



# INDIANA GAMING COMMISSION: GAMING ENTITY LICENSING GUIDANCE

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# Definitions

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**"Casino Gaming System"** means any system that affects the integrity of gaming, revenue, or outcome of the game for slots and table games including access per the Remote Access Policy (See Appendix B) and/or access to the Indiana Event Wagering System per the Change Management Directive (See Appendix C).

**"Criminal background check"** as set forth in IC § 4-38-9-1, a sports wagering vendor or certificate holder must conduct a criminal background check on newly hired employees related to the conduct of sports wagering. Sports wagering vendors must also conduct annual checks on all existing employees engaged in activities related to the conducting of sports wagering. The criminal background checks must include a search for criminal history and any charges or convictions involving corruption or manipulation of sporting events and any association with organized crime. **Please note, information regarding the sports wagering vendor's plan to meet this requirement must be outlined within its internal controls.**

**"Gaming Entity(ies)"** is defined as any Business Entity or Affiliate thereof other that either: (1) engages in Gaming or gaming related services, or (2) is a gaming related corporation, casino, paid fantasy sports game operator, supplier, sports wagering service provider, sports wagering vendor, or its equivalent in another jurisdiction.

**"Gaming Equipment" or "Gaming Supplies"** is defined as a machine, mechanism, device or implement that affects the result of a game by determining win or loss, including, without limitation, any of the following: Electronic Gaming Device, Software, Cards, Dice, Any representative of value used with any game, including, without limitation: Chips, or Electronic debit cards and Related hardware and software.

**"LAM"** means the IGC's Licensing and Application Management System.

**"Occupational license"** means a license issued by the commission under IC Ch. 4-33-8.

**"Personal identifying information (PII)"** is herein defined as any sensitive information that can be used to distinguish or trace an individual's identity. For the purposes of determining whether an occupational license is required, the following data points constitute PII: DOB, SSN, DLN, Passport Number, or financial or bank account information.

**"Regulated control program component"** means the files of the sports wagering system that are identified and certified by the Indiana Independent Testing Lab.

**"Sports wagering system"** means all equipment and software used in conjunction with the sports wagering operation, including, but not limited to, the following: Sports wagering interactive components, including all hardware, software, and associated equipment that comprise the sports wagering platform for the purpose of authorizing sports wagering and online and mobile sports wagering.

**"Sports wagering vendor"** means an entity authorized to conduct sports wagering activities in the State of Indiana on behalf of its certificate holder at the certificate holder's licensed facility or through mobile devices described under IC 4-38-5-12, or both.

**"Supplier"** means a provider of goods or services to a Casino Gambling Operation under a Supplier License issued pursuant to IC 4-33-7 or IC 4-38.

# Initial Gaming Entity Application Process

Vendors of certain types of equipment, devices, and services to Indiana casino gambling operations must possess a license issued by the Indiana Gaming Commission ("Commission"). The Commission licenses vendors of products or services that directly relate to gaming operations or affect the flow of money obtained as a direct result of gaming operations. The Commission also has the authority to require licensure of any vendor that the Commission deems necessary to ensure compliance with applicable gaming laws.

**In order to make a determination regarding licensure requirements, the Commission requires that interested vendors submit a [Gaming Entity Inquiry Form](#).**

Once Commission staff determines whether a license is required, Commission staff will contact the vendor with further information, if a Gaming Entity license is required, and if so, which type. The IGC has different types of Gaming Entity licensing:

- Types of Gaming Entity Licensure
  - Casino (limited in total number by IN Statute, not covered in this guidance)
  - Certificate of Authority (limited in total number by IN Statute, not covered in this guidance)
  - Paid Fantasy Sports Game Operator (PFS)
  - Sports Wagering Service Provider (SWSP)
  - Sports Wagering Vendor (SWV)
  - Supplier (SP)

## Gaming Entity Application Submission

After submission of the Gaming Entity Inquiry form, and the IGC Legal Division has made a license determination, Commission staff will contact the company to request any additional required information prior to application submission. The company will be provided with the appropriate entity application at that time. Submission instructions are contained in the application instructions section.

### **Paid Fantasy Sports Game Operator**

**An application will not be processed by the Commission unless the Commission has determined that the entity requires the license.**

Applicants for a PFS License must pay a non-refundable application fee that must be submitted with the license application. This fee is applied to the suitability investigation that will be conducted. If the investigation requires additional costs, the Applicant will be notified and will be responsible for those costs. Occupational License applications are not required for Paid Fantasy Sports Game Operators.

### Sports Wagering Service Providers

**An application will not be processed by the Commission unless the Commission has determined that the entity requires the license, and the Applicant has an agreement or a statement of intent with any required Gaming Entities.**

Applicants for an SWSP License must pay a non-refundable application fee that must be submitted with the license application. This fee is applied to the suitability investigation that will be conducted. If the investigation requires additional costs, the Applicant will be notified and will be responsible for those costs. Occupational License applications are not required for Sports Wagering Service Providers.

### Sports Wagering Vendors

**An application will not be processed by the Commission unless the Commission has determined that the entity requires the license and the Applicant has an agreement or a statement of intent with a Certificate Holder.** Applicants for an SWV License must pay a non-refundable application fee that must be submitted with the license application. This fee is applied to the suitability investigation that will be conducted. If the investigation requires additional costs, the Applicant will be notified and will be responsible for those costs.

In addition, all Key Persons and Substantial Owners as identified by Commission staff must complete a Personal Disclosure Form-1 (PD-1) and submit to a suitability investigation. Commission staff will assist an Applicant in identifying which persons and owners will be required to submit a PD-1. Each PD-1 requires an application fee. The Key Persons and Substantial Owners must also provide fingerprints for conducting a background investigation.

## SWV Internal Control Standards

Sports Wagering Vendor applicants must submit the entity application and draft internal controls for review prior to submitting any occupational license applications. When the application and internal controls have been reviewed by the IGC, the company will be notified and directed to submit its associated PD-1 applications. Please use the following guidelines when preparing your internal controls submission:

- **A mobile sports wagering [internal control checklist](#) must be submitted with your draft internal controls. Please note any items that may not be applicable to your operation and specify the reason.**
- The mobile sports wagering internal controls shall be written in a formal, professional style using standard English. Grammar and punctuation errors should be kept to a minimum. Submissions that have not been proofread will not meet minimum standards for temporary licensure.
- The mobile sports wagering internal controls shall include a table of contents.
- The mobile sports wagering internal controls shall include a section for each individual sports wagering topic (i.e., Users, System, Geofence/Geolocation, Server, Wagers, Accounting, AML Compliance Standards, Patron Accounts, Patron Complaints, Prohibited Patrons, Responsible Gaming and Problem Gambling and Terms and Conditions, etc.).
- Mobile sports wagering internal controls shall be submitted in a Microsoft Word document for the initial review process. Once a temporary vendor license is issued, the Sports Wagering Division will work with the vendor to finalize approval of the internal controls prior to launch.
- Following the IGC's initial review, if necessary, any revisions to the mobile sports wagering internal controls shall be red lined for easy review.

If you have any questions regarding internal controls, please contact the Sports Wagering Division at [SWapps@igc.in.gov](mailto:SWapps@igc.in.gov).

## Suppliers

**An application for a Supplier's license will not be processed by the Commission unless the Commission has determined that the entity requires a Supplier's license and the Applicant has an agreement or a statement of intent with a Casino Licensee or Sports Wagering Vendor Licensee.**

Applicants for a Supplier's license must pay a non-refundable application fee that must be submitted with the license application. This fee is applied to the suitability investigation that will be conducted. If the investigation requires additional costs, the Applicant will be notified and will be responsible for those costs.

In addition, all Key Persons and Substantial Owners as identified by Commission staff must complete a Personal Disclosure Form-1 (PD-1) and submit to a suitability investigation. Commission staff will assist an Applicant in identifying which persons and owners will be required to submit a Personal Disclosure Form. Each PD-1 requires an application fee. The Key Persons and Substantial Owners must also provide fingerprints for conducting a background investigation.

# Issuance of a Temporary Gaming Entity License

## Paid Fantasy Sports Game Operator

A temporary license allows the Paid Fantasy Sports Game Operator to provide its products and services in Indiana. The temporary license is valid for one year and cannot be transferred without written approval of the executive director. If necessary, the temporary license may be renewed.

## Sports Wagering Service Providers

A temporary license allows the Sports Wagering Service Provider to provide its products and services to Indiana licensed Gaming Entities.

## Sports Wagering Vendors

A temporary vendor license does not authorize the Sports Wagering Vendor to begin conducting sports wagering. A Sports Wagering Vendor licensee must receive express authorization from the Commission prior to offering any sports wagering activities under IC 4-38.

All employees who have any duty, authority, or function relating directly or indirectly to the conduct of sports wagering will be required to hold an occupational license in accordance with 68 Ind. Admin. Code § 2-3-1. The temporary SWV license does not create a right or privilege to continue conducting business if the application for a SWV license to conduct sports wagering is rejected by the Commission. Furthermore, the Commission may rescind the temporary license at any time, with or without notice, if the Commission is informed that the company's suitability may be at issue and the company fails to cooperate with the Commission in the Commission's investigation into the qualifications and suitability.

The temporary license is valid for one year after the date the Sports Wagering Vendor is given express authorization to conduct sports wagering and cannot be transferred. If necessary, the temporary license may be renewed by submitting the administrative fee described in IC 4-38-6-6.

## Express Authorization and Launch Requirements

Sports Wagering Vendors will work directly with the Sports Wagering Division toward express authorization to launch a sportsbook after the temporary license is granted.

## Suppliers

A temporary license allows the Supplier to provide its products and services to Indiana licensed Gaming Entities. If the Supplier intends to provide any other products or services to Indiana licensed Gaming Entities, the Supplier must seek advance permission from Commission staff.

The temporary license is valid for one year and cannot be transferred. If necessary, the temporary license may be renewed by following the renewal procedures found in Ind. Code § 4-33-7-8, and 68 Ind. Admin. Code § 2-2 and paying the appropriate license renewal fee.

# Issuance of a Permanent Gaming Entity License

## Paid Fantasy Sports Game Operator

A permanent license for PFS Operators will be granted only if the Applicant is determined to be suitable to hold a license after the investigation is complete. An PFS Operator's License is valid for one year and must be renewed annually upon payment of an annual renewal fee.

A PFS License does not create a property right but is a revocable privilege granted by the Commission contingent upon continuing suitability for licensure. PFS Licensees have a duty to notify the Commission of any changes in the information submitted in the Licensee's application. If a Licensee does not comply with the statutes and regulations in Indiana, the Licensee may be subject to disciplinary action including suspension, revocation of the license, or a civil penalty.

## Sports Wagering Service Providers

A permanent license for SWSPs will be granted only if the Applicant is determined to be suitable to hold a license after the investigation is complete. There is no annual renewal requirement for SWSPs.

An SWSP License does not create a property right but is a revocable privilege granted by the Commission contingent upon continuing suitability for licensure. SWSP Licensees have a duty to notify the Commission of any changes in the information submitted in the Licensee's application. If a Licensee does not comply with the statutes and regulations in Indiana, the Licensee may be subject to disciplinary action including suspension, revocation of the license, or a civil penalty.

## Sports Wagering Vendors

A permanent license for SWVs will be granted only if the Applicant is determined to be suitable to hold a license after the investigation is complete. An SWV's License is valid for one year and must be renewed annually upon payment of an annual renewal fee.

An SWV License does not create a property right but is a revocable privilege granted by the Commission contingent upon continuing suitability for licensure. SWV Licensees have a duty to notify the Commission of any changes in the information submitted in the Licensee's application. If a Licensee does not comply with the statutes and regulations in Indiana, the Licensee may be subject to disciplinary action including suspension, revocation of the license, or a civil penalty.

## Suppliers

A permanent license for Suppliers will be granted only if the Applicant is determined to be suitable to hold a license after the investigation is complete. Once a Supplier is determined to be suitable for licensure, a permanent license fee must be paid. A Supplier's License is valid for one year and must be renewed annually upon payment of an annual renewal fee.

A Supplier's License does not create a property right but is a revocable privilege granted by the Commission contingent upon continuing suitability for licensure. Supplier Licensees have a duty to notify the Commission of any changes in the information submitted in the licensee's application.

Supplier Licensees are also required to report sales and other information to the Commission regularly in accordance with Indiana gaming laws. If a licensee does not comply with the statutes and regulations in Indiana, the licensee may be subject to disciplinary action including suspension, revocation of the license, or a civil penalty.



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# Occupational Licensing

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**The Indiana Gaming Commission (“the Commission”) issues licenses to people across the state, the country, and even the globe. Because of the number of licenses, there is a specific way Gaming Entities, and their employees, must submit their information for licensure.**

Certain Casino, Sports Wagering Vendor, and Supplier employees will require an occupational license according to IGC issued licensing standards. All license holders must be of good moral character and reputation. The Indiana Gaming Commission (“the Commission”) issues two license levels, and two types of licenses:

- Levels
  - Level 1: Key Persons (L1)
  - Level 2: Gaming Employees (L2)
- Type
  - Temporary
  - Permanent

Certain employees are required to have licenses. Lower-level positions are often Level 2 (L2). The application procedure and background investigation are not as in-depth as a key person, or a Level 1 (L1) license, but if a license is required then the license must be obtained before these employees can perform duties.

The Commission does not offer a statewide license. Instead, the Commission issues Occupational Licenses at each Casino, Supplier, and/or SWV. To apply for an Indiana Occupational License, an individual must first have an offer of employment from an Indiana Casino, Supplier, or SWV. **Occupational Licenses are not transferable to other licensed unrelated Gaming Entities. Applications must be submitted to the IGC within 30 days of the appointment to, or transfer to, the position that requires licensure.**

An Occupational License does not create a property right but is a revocable privilege granted by the Commission contingent upon continuing suitability for licensure. All licenses require a background check and suitability investigation by the Commission. The licenses must be kept up to date. Gaming Entity licensees must notify the Commission of any changes to name, address, or other personal information quarterly, as explained in the “Renewal and Updates” section of this guidance. Licenses are required to be renewed annually.

**Notice of license termination is required to be submitted in LAM within 15 days of the change.**

**If the Commission is not updated or a license is not renewed in a timely manner, the Commission may take disciplinary action against the Gaming Entity.**

# Licensing and Application Management System (LAM)

All licenses with the IGC are maintained in the Licensing and Application Management system (LAM). It is the responsibility of the Gaming Entity to ensure accuracy of what is entered into the system, including the accuracy of job titles and levels for each individual licensed. If anything is incorrect, please submit an update request in LAM or notify IGC via email at [Occllc@igc.in.gov](mailto:Occllc@igc.in.gov) immediately. If individuals are found to be working in incorrect/not approved positions or at a different level than approved, it may result in referral for Disciplinary Action to the IGC Compliance Committee.

When a Gaming Entity becomes licensed, IGC will provide more information on LAM, including training videos and the LAM Manual.

## Level Designation Process

### Suppliers

The purpose of this section is to provide guidance regarding the distinction between a Level 1 and Level 2 occupational license. All Supplier occupational licenses will qualify as a Level 1 or Level 2.

Level 1 occupational licenses require the submission of the PD-1 application. Level 2 occupational licenses require the submission of the PD-2 application. The application forms are available on the IGC's [website](#). Please note, every Supplier is different and utilizes different job titles. The titles below are offered by way of example, and you should not solely rely on the specific job title used below when coming forward for licensure. Improperly designating an employee as a Level 2 when they should be a Level 1 may subject the Supplier to disciplinary action. In the event you have questions, do not hesitate to reach out to the IGC Gaming Administrator at [Occllc@igc.in.gov](mailto:Occllc@igc.in.gov) to receive guidance. The request must provide sufficient detail regarding the employee's position, responsibilities, and access to the information contemplated below in Section III.

Please be aware that if any duties in the licensing guidance requiring licensure are being performed by a third-party partner, the Supplier is responsible to communicate those licensing requirements to the partner and make sure appropriate licensing has been implemented.

- I. Occupational license, Level 1, includes the following positions or their equivalent:
  - A. Chief Executive Officer/President;
  - B. Chief Financial Officer/Chief Accounting Officer;
  - C. Chief Commercial Officer;
  - D. Chief Operating Officer;
  - E. Chief Technology Officer/IT Security Officer/Chief Cybersecurity Officer;
  - F. VP/Director of Sales;
  - G. Chairperson/Board Member/Director/Independent Director/Secretary or any combination thereof;
  - H. Chief Compliance Officer/Director of Compliance;
  - I. Chief Legal Officer/Director of Legal/General Counsel;
  - J. Key Persons, as defined by 68 IAC 1-1-57;

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- K. Substantial Owners, as defined by 68 IAC 1-1-86; and
  - L. Any other employee of the Supplier whom the IGC deems necessary, to ensure compliance with Ind. art. 4-33, Ind. art. 4-35, and Ind. art. 4-38 to hold an occupational license, Level 1. This includes those employees already reviewed by the IGC and determined to be Level 1 licensees.
- II. The following employees shall obtain an occupational license, Level 2:
- A. Any employee of a Supplier whose duties meet the requirements for licensure in Sections III, below, and who are not employees described in Section I above; and
  - B. Any other employee of a Supplier whom the IGC deems necessary to ensure compliance with IC art. 4-33, IC art. 4-35, and IC art. 4-38 to hold an occupational license, Level 2.
- III. Occupational Licensure Guidance:
- A. Access to PII:
    - i. Access to Indiana patron PII requires an occupational license.
  - B. Access to Indiana casino Sensitive Area(s):
    - i. Access to Indiana casino Sensitive Area(s) requires an occupational license
      - 1. Sensitive areas in the casino are defined as cage, count room, surveillance, main bank/vault, server rooms for gaming systems and/or surveillance, and table game pit areas.
  - C. Access to Gaming or Regulated Equipment:
    - i. Access to perform any maintenance, installation, or work on any Indiana casino gaming system, EGD, table, kiosk, or terminal on any Indiana casino gaming floor or sportsbook requires an occupational license;
      - 1. Gaming equipment or supplies is defined as a machine, mechanism, device or implement that affects the result of a game by determining win or loss, including, without limitation, any of the following:
        - a. Electronic Gaming Device
        - b. Software
        - c. Cards
        - d. Dice
        - e. Any representative of value used with any game, including, without limitation
          - i. Chips
          - ii. Electronic debit cards
          - iii. Related hardware and software.
      - 2. For this purpose, access would be defined as having access to the interior of the EGD and/or electronic components that impact the play of the game.
    - ii. Engineers and developers of regulated gaming equipment must obtain an occupational license.
  - D. Server Access:
    - i. All individuals responsible for authorizing a release or performing a system upgrade to an Indiana casino gaming system or an Indiana sports wagering system must obtain an occupational license.

- ii. Remote Access to Casino Gaming Systems: any employee that has remote access to any Indiana casino gaming system is required to obtain an occupational license.<sup>1</sup>
- iii. Other employees with incidental access to an Indiana sports wagering system do not require an occupational license, so long as internal controls are established preventing those employees from changing any of the casino wagering system's Indiana regulated control program components.

E. Department Guidance:

- i. Accounting/Finance:
  - 1. Chief Financial Officer, or equivalent top line manager/controller must obtain an occupational license, Level 1.
  - 2. Any employee of a Supplier whose duties include accounting and auditing functions and whose duties relate to money obtained as a result of an Indiana casino gaming system or an Indiana sports wagering system.
  - 3. To the extent any Accounting Financial Department employee is covered by Supplier Section III (A-D) will require licensure.
- ii. Engineering/Product Development/IT:
  - 1. The Supplier's top IT personnel overseeing any gaming operations, must obtain an occupational license, Level 1.
  - 2. Any employee of a Supplier whose duties are performed in sensitive areas and/or whose duties affect gaming or regulated equipment, including the maintenance or repair of any casino gaming systems.
  - 3. Employees that meet the criteria set out in Supplier Section III (A-D).
- iii. Legal/compliance:
  - 1. Each Supplier must have at least one designated individual licensed who will be responsible for communicating with the IGC's Compliance Division regarding settlements for regulatory violations.
  - 2. Licensing required only as it pertains to employees that meet the criteria of Supplier Section III (A-D).
- iv. Marketing/social media/promotions:
  - 1. Licensing required only as it pertains to employees that meet the criteria of Supplier Section III (A-D).
- v. Sales:
  - 1. The Supplier's top Sales position overseeing gaming sales must obtain an occupational license, Level 1.
  - 2. Any employee of a Supplier who has primary responsibility for sales to Indiana casinos.
  - 3. To the extent any Sales Department employee is covered by Supplier Section III (A-D) will require licensure.

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<sup>1</sup> Prior to accessing any casino gaming system remotely, the Supplier must have first obtained written approval from the IGC, pursuant to the Memorandum issued on November 6, 2017. See Appendix B for a copy of the Memorandum.

- vi. Other Departments: On a case-by-case basis, Suppliers are free to request the IGC review of any additional positions that fall outside the scope of the positions and departments described herein. Requests must be sent to IGC's Gaming Administrator at [OccLic@igc.in.gov](mailto:OccLic@igc.in.gov) with the information outlined in the beginning of the section.

## Sports Wagering Vendors

The purpose of this section is to provide guidance regarding the distinction between a Level 1 and Level 2 occupational license. All sports wagering occupational licenses will qualify as a Level 1 or Level 2.

Level 1 occupational licenses require the submission of the PD-1 application. Level 2 occupational licenses require the submission of the PD-2 application. The application forms are available on the IGC's [website](#). Please note, every sports wagering vendor is different and utilizes different job titles. The titles below are offered by way of example and you should not solely rely on the specific job title used below when coming forward for licensure. Improperly designating an employee as a Level 2 when they should be a Level 1 may subject the sports wagering vendor to disciplinary action. In the event you have questions, do not hesitate to reach out to the IGC Gaming Administrator at [OccLic@igc.in.gov](mailto:OccLic@igc.in.gov) to receive guidance. The request must provide sufficient detail regarding the employee's position, responsibilities and access to the information contemplated below in Section III.

Please be aware that if any duties in the licensing guidance requiring licensure are being performed by a third-party partner, the Sports Wagering Vendor is responsible to communicate those licensing requirements to the partner and make sure appropriate licensing has been implemented.

- I. Occupational license, Level 1, includes the following positions or their equivalent:
  - A. Chief Executive Officer/President/Chairperson/Director/Independent Director;
  - B. Chief Financial Officer;
  - C. Chief Marketing Officer;
  - D. Chief Operating Officer;
  - E. Chief Technology Officer;
  - F. Director of Compliance;
  - G. Director of Legal/General Counsel;
  - H. Director of Online or Sportsbook Operations;
  - I. Retail Sportsbook Manager;
  - J. Director of Trading/Risk;
  - K. IT Security Officer/Chief Cybersecurity Officer;
  - L. Key Persons, as defined by 68 IAC 1-1-57;
  - M. Substantial Owners, as defined by 68 IAC 1-1-86; and
  - N. Any other employee of the sports wagering vendor whom the Commission deems necessary, to ensure compliance with IC art. 4-38, to hold an occupational license, Level 1. This includes those employees already reviewed by the IGC and determined to be Level 1 licensees.

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II. The following employees shall obtain an occupational license, Level 2:

- A. Any employee of a sports wagering vendor whose duties meet the requirements for licensure in Section III, below, and who are not employees described in Section I above; and
- B. Any other employee of a sports wagering vendor whom the Commission deems necessary, to ensure compliance with IC art. 4-38, to hold an occupational license, Level 2.

III. Occupational Licensure Guidance:

A. Patron account information access:

- i. An employee with the ability to access **and** change PII must obtain an occupational license.
- ii. Read only access to PII does not require an occupational license given a sports wagering vendor's requirement to conduct criminal background checks on new hires and then annually thereafter. IC § 4-38-9-1.

B. Patron Account Funding Requirements:

- i. An employee responsible for authorizing a cash credit to a patron's account must obtain an occupational license.
- ii. An employee responsible for implementing a cash credit to credit a patron's account must obtain an occupational license.
- iii. No occupational license is required for an employee who authorizes or implements only free bet or bonus adjustments to a patron's account.

C. Authorization to Change or Amend Wagering Activities:

- i. An employee who is authorized to approve the settlement or resettlement of wagering markets must obtain an occupational license.
- ii. An employee who is responsible for implementing the settlement or resettlement of wagering markets, but may not do so unilaterally, is not required to obtain an occupational license.

D. Server Access:

- i. An employee responsible for authorizing a release or performing a system upgrade to the Indiana sports wagering system must obtain an occupational license.
- ii. Other employees that access the sports wagering system do not require occupational licensure so long as internal controls are established preventing such an employee from changing any of the sports wagering system's Indiana regulated control program components.

E. Indiana Retail and on-Site Employees:

- i. Sports wagering vendors must designate a retail sportsbook manager or equivalent position. This position is required to obtain an occupational license, Level 1.
- ii. An employee of the sports wagering vendor whose duties affect the flow of money obtained as a direct result of sports wagering operations or other operations in the casino, must obtain an occupational license.

F. Access to Indiana casino Sensitive Area(s):

- i. Access to Indiana casino Sensitive Area(s) requires an occupational license

1. Sensitive areas in the casino are defined as cage, count room, surveillance, main bank/vault, server rooms for gaming systems and/or surveillance, and table game pit areas.
- G. Access to Gaming or Regulated Equipment:
- i. Access to perform any maintenance, installation, or work on any Indiana casino gaming system, EGD, table, kiosk, or terminal on any Indiana casino gaming floor or sportsbook requires an occupational license;
    1. Gaming equipment or supplies is defined as a machine, mechanism, device or implement that affects the result of a game by determining win or loss, including, without limitation, any of the following:
      - a. Electronic Gaming Device
      - b. Software
      - c. Cards
      - d. Dice
      - e. Any representative of value used with any game, including, without limitation
        - i. Chips
        - ii. Electronic debit cards
        - iii. Related hardware and software.
    2. For this purpose, access would be defined as having access to the interior of the EGD and/or electronic components that impact the play of the game.
  - ii. Engineers and developers of regulated gaming equipment must obtain an occupational license.
- H. Department Guidance:
- i. Accounting/Finance:
    1. Chief Financial Officer, or equivalent top line manager/controller must obtain an occupational license, Level 1.
    2. An employee of a sports wagering vendor who authorizes the data provided to a Certificate Holder for purposes of Indiana tax remittance must obtain an occupational license.
    3. An employee responsible for conducting the IGC required internal audit or signing off on the internal audit report must obtain an occupational license.
    4. Employees that meet the criteria set out in SWV Section III (A-G).
  - ii. Customer Service:
    1. Employees that meet the criteria set out in SWV Section III (A-G).
  - iii. Engineering/Product Development/IT:
    1. The sports wagering vendor's top IT personnel overseeing sports wagering operations, must obtain an occupational license, Level 1.
    2. The network administrator, or equivalent position, responsible for creating sports wagering vendor employee accounts and administering and maintaining privileges must obtain an occupational license.
    3. Employees that meet the criteria set out in SWV Section III (A-G).

- iv. Legal/compliance:
  - 1. Each sports wagering vendor must have at least one designated individual licensed who will be responsible for communicating with the IGC's Compliance Division regarding settlements for regulatory violations.
  - 2. Employees that meet the criteria set out in SWV Section III (A-G).
- v. Marketing/social media/promotions:
  - 1. The sports wagering vendor's top Chief Marketing Officer or equivalent position must obtain an occupational license, Level 1.
  - 2. Employees that meet the criteria set out in SWV Section III (A-G).
- vi. Trading/risk:
  - 1. Top line manager(s) will require an occupational license, Level 1.
  - 2. Employees that meet the criteria set out in SWV Section III (A-G)
- vii. Other Departments: On a case-by-case basis, a sports wagering vendor is free to request the IGC review of any additional positions that fall outside the scope of the positions and departments described. Requests must be sent to IGC's Gaming Administrator at [OccLic@igc.in.gov](mailto:OccLic@igc.in.gov) with the information outlined at the beginning of the section.



# Applications

Each License Level has a corresponding application with questions specific to the licensing of that level. *The Commission does not offer a statewide license.* Instead, the Commission issues Occupational Licenses at each Casino, Supplier, and/or SWV. To apply for an Indiana Occupational License, an individual must first have an offer of employment from an Indiana Casino, Supplier, or SWV. Occupational Licenses are not transferable to other licensed unrelated Gaming Entities.

## Submissions

The Applicant for an occupational license should complete the application and provide any supporting documentation. A copy of the Applicant's birth certificate or accepted alternate document must be provided with the application. The Applicant is also required to submit documentation of their military service, if applicable. If the Applicant has an arrest record or criminal history, the Applicant may be required to submit court documentation demonstrating the outcome of all arrests or criminal charges. **Gaming Entities should advise their new employees when completing applications that they must fully disclose their criminal history** and provide any corresponding court documents at the time of application. If all charges, arrests, and convictions are not disclosed, the licensee can be subject to the revocation of their temporary license by the Commission.

Applicants should plan ahead and obtain **all** supporting documentation prior to submission of the application. Failure to provide this information may delay processing or even cause the Applicant to be denied a license.

Applications must be submitted to the IGC within 30 days of the appointment to, or transfer to, the position that requires licensure. Applications are not considered submitted if they are incomplete, this includes payment, fingerprint cards, and all exhibit information. Extensions can be requested to [occllc@igc.in.gov](mailto:occllc@igc.in.gov) before the due date of the application and will be reviewed on a case-by-case basis.

**Failure to submit a complete application by the due date may result in the Commission taking disciplinary action against the Gaming Entity.**

Pages 1 and 2 of the [PD1](#) and [PD2](#) forms include instructions for completing the form, as well as what documents are required for proof of birth or citizenship.

Each application must be submitted with the application fee and two blue fingerprint cards. The [amount of the application fee](#) and [the initial application](#) can be found on the Commission website. Occupational license applications and Gaming Entity applications will continue to be submitted outside of LAM in accordance with the application instructions.

### Fingerprinting Procedures for Applicants and Licensees

Indiana Code §§ 4-33-8-6 and 4-35-6.5-6 provides that applicants for licenses are required to submit fingerprints on forms provided by the Commission and those card submissions may be forwarded to the Indiana State Police pursuant to Ind. Code § 4-33-4-18. All hard copy fingerprint submissions that

accompany gaming license applications must be submitted on original, blue and white, FD-258 fingerprint cards. This requirement is pursuant to the submission directive issued by the Indiana State Police ("ISP"), the entity responsible for processing fingerprint card submissions. Per the ISP directive, no other form of fingerprint card will be accepted going forward. This requirement applies uniformly to all licensing applications.

FD-258 fingerprint cards are available from the IGC by request or may be available to the Applicant or Licensee through other sources. **Submissions using recreations, reproductions, scans, copies, or anything other than original FD-258 cards of original size will not be accepted.** Card submissions must use the original FD-258 cardstock. Applications that fail to comply with this requirement will not be processed.

*Applicants are further advised that pursuant to IC 4-33-4-18 and IC 4-33-6-5, all fingerprints provided by Applicants will be forwarded to the Federal Bureau of Investigation for a complete national criminal history check. Applicants will have the opportunity to disprove the information contained in the criminal history return. Corrections or updates to the criminal history return may be pursued by the following procedures contained in Title 28, C.F.R. § 16.34.*

### Felony Waivers

An individual who has been convicted of a felony or a gambling-related offense will be automatically denied an Occupational License. However, the individual may be eligible to apply for a felony waiver. Depending on the nature of the felony offense, at least five or ten years must have passed since the conclusion of the sentence served for the felony conviction or the Commission is prohibited from considering the application. Some offenses, such as crimes of fraud and deception, are not eligible to be waived.

Those with felonies can still potentially hold an Indiana License, however, they must complete the [Felony Waiver Application](#). If the felony waiver Applicant meets the basic criteria for a waiver, a hearing will be held at which the individual may present evidence of rehabilitation and the reasons why a waiver should be granted. The hearing officer will make a recommendation to the Commission which will make the final decision regarding whether the waiver should be approved.

## Approvals

When an application has been received, processed, and approved, the temporary license may be issued and available to view in LAM along with the license number. A notification will be sent to the Gaming Entity LAM user in the system upon issuance. After this has been received by the Gaming Entity, the employee is considered licensed by the State of Indiana. **Employees may not work at an Indiana Gaming Entity or have access to the criteria requiring licensure described in the Level Designation Process sections of this guidance before this time.**

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# License Types

## Temporary Licenses

With exception to applicants who disclose a felony or other concerning information on their application, most applicants are issued a temporary license after a review of their application. Those with felonies can still potentially hold an Indiana License, however, they must complete the [Felony Waiver Application](#). Temporary licenses can be revoked at any point by the Commission. An applicant who receives a temporary license may work at a casino or for a Gaming Entity until a permanent license is issued or the temporary license is revoked or otherwise terminated.

## Permanent Licenses

Permanent licensees have been deemed by the Commission to be suitable to receive an occupational license. This determination is done by the Commission's background and financial investigations divisions. The standards, qualifications, and criteria that an Applicant must meet in order to be issued an occupational license are described in 68 IAC 2-3-5. IGC will notify the Gaming Entity via LAM of issuance of permanent licenses, and from there, the Gaming Entity may download a permanent license letter if necessary. Once a permanent license has been issued, the Gaming Entity will incur a charge for the permanent license. The Commission will issue Gaming Entities a bill quarterly that includes any permanent licensure fees.

# Renewals and Updates

**Every licensee is required to renew their license annually and keep their information up to date.**

## Renewals

All licenses must be renewed annually, including temporary licenses when applicable. Renewals can only be submitted within 60 days of their expiration date. Gaming Entities must use LAM to submit any renewals to IGC. **Renewals will not be processed until payment is received for the renewal.** Gaming Entities can see a current listing of renewals due, as well as when any renewals are completed, in LAM.

The [amount of the renewal fee](#) can be found on the Commission website.

**Late renewals may result in the Commission taking disciplinary action against the Gaming Entity.**

## Leave of Absence

Gaming Entities must use LAM to submit any Leave of Absence information to the IGC for licensees within 15 days of the first day of the occurrence of the leave. If an individual has an active leave of absence on their profile, they may not work in a licensed position. If an individual is found working with an active LOA in the system, the GE will be subject to disciplinary action.

Should a L1 licensee go on a leave of absence, in addition to entering the LOA into LAM, a request should also be sent to [occllic@igc.in.gov](mailto:occllic@igc.in.gov) to outline who the GE proposes will be filling in for the duties while the individual is on the leave. If a licensee is on LOA they are not subject to annual renewal, however, they must be renewed prior to the start of their return to work.

**Failure to file LOAs in LAM and/or failure to request approval for L1 interim duties may result in the Commission taking disciplinary action against the Gaming Entity.**

## Updates and Quarterly Reporting

Gaming Entities must provide the following updates to the IGC on a quarterly basis. The updates that must be submitted on a quarterly basis are:

- Title changes for occupational licensees: utilizing LAM to submit an update by the 15<sup>th</sup> day after the close of the quarter in which the change occurred.
- Occupational licensee changes of name, address, telephone number, and/or the filing of a bankruptcy: utilizing LAM to submit an update by the 15<sup>th</sup> day after the close of the quarter in which the change occurred.
- Organizational charts: submitted via email to [Occllic@igc.in.gov](mailto:Occllic@igc.in.gov) on or before the 15th day following the close of each quarter. All company positions involving Indiana operations must be reflected on the organizational chart, whether licensed or not. Titles held by

licensees and applicants must match the titles on file with IGC. This will be reviewed quarterly, and any discrepancies must be resolved.

- **If there have been no changes to the org chart or licensee update information since the last quarterly update, email [OcclLic@igc.in.gov](mailto:OcclLic@igc.in.gov) to indicate that there have been no changes and that no updates are necessary.**

Quarter submission dates are as follows:

	Span of Quarter	Submission Start Date	Last Submission Date
Quarter 1	January 1 - March 31	April 1	April 15
Quarter 2	April 1 - June 30	July 1	July 15
Quarter 3	July 1 - September 30	October 1	October 15
Quarter 4	October 1 - December 31	January 1	January 15

An Occupational License does not create a property right but is a revocable privilege granted by the Commission contingent upon continuing suitability for licensure. Occupational Licensees have a duty to notify the Commission of any changes in the information submitted in the Occupational Licensee's application.

Certain updates must be submitted to the IGC within ten (10) or fifteen (15) days of the change or occurrence of the event. The updates that must be submitted within ten (10) or fifteen (15) days are:

- An Event or update to an Event. Event is defined as having been arrested, detained, charged, indicted, convicted, entered in a pre-trial diversion, pled guilty, pled nolo contendere, or been summoned for either a felony or misdemeanor criminal offense, in any state or foreign country. This also includes traffic-related misdemeanors or felonies. The requests must be submitted through LAM as an arrest request within ten (10) calendar days of the Event or update to an Event.  
**Note:** Event does not refer to traffic infractions or any of those listed above that have been sealed or expunged by a court as these are not required to be submitted to the Commission.
- License termination due to separation from the company or no longer meeting the criteria set forth in the Level Designation Process section above. The requests must be submitted through LAM as a termination request within fifteen (15) days of the separation or change in duties.
- Any other information that would affect the occupational licensee's suitability to maintain a license. To notify IGC, send an email to [occllic@igc.in.gov](mailto:occllic@igc.in.gov) with the details of the disclosure within 10 calendar days of the occurrence.

## Terminations

Gaming Entities are required to update the Commission within fifteen (15) days of any terminations of licensees, or any changes to a licensee's position or duties which cause the employee to no longer require a license. Terminations must be sent utilizing LAM within 15 days of the separation or change in duties.

In the event you believe a L1 qualifies for relinquishment under the above guidelines, do not hesitate to reach out to the IGC Gaming Administrator at [OcclLic@igc.in.gov](mailto:OcclLic@igc.in.gov) to receive guidance. The request

must provide sufficient detail regarding the employee's position, responsibilities, and access to the information contemplated in the Level Designation Process section of this document.

Should a L1 licensee be terminated, in addition to entering the termination into LAM, a request should also be sent to [occllc@igc.in.gov](mailto:occllc@igc.in.gov) to outline who the GE proposes will be responsible for the duties of the vacant position in the interim. The email should also include if the GE is replacing the individual or eliminating the position.

**Late submissions of terminations may result in the Commission taking disciplinary action against the Gaming Entity.**

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# Licensee Badge Requirements

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**All Gaming Entity employees servicing Indiana casinos are required to always display their badge.**

## First Visit to an Indiana Casino

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Upon an employee's first visit (or first visit without a license or badge) to an Indiana casino, they will need to acquire a licensee badge. This is different from a temporary visitor or vendor badge given to visitors who need to access the casino.

Once an employee has their Gaming Entity license badge, they will be able to utilize it at the casino where they are contracted to work.

To obtain a licensee badge, the employee should request to speak with an Indiana Gaming Commission Agent as soon as they get to the casino. From there, they will let the Agent know they already have a Gaming Entity occupational license and require a licensee badge for access to the casino. The Agent will then escort them to the Commission office, take their picture, and issue them a badge.

Gaming Entity employees will not be able to utilize visitor or vendor badges to work at any Indiana casino without approval from the Commission.

**Unlicensed Gaming Entity employees will be denied access to the casino upon arrival.**

## Remote Employees

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Some Gaming Entities may not require their employee to frequent the Indiana casinos physically, however they may deal with sensitive information from Indiana players and casinos. If this is the case, they will not be issued a badge. If they ever require to be at the casino, however, they will have to follow the instructions presented above.

# Gaming Entity Renewal & Reporting Requirements

**Once an entity has been issued a Gaming Entity license, certain information must be provided to the Commission, including reports and renewal information.**

## Continual Reporting Requirements

When a licensed Gaming Entity becomes aware of any of the following events, written notice must be provided:

- Change in status of the Gaming Entity's License
- Violations of Rules of the Commission
- Civil litigation filed against the Gaming Entity
- Criminal, civil, administrative action, or investigation initiated by a government entity
- Claims made by a government entity regarding any tax liability
- Criminal, civil, administrative, or tax action by or against a key person, substantial owner, or affiliate
- Bankruptcy, receivership, or debt adjustment
- Compliance review by the IRS
- Notice requested by the Executive Director

For more information on general reporting requirements, please see 68 IAC 1-5-1. **See Appendix A for a full listing of all reports required to be submitted to the IGC.**

## Additional Reporting Requirements

In addition to the general reporting requirements, Gaming Entities are also required to do the following:

- Provide notice of a public offering
- If not publicly traded:
  - File a quarterly report with the Director of Background Investigations and Director of Financial Investigations that lists those persons who hold an interest in the licensed company
- If publicly traded:
  - Annually provide the Commission with a list of record holders and beneficial owners of voting securities;
  - Report an election or appointment of a director or any officer;
  - Provide notice of disposed voting securities.
- Quarterly Licensing Reporting as outlined in this guidance (Renewals and Updates/Updates and Quarterly Reporting)
- File any other document requested by the Commission



# How to Submit Reports

When a general or additional report is submitted to the Commission, it is required to be submitted in a specific fashion, and to the designated email address. The report's file should be named as below, in pdf format, where "YYYY" represents the year utilizing 4 digits, "MM" represents the month utilizing two digits, and "DD" represents the day utilizing two digits:

YYYY.MM.DD Required Report Name, three letter acronym for entity

Please see the memo [here](#), issued April 11, 2017. If you are unsure what the Gaming Entity acronym given to your entity is, feel free to send an email to [Reports@igc.in.gov](mailto:Reports@igc.in.gov).

## Example:

If the May 1, 2017 required report name is Notification of SEC Filing, and the entity submitting the report is Bally, the report title and email subject line should reflect: "2017-05-01 Notification of SEC Filing BGI". This report, in pdf format, should then be sent with the name above in the subject line to [Reports@igc.in.gov](mailto:Reports@igc.in.gov).

# Renewal Requirements

The IGC sends a renewal reminder to the Gaming Entity 60 days before the expiration of the company's license. If for any reason the renewal reminder is not received by the Gaming Entity, the renewal is still required to be submitted on time.

To prevent the license from expiring, the Gaming Entity must renew its license annually by submitting the Gaming Entity's Annual Renewal Request and annual renewal/administrative fee.

The materials above should be received by the IGC no later than 30 days prior to the license's expiration to ensure the renewal request is processed in a timely manner. For SWVs and Suppliers, the Annual Renewal Request Form can be found in the "Resources" section of LAM.

## Gaming Entity and Level 1 Reinvestigations

Every three years, PFS Operators, Suppliers, and Sports Wagering Vendors must undergo a complete reinvestigation. The Commission, however, will reach out to the Gaming Entity when this is set to occur with any and all form submission requirements and timelines. This process, along with applications and fees, is completely separate from the annual renewal of the Gaming Entity or Occupational Licenses.

During the Gaming Entity's reinvestigation, certain Level 1 Occupational Licensees must also undergo reinvestigation. The IGC will complete a suitability investigation on each licensee undergoing reinvestigation. Directors of Background and Financial Investigations will reach out to the Gaming Entity before the time of the Gaming Entity's reinvestigation to provide a listing of individuals required to file applications. **Gaming Entity or Level 1 reinvestigations should not be filed by licensees without contact from the Investigations Division.**

**Submission of late applications may result in the Commission taking disciplinary action against the Gaming Entity.**

# EGD Requirements

The Commission requires specific information about supplies, warehouses, and employees for EGD equipment and shipments. This system is also used for Sports Wagering Vendors ITL (independent testing lab) certifications. If your company does not deal with this, feel free to skip this section. If you are unsure, contact the [Commission's EGDS Compliance Manager](#).

## Notification Requirements & EGD System

Gaming Entities are required to furnish the Commission with information that will be entered into the Indiana Electronic Gaming Device System ("EGDS") and used for communication with certain Gaming Entity employees. The Commission requires the information of the Gaming Entity's employees who will receive any approved gaming technology certifications. Additionally, Gaming Entity employees will require access to the EGDS for the purpose of confirming orders submitted by the casinos and marking when orders are in transit.

## Warehouse Location Notification

An email notification is required to be sent to the [EGDS Compliance Manager](#) with the location of any warehouse that will be shipping approved gaming product to an Indiana casino. This email needs to include the name of the Gaming Entity and the full address of the before mentioned warehouses.

## Approved Gaming Technology Certification or ITL Contact

An email notification is required to be sent to the [EGDS Compliance Manager](#) with the name and email addresses of anyone who will receive the Approved Gaming Technology or ITL Certifications. More than one person and email address can be identified as the point of contact. Any time a change needs to be made to the contact list, please update the Commission's EGDS Compliance Manager.

## EGDS User Request – Access Agreement Form

Access to the EGDS is required by the Commission by at least one Gaming Entity employee. The Gaming Entity is required to confirm orders submitted by the casinos and to mark when orders are in transit. To acquire access to the system, an [Access Agreement Form](#) will need to be submitted by each employee who uses the EGDS to the [EGDS Compliance Manager](#). **Be sure the form is signed by the employee and the Compliance Manager of the Gaming Entity.**

## EGDS User Guide

The Commission has an [EGDS User Guide](#). Please review it for use of the system, and disseminate it to any employees that use the system.

### REPORTS SUBMITTED BY EMAIL TO INDIANA GAMING COMMISSION

	Code Site	Report Name	Frequency
Banned Jackpot Sreadsheet/Safekeeping Log		0 Banned Jackpot Spreadsheet-Safekeeping Log	Monthly
Economic Development Reports	68 IAC 1-3-2	Economic Development Reports	Annual
Emergency Procedures	68 IAC 11-4-5 (b)2	Emergency Procedures	Specific Instance
Emergency Response Training Reporting	68 IAC 8-2-26	Emergency Response Training	Annual
Financial Statement Audits	68 IAC 15-14-3	Financial Statement Audits	Annual
General Reporting Requirements	68 IAC 1-5-1	Casino or Supplier or Applicant Shall provide written notice:	
		1 Violation of Rules of the Commission	as soon as aware
		2 Change in status of Owners License or Suppliers License	as soon as aware
		3 Civil Litigation filed against Casino or Supplier	as soon as aware
		4 Criminal, Civil, Admin Action or Investigations initiated by a government entity	as soon as aware
		5 Claims made by gov entity re Tax liability	as soon as aware
		6 Criminal, Civil, Administrative or tax Action by or against employee or key person	as soon as aware
		7 Bankruptcy, recievership, or debt adjustment	as soon as aware
		8 Compliance Review by IRS	Within 10 days of receiving rpt
		9 Notice Requested by Executive Director	Specific Instance
Internal Audit Procedures	68 IAC 15-8-1 (e)	Internal Audit Reports	Semi-Annual
Internal Control Procedures (QUARTERLY)	68 IAC 11-9-3	Child Support Arrears Delinquency Report	Quarterly
	(b)	List of CSADR Authorized Employees	Quarterly
Notice of Public Offering	68 IAC 4-1-4	Notice of Public Offering	Specific Instance
Personal Protective Measures and Evacuation Procedures	68 IAC 8-2-20	Personal Protective Measures and Evacuation Procedures	Annually
Reporting of Interest in a License	68 IAC 1-13-1 (d)	Reporting of Interest in a License	Quarterly
Reporting Purchases with MBE WBE	68 IAC 3-3-9	MBE-WBE Required Notification	within 30 Days of determination
	IC 4-33-14-5	NON Goods and Services Report	
Reporting Requirements for Publicly Traded Corp.	68 IAC 4-1-7	Reporting requirements for Publicly Traded Corp.	
	a	Notification of SEC filing listed in this rule	within 10 business days
	b	Copy of material document filed with SEC per this rule	within 10 business days
	(c ) (1)	List of Recordholders and Benef Owners of voting securities	Annually
	(c ) (2)	Election or appointment of director or any officer in this rule	within 10 business days
	(c ) (3)	Written notice of disposed voting securities	by the 15th day of mo following trans
Sale or Lease of Equipment,Devices, and Supplies	IC 4-33-7-5	Sale or Lease of Equipment, Devices, and Supplies	Quarterly
Testing and Updating Plan Procedures	68 IAC 8-2-25	Testing and Updating Emergency Response Plan Procedures	Annually



## M E M O R A N D U M

**Date:** November 6, 2017  
**To:** Casino licensees  
**Cc:** Supplier Licensees  
**From:** Sara Tait, Executive Director  
**Subject:** Remote access to casino gaming systems

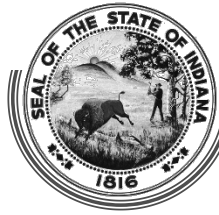
Casino gaming systems may be accessed remotely only by supplier licensees and only when approved in writing by the Indiana Gaming Commission (Commission). Any casino seeking to establish remote access for a supplier licensee must have in place internal controls including, minimally, the following provisions:

- 1) Casinos must submit a written request for each proposed remote access session to the Enforcement Division Supervisor assigned to each property or a designated agent, where applicable, which includes the names of the supplier licensees who will participate in the session, the manufacturer version number of the system being accessed and the circumstances requiring the remote access session;
- 2) The establishment of agreements between casino licensees and any suppliers for which remote access is being sought setting forth the obligations of the parties involved;
- 3) Each employee of a supplier licensee engaging in remote access must individually hold an occupational license and have a unique system account login established by the casino licensee;
- 4) Remote access must occur utilizing a dedicated and secure communication facility which limits access to software and systems unrelated to the purpose of the remote access;
- 5) Casino IT staff must activate accounts immediately prior to approved remote access sessions and disable the accounts once the remote access session has concluded;
- 6) Each casino must maintain a remote access log documenting each occurrence of remote access, including;
  - a. the manufacturer version number of the system accessed,
  - b. the start time,
  - c. the end time,
  - d. the reason for the remote access, including the symptoms or malfunction prompting the need for remote access to the system,
  - e. any action taken and further action necessary, and

- f. the names of all supplier and casino occupational licensees involved in the session;
- 7) Provisions for recording and retaining the recordings for all remote access sessions; and
- 8) Audit procedures conducted to ensure the work completed is within the scope of the request, has not compromised the integrity of any casino gaming system, and complies with all applicable laws, rules and internal control procedures.

It is important to note that any processes requiring dual key entry, agent observation, agent participation and/or other oversight must continue to be conducted with equivalent controls if performed electronically. While the IGC makes every effort to promptly pursue regulatory enhancements to accommodate the casino industry's utilization of evolving technology, rules remain applicable until waived in writing by the executive director.

Thank you for your prompt attention in this matter. In order to provide reasonable time for casinos to submit internal control procedures and receive Commission approval, the requirements contained herein will not be effective until December 1, 2017. The internal controls should be submitted to Commission Information Technology Manager Tom Stuper at [tstuper@igc.in.gov](mailto:tstuper@igc.in.gov). Any questions or concerns regarding this matter may also be directed to Mr. Stuper or discussed with your Gaming Enforcement Division Supervisor, as appropriate.



**DIRECTIVE**

**Date:** February 8, 2024<sup>1</sup>  
**To:** Sports Wagering Operators and Platform Providers  
**From:** Greg Small, Executive Director  
**Subject:** Change Management Directive

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All changes to event wagering systems shall be made in accordance with this directive. This process ensures transparency in relation to changes to the event wagering system and the decision process behind those changes.

The sports wagering operator and the sports wagering platform provider (“platform provider”) are responsible for ensuring that the event wagering system is certified in accordance with the rules regarding sports wagering adopted by the Indiana Gaming Commission (“Commission”).

**A. OCCUPATIONAL LICENSING REQUIREMENT**

All individuals responsible for authorizing a release or performing a system upgrade to the event wagering system shall be licensed by the Commission pursuant to Commission rules and 68 IAC 2-3.

**B. CONFIGURATION BASELINE OF THE EVENT WAGERING SYSTEM**

The configuration baseline is established during the initial certification of the event wagering system. The configuration baseline shall be reestablished at the time of recertification. The configuration baseline enables the Indiana independent testing laboratory to inspect all changes to the components in such a manner that an audit trail exists back to the initial configuration baseline.

**C. INTERNAL CONTROLS AND CHANGE MANAGEMENT LOG**

1. The sports wagering operator or the sports wagering platform provider, or both, shall submit internal controls to the Commission regarding the procedures in place to deploy changes and updates to the sports wagering system.
2. A change management log (“CML”) shall be created by the sports wagering platform provider. The CML shall be a report compiling the changes made to the event wagering system including the date and time for each change. The CML report and the Control Program Self-Verification Report (Section E.) shall be submitted to an Indiana independent testing laboratory for an independent test lab audit on

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<sup>1</sup> Please note that these updated sports wagering Change Management Directive is intended to replace and supersede the directive that was issued on February 3, 2020.

the 15<sup>th</sup> day following the close of each quarter. Quarters are as follows: Quarter 1, January – March; Quarter 2, April – June; Quarter 3, July – September; and Quarter 4, October – December.

#### **D. RECORDING CHANGES IN CHANGE MANAGEMENT LOG**

The platform provider for the event wagering system shall record changes to the event wagering system in the CML. It is the responsibility of the platform provider to create and maintain the CML.

The CML shall record at a minimum the following:

- Date and time of change;
- A description and reason for the change, including each regulated control program component affected. If the component being changed is a hardware component, include the physical location of this hardware component;
- The name and Commission issued occupational license number of the employee responsible for authorizing and/or conducting the change;
- Commission approval date, if applicable;
- The level of the change (Level 1, 2, or 3), pursuant to Section F; and
- The recording of the new digital signature for any change to a regulated control program component which must match the daily control program self-verification report.

#### **E. CONTROL PROGRAM SELF-VERIFICATION REPORT**

The platform provider shall also submit a control program self-verification report to show that all regulated control program components on the event wagering system are authentic copies of the approved components of the system as certified by the Indiana independent testing laboratory under GLI-33. Please see GLI Standard Series GLI-33: Standards for Event Wagering Systems, Appendix B: B.2.6 Verification Procedures and GLI-33: Standards for Event Wagering Systems, 2.3 Control Program Requirements as references. In the event of an authentication failure of any critical control program component, a report shall be submitted to [swsvr@igc.in.gov](mailto:swsvr@igc.in.gov). The self-verification report shall be included as part of the quarterly CML report submission to the Indiana independent testing laboratory but be contained in a separate report from the CML report.

The self-verification control program is considered a regulated control program component and as such, must be certified by an independent testing lab. An approved Control Program Self Verification template is attached to this Directive as Appendix A. A sports wagering platform provider may seek Commission approval for the use of a report that deviates from Appendix A.

#### **F. CLASSIFICATION OF CHANGES**

##### *Level 1 – No impact / Notify and Do*

The change has no impact to regulated components of the event wagering system.

Examples:

- Changes to web pages or content not related to game play, game outcome, or any regulated feature;
- Installation or changes to backup software and/or hardware components related to those backups;
- Database maintenance that modifies or deletes non-critical data in the database.
- Scheduled outages or maintenance to any WAN, Internet service provider, or hosting infrastructure;
- Installation of operating system security patches;

- Any system configuration changes that have no impact on gaming, revenue, or any regulated feature.

#### *Level 2 – Low Impact / Notify and Do*

The change has a low impact on the integrity of the event wagering system. This may also include hardware component changes.

Examples:

- Firewall rule changes;
- Database maintenance, software updates and upgrades;
- Changes to the physical location of regulated primary backup data;
- New kiosks. Please note that all new kiosks must follow all regulations pertaining to the movement of EGDs and be approved in the EGDS system prior to submitting a release note;
- No impact or low impact change to an existing regulated feature;
- Change to an existing or addition of a new non-regulated feature;
- Installation of operating system security patches;
- Whitelisting an IP address for any account that allows geolocation check to be bypassed;
- Previously approved by IGC updates to web pages that contain terms and conditions, player protection information, house rules and any other regulated feature.
- Changes related to other jurisdictions which will have no impact in Indiana. Jurisdiction must be noted in the release note.

#### *Level 3 – High Impact Requires approval*

The change has a high impact on regulated components or reporting of the event wagering systems.

Examples:

- A change impacting responsible gaming limits;
- A change implemented by the platform provider that substantially impacts geolocation services;
- The platform provider shall not be required to seek certification if it is updating its geolocation integration from a third party, unless the Commission explicitly requires a recertification;
- Addition of a new payment processor or know your customer provider;
- Implementation of a new gambling feature or a change to any logic impacting wagering or game logic;
- A change impacting required regulatory reports or data used for financial reconciliation;
- Configuration changes that impact gaming operations, revenue calculation, regulated features, or any controlled computer system;
- A change impacting the handling or storage of personally identifiable information;
- Any change or addition of physical hardware component of the primary system.



## G. CHANGE MANAGEMENT PROCESS

### 1. Email notice required

The Commission must receive notice regarding all level 1, 2 and 3 changes made to the event wagering system prior to the deployment occurring. Notice must be sent to the following email address: [sportswagering@igc.in.gov](mailto:sportswagering@igc.in.gov). Notices may include multiple changes that are to be introduced concurrently.

#### A. *Subject line requirement*

The subject line of the email requesting approval must begin with the level of the change, to be designated as L3. The subject line must then provide a unique, operator assigned reference number, name or code. The naming assignment shall remain consistent. The naming assignment (including level designation) must also be included in the CML submission.

#### B. *Information that must be included in all email requests*

Each email must include a brief description of the changes being deployed and the level of the change. The brief description must be in simple language that can be easily understood. The body of the request must also contain the following information:

- i. **Attestation of internal platform provider testing.** Notices provided under this Section shall include an attestation from an individual licensed with the Commission that the deployment to be released will have no impact on the platform provider's ability to meet the requirements set forth in GLI 33, IC 4-38, Title 68 of the Indiana Administrative Code or the Commission's Emergency rules and directives.
- ii. **Notice of deployment.** If the deployment date is provided in the email notice described above, no further communication is required. If the deployment date changes from what was initially submitted or a date is not provided in the approval submission, then a message must be sent to [sportswagering@igc.in.gov](mailto:sportswagering@igc.in.gov) confirming the deployment date after the deployment is completed.
- iii. **Independent Testing Laboratory letter.** If the release note has a change to a component that requires automatic recertification, the independent testing laboratory letter number associated with the change or copy of the independent testing laboratory letter shall be provided.

### 2. Commission Approval Required for Level 3 Deployments

**Commission approval is not required for level 1 and 2 changes.** Email notice must still be provided to the Commission and Level 1 and 2 changes must still be documented in the CML.

A request for a level 3 change shall be submitted to the Commission for review and approval. If a response is not received within five business days from the date and time the notice was submitted, approval may be assumed. Once the change is approved, the platform may deploy the update. Notifications shall be submitted to the Commission at least 5 business days prior to the scheduled release. For emergency deployments, please reference Section (G)(6), below.

Once approval has been received by the platform provider to make a level 3 change, the approval shall be recorded in the CML with all relevant documentation and submitted to the independent testing lab quarterly.

### 3. Recertification of Event Wagering System or Event Wagering System Components for level 2 and level 3 Deployments

Level 2 and 3 changes that trigger an automatic recertification requirement should have an approved independent testing laboratory letter on file when the change notice is submitted. Requests for the change notice to be reviewed without an approved independent testing laboratory letter can be submitted to [sportswagering@igc.in.gov](mailto:sportswagering@igc.in.gov). These requests shall include the change notice subject line, reasoning for the request and that the independent testing laboratory letter will be submitted within 60 days.

The following level 3 changes shall trigger an automatic recertification requirement of the updated or new feature:

- Any addition or critical functional changes to the following components: payment processing, Know Your Customer, responsible gaming account features i.e. limits, fraud detection, self-exclusion, geolocation or emergency change.

#### **4. Reports upon request**

In addition to the required quarterly CML report submission, a platform provider shall be able to generate a report from the CML or the control program self-verification report upon request from the Commission. The CML or the control program self-verification report must be able to be organized by date and time. These reports shall be provided in either Adobe Reader format (PDF), Microsoft Word format (DOC), or Microsoft Excel format (XLS).

#### **5. Recertification upon request**

In addition to the requirements of subsection (G)(3) above, the Commission, in its discretion, may require the platform provider to seek recertification by the independent Indiana testing lab that originally certified the event wagering system. In such cases, the platform provider shall have 60 days to have the component or the entire event wagering system, dependent on the Commission's determination, recertified by an Indiana independent testing laboratory. Extensions of time to complete this requirement shall be granted for good cause shown. Requests for an extension must be submitted to [sportswagering@igc.in.gov](mailto:sportswagering@igc.in.gov) and include all relevant information regarding the change being recertified. This request shall be recorded with the date and time of submission to the CML. All communication between the independent testing laboratory and the platform provider shall be retained by the platform provider and provided to the IGC upon request. A copy of the request will also be submitted to the Commission.

#### **6. Emergency situations**

In emergency situations, a platform provider may execute level 3 changes immediately without prior approval. Notice shall be provided to the Commission as soon as possible. In addition to the other requirements for notification, the notice shall include an incident report that details why emergency action was required. The Commission will conduct analysis in each emergency instance to verify the necessity of the actions taken.

If you have questions regarding this directive, please contact the sports wagering division at 317-233-0046.