The application must contain original signatures and initials where indicated in BLUE INK. If any part of the application is handwritten, use blue or black ink and legible, block lettering. Reference to "last year" as it appears in this form means from the date of your most recent past application submitted to the SWC.

If the Renewal Application, or any other form or document required to be submitted as part of the renewal application is not legible or incomplete, the application will be deemed **incomplete**. 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. Further, the applicant is required to report any change in the information provided herein to the SWC while the application is pending. Once a complete application is submitted and accepted as complete, it cannot be withdrawn without approval of the SWC.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 Tennessee Sports Gaming Act or policies, rules, or regulations promulgated thereunder by the SWC or pursuant to a lawful court order. Nevertheless, Registrant 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.

DATE OF COMPLETION

INITIALS _____

1. RENEWAL TERM:

_____ to _____

2. BUSINESS NAME:

FULL LEGAL NAME OF BUSINESS ENTITY (Name as it appears on the Certificate of Incorporation, charter, bylaws, partnership agreement, formation documents or other official origination document)

D/B/A or Trade Name(s)

BUSINESS ENTITY WEBSITE ADDRESS

3. PERSON TO BE CONTACTED IN REFERENCE TO THESE FORMS:

Name and Title

Daytime Telephone Number (including Area Code)

Cell Number with Area Code (if different)

E-Mail Address

4. PRINCIPAL BUSINESS ADDRESS OF THE APPLICANT:

STREET LOCATION Number/Street City State Zip Code

MAILING ADDRESS, *if different* (P.O. Box, City, State, Zip Code)

BUSINESS TELEPHONE NUMBER (including area code and country code if outside the U.S.) Fax Number (if available)

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5. PLEASE VERIFY AND UPDATE ALL REQUESTED INFORMATION BELOW:

BUSINESS OWNERSHIP/STRUCTURE	
1. In the last year, has there been a change in the articles of incorporation, corporate by-laws, or other legal formation documents of the Registrant, including amendments thereto? If yes, explain in detail on a separate sheet and attach copies of all updated documents.	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. List the full ownership and executive structure (e.g., officers, directors, key personnel, managers, etc.) of the Registrant. Include all parent or holding, intermediary, and subsidiary (whether or not wholly-owned) entities and identify the ownership and executive structure for each. For non-publicly traded business entities, list all voting and non-voting ownership, regardless of percentage of ownership. For publicly traded business entities, list all voting and non-voting beneficial owners of five percent or more.	
3. Provide a current list of key personnel of the Registrant as defined in Tenn. Code Ann. § 4-49-102 and specifically indicate any person(s) not previously disclosed.	
4. Provide a copy of Registrant’s updated organizational chart reflecting the key personnel, employees, contractors, or other agents or representatives directly responsible for supervising day-to-day sports gaming operations in Tennessee, whether or not physically located in Tennessee with any changes highlighted or denoted. The updated organization 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 in the chart.	
5. In the last year, has there been any change to any shareholder agreement, operating agreement, partnership agreement, trust agreement, or other governing documentation of the Registrant? If yes, explain in detail on a separate sheet and attach copies of all updated documents.	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. In the last year, has there been any change to Registrant’s business registration certificate or other valid business registration issued by the State of Tennessee? If yes, explain in detail on a separate sheet and attach copies of all updated documents.	<input type="checkbox"/> Yes <input type="checkbox"/> No
FINANCIAL INFORMATION	
7. Provide the most recent annual financial statements prepared in accordance with SWC Rule 1350-01-.07(3)(b)1.	
8. Provide a clear and concise summary of any changes made in the last year, regarding the nature, type, terms, conditions, covenants, and priorities of all outstanding bonds, loans, mortgages, trust deeds, notes, pledges, lines of credit, debentures, or other forms of indebtedness issued or executed (including loans made by owners), or to be issued or executed by Registrant, which mature more than one year from the date of issuance or which, by their terms, are renewable for a period of more than one year from the date of issuance. The summary shall include the name and address of the holder of debt, type and class of debt instrument, and original amount of current balance of debt.	
9. Provide a clear and concise summary of any changes made in the last year regarding the nature, type, terms, conditions, and covenants of any possessory or non-possessory security interests issued by the Registrant or other business entity for any component or for all of the sports gaming	

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operations or assets. The summary shall include the name and address of the holder of the security interest and current status of the security interest.	
10. In the last year, have there been changes to any stock agreements? If yes, describe the nature, type, terms, conditions, rights and privileges of all classes of voting, non-voting, and other stock issued, or to be issued, by the corporation, including the number of shares of each class of stock authorized or to be authorized, and the number of shares of each class of stock outstanding (i.e., not held by or on behalf of the issuer), as of this date. If the right of holders of any class of stock may be modified otherwise than by a vote of a majority or more of the outstanding shares so affected, voting as a class, so state and explain briefly.	<input type="checkbox"/> Yes <input type="checkbox"/> No
TAX INFORMATION	
11. Provide a copy of the most recent federal income tax return. If the Registrant has been granted an extension to file its most recent tax return, provide a copy of that extension.	
12. In the last year, has Registrant had a tax lien filed against it, or become delinquent in the payment or filing of any taxes, interest, penalties or judgments owed to the State of Tennessee, the United States government or the government of any other state or foreign equivalent? If yes, explain in detail and attach copies of all available documentation.	<input type="checkbox"/> Yes <input type="checkbox"/> No
LEGAL ACTIONS	
13. Provide information describing all new civil litigation at equity or law since the last application/renewal to which Registrant, its parent, holding, intermediary, or any subsidiary (whether or not wholly owned) company or any owner, officer, director, manager, general partner, trustee, or key personnel in their official capacity as a representative of the business is a party in any jurisdiction. Registrant does not need to include cases in the ordinary course of business for monetary damages in controversy of less than \$100,000 or claims in the ordinary course of business that are expected to be fully covered under an insurance policy.	
14. Provide a listing of continuing (previously disclosed) litigation and a brief description of the current status since the date of the last application/renewal. If no change, state "N/A".	
15. In the last year, has Registrant, its parent, holding, intermediary, or subsidiary company, had any judgments, filed any petition(s) or sought relief under any provision of the Federal Bankruptcy Act or any state insolvency law (or foreign equivalent) for the business or any of its officers, directors, managers, general partners, trustees, or key personnel? If yes, provide a summary of the type of proceeding, parties involved, date of proceeding, court/agency name, nature of judgment/relief/or disposition, and the name and address of receiver/trustee.	<input type="checkbox"/> Yes <input type="checkbox"/> No
16. In the last year, has Registrant (including all parent or subsidiary companies, if any) or any of its officers, directors, managers, general partners, trustees, or key personnel been the subject of a non-routine government investigation or been issued a subpoena for documents or testimony by a government agency? If yes, provide a summary explanation of the nature, reason and circumstances of the investigation or subpoena, including the outcome and current status.	<input type="checkbox"/> Yes <input type="checkbox"/> No

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<p>17. In the last year, has Registrant (including all parent or subsidiary companies, if any) or any of its officers, directors, managers, general partners, trustees, or key personnel been indicted, served with a criminal summons, charged with, or convicted of ANY crime or offense in any manner? If yes, explain in detail on a separate sheet and include ALL offenses regardless of class of crime or outcome, even if the charges were dismissed or Registrant was found not guilty. Provide official documentation from the court showing the final disposition for any charge that was (1) gambling related; (2) theft by deception; (3) any other crime involving fraud or deception; or (4) any felony.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>18. In the last year, has Registrant or any of its officers, directors, managers, general partners, trustees, or key personnel had a judgment, order, consent decree, or consent order pertaining to a violation, or alleged violation, of any state, local, or federal statute, regulation, or code (or foreign equivalent) that resulted in a penalty or fine? If yes, for each judgment, order, consent decree, or consent order provide named parties, date of offense, nature of the offense, title of case and docket number, name of court/agency, nature of judgment/decree/order and date entered.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>19. Provide information describing all cease and desist letters; attorney general or government legal opinions received in the last year concerning the business, its parent, holding, intermediary, or any subsidiary (whether or not wholly owned) company in any jurisdiction, or any individual officer, director, manager, general partner, trustee, or key personnel in his/her representative capacity.</p>	
<p>LICENSING INFORMATION</p>	
<p>20. Provide an updated listing of all licenses, permits, registrations, certifications, or approvals by any regulatory agency governing casino gaming, horse racing, dog racing, pari-mutuel, lottery, sports betting, daily fantasy sports, etc. in jurisdictions outside of Tennessee; include type, date, status, and name, address, and phone number of the regulatory agency where held.</p>	
<p>21. In the last year, has Registrant (including all parent or subsidiary companies, if any) been denied, surrendered or withdrawn a gaming/sports betting license, permit, registration, certification, or approval, or had any disciplinary action taken against it in any other jurisdiction? If yes, explain in detail the reason and circumstances of the action.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>OTHER DOCUMENTATION</p>	
<p>22. List all Operator(s) for whom Registrant performs sports gaming services and provide an updated summary of all services performed.</p>	
<p>23. Provide a summary of any material change(s) from the prior application or regarding the current status of business in the State of Tennessee not otherwise disclosed above.</p>	

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INITIALS _____

AFFIDAVIT

STATE OF _____:

COUNTY OF _____: SS:

I, _____, hereby acknowledge that I am aware that the
(Name)
Tennessee Sports Wagering Council ("SWC") may deny renewal of any Vendor
Registration to any applicant which supplies information to the SWC which is untrue, misleading or
incomplete as to a material fact pertaining to the qualification criteria for continued operations.

Further I, _____, hereby swear (or affirm) that the foregoing
(Name)
statements made by me on behalf of _____
(Name of Business Entity)
are true and complete. I am aware that if any of the foregoing statements made by me are willfully false,
I am subject to punishment.

Further, I _____, hereby certify that the entity is aware of the
(Name)
attached notice and acknowledges and accepts the entirety of its contents.

(Signature)

(Type, Stamp, or Print Name)

(Title or Position)

SUBSCRIBED AND SWORN TO BEFORE ME

THIS _____ DAY OF _____, _____

(NOTARY PUBLIC SEAL/STAMP)

Signature of Notary Public

Commission Expiration Date: _____

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NOTICE

1. Information supplied to the Tennessee Sports Wagering Council ("SWC") or its agents, representatives, contractors, or employees thereof, or otherwise obtained, is confidential and shall not be revealed, except in the course of the necessary administration of the Tennessee Sports Gaming Act ("Act"), other laws of the State of Tennessee, or upon the lawful order of a court of competent jurisdiction, or with the approval of the Attorney General, to a duly-authorized law enforcement agency. Nevertheless, Registrant waives any liability of the SWC, State of Tennessee, and each of their members, agents, contractors, and employees in their individual and representative capacities, for any damages resulting from any disclosure or publication, in any manner.

2. An applicant for, or holder of, a Vendor Registration is subject to inspections, searches and seizures, or other actions taken in the course of an investigation as authorized by the Act and by the regulations of the SWC.

3. The application fee is not refundable once the application is accepted for filing.

Receipt of Notice Acknowledged on Behalf of: _____

(Date)

(Signature)

(Type, Stamp or Print Name)

(Title or Position)

DATE OF COMPLETION
