

## SPORTS BETTING REGULATIONS

### 1 CCR 207-2

#### BASIS AND PURPOSE FOR RULE 1

The purpose of Rule 1 is to provide definitions of various terms used throughout the sports betting Rules of the Colorado Limited Gaming Control Commission so that the Rules can be uniformly applied and understood. The definitions in 44-30-103, C.R.S. and 44-30-1501 C.R.S. shall also apply throughout this document. The statutory basis for Rule 1 is found in sections 44-30-102, C.R.S., 44-30-104, C.R.S., 44-30-201, C.R.S., 44-30-202, C.R.S., 44-30-203, C.R.S., and 44-30-302, C.R.S.

#### **RULE 1**      **GENERAL RULES AND REGULATIONS** *Effective 4/14/20*

##### **Rule 1.4**      **Definitions.**

- (28) "Prohibited sports betting participant" means any person who is prohibited pursuant to 44-30-1506~~2~~, C.R.S.; ~~SECTION 44-30-1506 (B)(II)—(IV), C.R.S.; OR IS A PERSON UNDER THE AGE OF 21. any individual whose participation may undermine the integrity of the betting or the sports event, or any person who is prohibited for other good cause, including, but not limited to: any individual placing a wager as an agent or proxy; any person who is an athlete, coach, referee, player, in, or on, any sports event overseen by that person's sports governing body based on publicly available information; a person who holds a position of authority or influence sufficient to exert influence over the participants in a sporting contest, including, but not limited to, coaches, managers, handlers, or athletic trainers; a person with access to certain types of exclusive information on any sports event overseen by that person's sports governing body based on publicly available information, or a person identified by any lists provided by the sports governing body to the Division.~~

#### BASIS AND PURPOSE FOR RULE 6

The purpose of Rule 6 is to specify the rights, responsibilities, and duties of licensees; specify certain duties of licensees related to permitting access to the Division of information, records, and premises controlled by the licensee, require licensees to maintain sufficient financial reserves, require that certain information be publicly posted, direct the licensee to prohibit certain conduct, and establish procedures for patron disputes, dissolution of corporations, transfers of interests and terminations of licensee employment or licensure. The statutory basis for Rule 6 is found in sections 44-30-201, C.R.S., 44-30-202, C.R.S., 44-30-203, C.R.S., 44-30-204, C.R.S., 44-30-302, C.R.S., 44-30-510, C.R.S., 44-30-528, C.R.S., 44-30-833, C.R.S. and part 15 of article 30 of title 44, C.R.S.

#### **RULE 6**      **RIGHTS AND DUTIES OF LICENSEES** *Effective 4/14/20*

##### **6.11**      **Prohibited sports betting participant.**

- (1) ~~Prohibited sports betting participants include any person who is prohibited pursuant to 44-30-1506, C.R.S., any individual whose participation may undermine the integrity of the betting or the sports event, or any person who is prohibited for other good cause, including, but not limited to:~~
- (a) ~~Any individual placing a wager as an agent or proxy, other than those individuals involved in contests and/or weekly picks approved by the Division pursuant to Rule 6.20;~~

- (b) Any person who is an athlete, coach, referee, player, in, or on, any sports event overseen by that person's sports governing body based on a list provided to the applicable Sports Betting Operation by that person's sports governing body through the division;
  - (c) A person who holds a position of authority or influence sufficient to exert influence over the participants in a sporting contest, including, but not limited to, coaches, managers, handlers, or athletic trainers based on a list provided to the applicable Sports Betting Operation by that person's sports governing body through the division;
  - (d) A person under the age of 21;
  - (e) A person with access to certain types of exclusive information on any sports event overseen by that person's sports governing body based on publicly available information, or based on a list provided to the applicable Sports Betting Operation by that person's sports governing body through the Division
  - (f) A list provided to the Division by a sports governing body shall be in a format and contain data fields designated by the Director or the Director's designee. When a list or updated list is provided, the Division will direct that list to all Sports Betting Operations. This list shall be deemed confidential and only be used for compliance with this rule.
- (12) A prohibited sports betting participant must refrain from engaging in sports betting in the state of Colorado ON THE and must disclose his or her status as a PROHIBITED SPORTS EVENTS AND/OR ON THE PROHIBITED SPORTS BETTING OPERATION PLATFORM(S), betting participant to all relevant persons and/or governing bodies. Failure to comply with the provisions of this rule may result in disciplinary action up to and including criminal prosecution.
- (23) A PROHIBITED SPORTS BETTING PARTICIPANT MUST DISCLOSE HIS OR HER STATUS AS A PROHIBITED SPORTS BETTING PARTICIPANT TO ALL RELEVANT PERSONS AND/OR GOVERNING BODIES. FAILURE TO COMPLY WITH THE PROVISIONS OF THIS RULE MAY RESULT IN DISCIPLINARY ACTION UP TO AND INCLUDING CRIMINAL PROSECUTION.
- (3) A Sports Betting Operation shall make commercially reasonable efforts to confirm that the patron is not a prohibited sports betting participant.
- (4) A sports wagering ticket may be received as a tip wager by an employee of a sports betting operator or master license so long as the receiver of tip wager did not solicit the sports wagering ticket, the receiver did not participate in the selection of the wager and the sports betting ticket is placed into a tip pool.

## **BASIS AND PURPOSE FOR RULE 9**

The purpose of Rule 9 is to specify the requirements of Sports Betting Operations and responsible gaming, patron responsible gaming, and to specify certain duties of licensees and patrons related to self-restriction. The statutory basis for Rule 9 is found in sections 44-30-201, C.R.S., 44-30-202, C.R.S., 44-30-203, C.R.S., 44-30-302, C.R.S., 44-30-502, C.R.S., 44-30-510, C.R.S., 44-30-528, C.R.S., 44-30-531, C.R.S., 44-30-827, C.R.S., 44-30-833, C.R.S., 18-20-112, C.R.S., 44-30-1701, C.R.S., and 44-30-1702, C.R.S., 44-30-1703, C.R.S., and part 15 of article 30 of title 44, C.R.S. (Amended temp. 10/27/22, Amended perm. 2/14/23)

## **RULE 9 RESPONSIBLE GAMING AND SELF-RESTRICTION** *Effective 4/14/20*

### **9.1 Display of responsible gaming logo.**

- (1) Each sports betting website, mobile application, and self-service gaming device (kiosk) shall display a responsible gaming logo in a manner approved by the Director or Director's designee to direct a patron to the Sports Betting Operator's responsible gaming webpage OR THE DIVISIONS RESPONSIBLE GAMING WEBPAGE. Master, Sports Betting Operator, and Internet Sports Betting Operator licensees shall operate under the same responsible gaming guidelines as detailed in these Rules, where applicable. The responsible gaming webpage shall be accessible to a patron during a sports betting patron session and shall contain, at a minimum, the following:
  - (a) A prominent message that states, "Gambling problem? Call or TEXT\_1-800-GAMBLER";
  - (b) A direct link to the website and other internet resources dedicated to helping people with potential gambling problems as directed by the Commission; AND,
  - (c) A clear statement of the Sports Betting Operation's policy and commitment to responsible gaming along with a link to the Sports Betting Operator's specific self-exclusion program along with information on self-exclusion through the Division or Division's website.
- (2) Sports Betting Operations with brick and mortar locations must have a policy in effect for all of its properties in addition to self-exclusion, providing opportunities for patrons to request in writing the revocation of their privileges for specific services such as:
  - (a) Direct sports betting promotions;
  - (b) Player club/card privileges related to sports betting;
  - (c) On-site check-cashing; and,
  - (d) Complimentaries.
- (3) Sports Betting Operations with brick and mortar locations must make information available promoting responsible gaming and where to find assistance, including a toll-free help line number. This information shall be available and visible in sports betting areas, AFFIXED TO ALL SPORTS BETTING KIOSKS, and at cash access devices.

## 9.2 Sports Betting Operations self-exclusion.

Each Sports Betting Operation shall establish and maintain a self-exclusion program for patrons CONSISTENT WITH REGULATION 9.5. Each Sports Betting Operation shall participate by sharing self-exclusion data with the Division in accordance with rule 9.5. Each Sports Betting Operation shall participate by electronically importing self-excluded patron information. If a Sports Betting Operation is unable to electronically import and export self-excluded patron information, another method may be approved by the Director. This self-exclusion is not part of any self-imposed limits or short-term timeout taken by a patron. It only pertains to the limits specifically set forth in 9.5(4)(a).

## 9.3 Direct marketing to INDIVIDUALS ON THE EXCLUSION LIST prohibited sports betting participants

- (1) ~~For the purpose of this rule, "prohibited participant" shall mean individuals who have voluntarily requested to be excluded from gaming activities and individuals who are required by the Commission to be excluded or ejected from licensed gaming establishments, and sports betting individuals who are prohibited from placing wagers on certain sporting events to the extent that those individuals reside in the Division's exclusion list database.~~

- (12) A Sports Betting Operation shall make all reasonable efforts to ensure that INDIVIDUALS ON THE EXCLUSION LIST ~~prohibited participants~~ do not receive direct marketing from the Sports Betting Operation or marketing affiliates.
- (23) A Sports Betting Operation will satisfy this requirement if the Sports Betting Operation and/or marketing affiliates remove the ~~prohibited participant's~~ name and resident address from the list of INDIVIDUALS ON THE EXCLUSION LIST patrons to whom direct marketing materials are sent.
- (34) ~~A~~ A Sports Betting Operation DIRECTLY OR THROUGH ~~and/or~~ their marketing affiliates shall use the current ~~E~~exclusion List provided by the Division, TO PREVENT INDIVIDUALS BEING DIRECTLY ADVERTISED TO. ~~The E~~exclusion List ~~or in person changes~~ shall be used expeditiously to update all direct marketing lists to ensure that INDIVIDUALS ON THE EXCLUSION LIST ~~excluded and prohibited players~~ are not directly targeted, ~~including but not exclusive of~~ direct mail, PHONE CALLS, TEXT MESSAGES, AND emailS, OR ANY OTHER FORM OF DIRECT COMMUNICATION.
- (5) ~~Regulation 9.3(4) shall not apply to persons identified in 44-30-1502 C.R.S. that are only prohibited from betting on a sporting event that is overseen by that person's sport's governing body.~~

#### 9.4 Responsible advertising and promotions

- (1) All offers and bonuses must:
- (e) Not restrict the customer from withdrawing their own funds or withdrawing winnings from bets placed using their own funds; ~~and~~
  - (f) ~~Players that self-exclude shall not, while on the exclusion list, be able to redeem points, bonuses, comps or freeplay.~~
- (2) NO PERSON MAY, WHILE ON THE EXCLUSION LIST, REDEEM POINTS, BONUSES, COMPS OR FREE PLAY.
- (23) Prohibition on advertising that targets underage participants:
- (b) A Sports Betting Operation and/or their marketing affiliates shall not advertise on media where the majority of the demographic audience or players/performers are known to be under the legal age to ENGAGE IN SPORTS BETTING ~~gamble~~. This does not apply to public venues where the demographics of a normal crowd in attendance cannot be determined.
- (34) Sports Betting Operation ONSORS and Internet Sports Betting Operators on or before October 1, 2023, and on or before October 1<sup>st</sup> each year ~~thereafter~~ shall submit to the Director a report that describes the efforts of the licensee in the preceding state fiscal year (July 1<sup>st</sup> through June 30<sup>th</sup>) to promote responsible gaming in the state via advertising and other promotional methods and the licensee's plans concerning such promotional efforts in the current state fiscal year. *(Effective temp. 10/27/22, perm. 2/14/23)*
- (45) A Sports Betting Operation DIRECTLY OR THROUGH ~~and/or~~ their marketing affiliates shall include a prominent message, which states, "Gambling problem? Call or TEXT 1-800- GAMBLER" on all forms of media advertisement to Colorado consumers, including but not limited to: electronic mail (email), video advertisements, digital/online advertising, television advertisements, radio advertisement, letters, pamphlets and newspaper/magazine advertisements. The written message of "Gambling problem? Call or TEXT 1-800- GAMBLER" shall appear in conspicuous and legible type in contrast by typography, layout, or color with all other printed material on the advertisement. Verbal messaging of "Gambling problem? Call or TEXT 1-800- GAMBLER" shall be audible and understandable. Advertisements that only reference restaurants and/or the hotel at a SPORTS BETTING retail gaming licensee's retail LOCATION(S) casino(s) and do not market gaming and/or sports betting, including gaming and/or sports betting spaces, are exempt from

this provision. The words "or text" may be excluded upon the Director's prior approval. ANY GAMING-RELATED COMMUNICATION THAT WILL ENTICE A COLORADO CONSUMER TO GAMBLE AND ANY GAMING-RELATED MATERIALS SHALL HAVE THE PROMINENT MESSAGE OF "GAMBLING PROBLEM? CALL OR TEXT 1-800-GAMBLER." *Amended 3/16/24*

(A) ENTICE MEANS TO ATTRACT, INVITE, AND/OR PROMOTE FOR PURPOSES OF THE PROVISION.

## 9.5 Exclusion list – Duties and responsibilities.

### (1) Database creation-DIVISION EXCLUSION LIST.

The Division shall operate a program to consolidate excluded AND, self-excluded and prohibited individuals in one interactive database repository EXCLUSION LIST in order to keep those individuals from participating in Colorado gaming. The program shall provide an interactive protected database EXCLUSION LIST for retail gaming licensees, Sports Betting Operations, sports leagues and individuals that participate in gaming in Colorado, as well as any licensed third-party vendors pre-approved by the Director or the Director's designee which contract with a licensee or Sports Betting Operation. The sole purpose of the Exclusion List and database is to ensure timely updates of individuals that may not participate in gaming AND SPORTS BETTING for all gaming operations in Colorado. The Exclusion List shall only be used for the purpose of identifying those individuals who have been excluded are prohibited from gaming and those that may have excluded themselves because of a gambling problem. Licensees INCLUDING and Sports Betting Operations that receive data from the Division shall use it solely to update their database whether directly or through a Division-approved third-party vendor. The information contained in the database and EXCLUSION LIST updates provided to the licensees are confidential and shall only be used for its intended purpose. Limited information may be shared with affiliates and Division-approved third-party vendors for the purpose of ensuring self-excluded individuals ON THE EXCLUSION LIST do not receive direct marketing. It is a violation for any licensee to use the confidential data in any other way. The Director shall determine how each licensee, league or individual PERSON interacts with the database.

- (a) INTERNET Sports Betting Operations shall, as part of their self-exclusion and responsible gaming program, make available A SELF-EXCLUSION APPLICATION TO A PATRON REQUESTING TO SELF-EXCLUDE. to the player easily identifiable within the operators application, the link to the Division's website for self-exclusion. THIS SELF-EXCLUSION APPLICATION MUST INCLUDE AN EASILY IDENTIFIABLE LINK TO THE DIVISION'S SELF EXCLUSION WEBSITE AND T~~The link should~~MUST take the player directly to ~~that page~~THE WEBPAGE from the application.
- (b) The Division shall provide database records, sent electronically to the Sports Betting Operations. The Director shall provide one or more excluded or prohibited player lists to Sports Betting Operations. Data records will be in a format detailed by the Director or the Director's designee. THE SPORTS BETTING OPERATORS SHALL PROVIDE EITHER A HARD COPY OF THE DIVISION'S SELF-EXCLUSION APPLICATION, PROVIDE A DEDICATED COMPUTER IN THE SPORTSBOOK WHERE A PATRON CAN ACCESS THE DIVISION'S SELF-EXCLUSION WEBSITE, OR DIRECT THE PATRON TO THE DIVISION'S SELF-EXCLUSION WEBSITE.
- (c) Sports Betting Operations shall receive updates daily from the Division. Sports Betting Operations shall update all new excluded persons within their database. The Division shall provided database records, sent electronically A LIST OF EXCLUDED PLAYERS (THE EXCLUSION LIST) to the Sports Betting Operations. The Director shall provide one or more excluded or prohibited player lists to Sports Betting Operations. Data records THE EXCLUSION LIST will be in a format detailed DETERMINED by the Director or the Director's designee, UPDATED AS NEEDED, AND SENT ELECTRONICALLY. ALL NEW AND EXISTING LICENSEES SHALL UPDATE ALL NEW EXCLUDED PERSONS WITHIN THEIR OWN DATABASE OR THROUGH A DIVISION APPROVED THIRD-PARTY VENDOR WITHIN THREE BUSINESS DAYS, MONDAY

THROUGH FRIDAY, EXCLUDING HOLIDAYS, FROM RECEIVING AN UPDATED EXCLUSION LIST FROM THE DIVISION. LICENSEES MUST REVIEW THE EXCLUSION LIST PRIOR TO ISSUING A NEW ACCOUNT.

(d) Sports Betting Operations shall receive the Division database with self-excluded persons that have opted in on or after January 1, 2023, as determined by the Director. The Sports Betting Operation shall make information for players that have self-excluded prior to January 1, 2023 upon request.

(e) A licensed third-party vendor may view and use the confidential information contained in the Division's ~~E~~exclusion ~~L~~ist and database, so long as the third-party vendor has complied with the following:

- (i) The third-party vendor has entered into a contract or written agreement with a licensee outlining the third-party vendor's access and use of the confidential information contained in the Division's ~~E~~exclusion ~~L~~ist and database.
- (ii) The third-party vendor has completed and submitted a form prepared by the Director or the Director's designee. As part of the form, the third-party vendor must disclose all retail gaming licensees and Sports Betting Operations that it is providing services to related to the Division's ~~E~~exclusion ~~L~~ist and database. As part of the form, the third-party vendor must affirmatively agree not to disclose the confidential information contained in the Division's ~~E~~exclusion ~~L~~ist and database, and also agree to only use such confidential information for its intended purpose.
- (iii) The third-party vendor may not access and/or use the confidential information contained in the Division's ~~E~~exclusion ~~L~~ist and database until approved in writing by the Director or the Director's designee.
- (iv) The third-party ~~VENDOR~~ must immediately inform the Division of any changes to its address, any changes to its contract or written agreement with a ~~retail gaming licensee and/or~~ Sports Betting Operation, or its cessation of services relating to the provision of this regulation within five (5) calendar days of the changes or cessation of services.
- (v) The third-party vendor must immediately disclose to the Division within five (5) calendar days any disclosure of the confidential information contained in the Division's ~~E~~exclusion ~~L~~ist and database or inappropriate use of such confidential information. ~~The license with which the third-party vendor has contracted and/or entered into a written agreement may be subject to discipline in accordance with the provisions of Article 30 of Title 44, C.R.S., and/or the Gaming and Sports Betting rules and regulations under 1 C.C.R. 207-1 and 1 C.C.R. 207-2 respectively.~~

(e) IN THE EVENT THE THIRD PARTY VENDOR VIOLATES ANY OR ALL OF THE REQUIREMENTS IN RULE 9.5(D), THE LICENSEE WITH WHICH THE THIRD-PARTY VENDOR HAS CONTRACTED AND/OR ENTERED INTO A WRITTEN AGREEMENT MAY BE SUBJECT TO DISCIPLINE IN ACCORDANCE WITH THE PROVISIONS OF ARTICLE 30 OF TITLE 44, C.R.S., AND/OR THE GAMING AND SPORTS BETTING RULES AND REGULATIONS UNDER 1 C.C.R. 207-1 AND 1 C.C.R. 207-2 RESPECTIVELY.

(2) EXCLUSION LIST Database inclusion.

(a) The following persons shall be included and maintained in the ~~Division database~~ EXCLUSION LIST, updated and transferred to Sports Betting Operations, retail gaming

licensees, and licensed third-party vendors approved by the Director or the Director's designee which contract with a licensee or a Sports Betting Operation:

- (ii) Individuals that have voluntarily self-excluded from any operator, retail casino or through the Division.
  - (ii) Sports betting individuals who are prohibited from placing wagers on certain sporting events to the extent that those individuals reside in the Division's exclusion list database.
  - (iii) Individuals who are required by the Commission to be excluded or ejected from licensed gaming establishments, to the extent that those individuals ARE LISTED reside in the Divisions Exclusion List database.
- (b) INDIVIDUALS Persons on the Exclusion LIST and prohibited list may not participate or collect winnings from the gaming in Colorado on which they are prohibited. FOR PURPOSES OF THIS PROVISION, "WINNINGS" ONLY APPLIES TO BETS MADE AFTER THE INDIVIDUAL WAS ADDED TO THE EXCLUSION LIST. Players INDIVIDUALS that self-exclude shall not, while on the Exclusion List, SHALL NOT be able to redeem points, bonuses, comps or free play. The SPORTS BETTING OPERATION applicable operator or licensee can WILL retain or keep any winnings of a person on the Exclusion LIST and prohibited list. INDIVIDUALS Persons on the Exclusion LIST and prohibited list forfeit any money wagered, but may retain any remaining funds that have not been actively wagered in casino games or sports wagering after being placed on the EXCLUSION LIST excluded or prohibited list.
- (i) RETAIL LICENSEES, INTERNET SPORTS BETTING OPERATOR, AND/OR SPORTS BETTING OPERATORS MUST CHECK WHETHER A PATRON IS ON THE EXCLUSION LIST DURING THE FOLLOWING TRANSACTIONS: COMP ISSUANCE, REWARD ITEM ISSUANCE, SPORTS BETTING TRANSACTIONS REQUIRING ID, PIN CHANGE, JACKPOT PAY OUT, ISSUING/REISSUING A PLAYERS CARD, FRONT MONEY, OR OPENING A PLAYERS ACCOUNT.
  - (ii) RETAIL LICENSEES, INTERNET SPORTS BETTING OPERATOR, AND/OR SPORTS BETTING OPERATORS MUST RESPOND TO ANY ALERTS THEIR SYSTEM MIGHT PROVIDE, INCLUDING BUT NOT LIMITED TO AUDIBLE AND VISUAL ALERTS THAT INDICATE A PATRON IS ON THE SELF-EXCLUSION LIST. EXAMPLE OF ALERTS MAY INCLUDE BUT ARE NOT LIMITED TO ALERTS FROM THE PLAYER MANAGEMENT SYSTEMS, TECHNOLOGY, OR ANY OTHER METHODS ASSIGNED BY THE DIRECTOR. SYSTEMS THAT HAVE THE CAPABILITY TO PROVIDE THE ALERT ARE REQUIRED TO UTILIZE IT, BOTH AUDIBLE AND VISUAL VERSIONS, IF AVAILABLE.
- (A) A RESPONSE INCLUDES:
- (1) INDIVIDUALS ON THE EXCLUSION LIST WHO CONTINUE TO ENTER RETAIL SPORTS BETTING ESTABLISHMENTS AND PARTICIPATE IN SPORTS BETTING WILL BE ESCORTED OUT OF THE RETAIL SPORTS BETTING ESTABLISHMENT AND MAY BE SUBJECT TO PROSECUTION. SPORTS BETTING OPERATORS ARE REQUIRED TO REPORT EACH INCIDENT TO THE DIVISION.
  - (2) INTERNET SPORTS BETTING OPERATORS MUST REVIEW ALL PATRON ACCOUNTS TO DETERMINE WHETHER ANY PATRONS ARE ON THE EXCLUSION LIST UPON RECEIVING THE LISTS FROM THE DIVISION. IN THE EVENT AN INDIVIDUAL ON THE EXCLUSION LIST HAS AN ACCOUNT WITH THE INTERNET SPORTS BETTING OPERATOR, THE INTERNET SPORTS BETTING OPERATOR MAY NOT ACCEPT ANY SPORTS WAGERS

FROM THE PATRON DURING THE DURATION OF THE PATRON'S INCLUSION ON THE EXCLUSION LIST.

(C) A RETAIL GAMING LICENSEE THAT ALLOWS INDIVIDUALS ON THE EXCLUSION LIST TO GAMBLE MAY BE SUBJECT TO DISCIPLINARY ACTION IN ACCORDANCE WITH THE PROVISIONS OF ARTICLE 30 IF TITLE 44, C.R.S. AND/OR THE GAMING AND SPORTS BETTING RULES AND REGULATIONS UNDER 1 C.C.R. 207-1 AND 1 C.C.R. 207-2.

(3) SELF-Inclusion on the Eexclusion Llist.

(a) Individual self-exclusion means that an individual has made a conscious voluntary effort to exclude themselves from not only that form of gaming but from all forms of gaming, INCLUDING LIMITED GAMING AND SPORTS BETTING under the regulatory purview of the Commission and the Division. Self-exclusion may only be accomplished by an individual acting in their own interest, in the following ways:

(i) Self-exclusion by an individual through the Division. An individual self-excluding either in person or through a web-based application. All self-exclusions by individuals through the Division, either in person or web-based, will have their identity verified prior to being included on the Eexclusion Llist.

(ii) Self-exclusion THROUGH from an Internet Sports Betting Operator. AN INTERNET SPORT BETTING OPERATOR SHALL DIRECT ANY An individual who CHOOSES AN OPTION TO ELECTRONICALLY SELF-EXCLUDE on THE an Internet Sports Betting mobile app chooses an option to electronically self exclude, and has been directed to the Division's SELF-EXCLUSION website.

(iii) Self-exclusion THROUGH from a Ssports Bbetting Ooperator (retail sports book). An SPORTS BETTING OPERATOR SHALL DIRECT ANY individual WHO requesting self-exclusion THROUGH from THE SPORTS BETTING OPERATOR a retail sports book shall fill out a self exclusion form provided by the sports book. The sports book shall enter the self exclusion into the secure Division portal, direct the player to a dedicated computer on the licensee's property where the player can access TO the Division's website directly for self-exclusion, or if the portal is not available direct the player to the Divisions website for self exclusion at a later time or use their electronic database procedure. IN THE ALTERNATIVE, A SPORTS BETTING OPERATOR MAY DIRECT ANY INDIVIDUAL REQUESTING SELF-EXCLUSION THROUGH THE SPORTS BETTING OPERATOR TO COMPLETE A SELF-EXCLUSION FORM PROVIDED BY THE SPORTS BETTING OPERATOR.

(iv) Self exclusion from a retail gaming licensee (casino). An individual requesting self exclusion from a casino shall fill out a self exclusion form provided by the casino. The casino shall enter the self exclusion into the secure Division portal direct the player to a dedicated computer on the licensee's property where the player can access the Division's website directly for self exclusion or if the portal is not available direct the player to the Divisions website for self exclusion at a later time or use their electronic database procedure.

(b) Individuals wishing to self-exclude in person or through the Division's web-based application shall fill out all required information on the form. Incomplete forms MAY where an individual cannot be identified will not be processed.

(c) Individuals that self-exclude from SPORTS BETTING OPERATIONS gaming corporations that have gaming operations in other states may be included on their corporate exclusion list

and may be included in other state exclusion programs. An individual self-excluding in Colorado shall be informed prior to being placed on a corporate exclusion list.

(4) **SELF-EX** exclusion period.

(a) Individuals **who** that have voluntarily self-excluded **from any Sports Betting Operation, retail casino or through the Division** shall select the period of exclusion to include:

(ii) Three (3) years; **OR**

(b) An individual who is on the **EXCLUSION L**ist may submit a request, to the Division, to increase the minimum length of exclusion.

(5) Removal from the **E**xclusion **L**ist **AFTER SELF-EXCLUSION**.

(a) **NO PERSON IS AUTOMATICALLY REMOVED FROM THE EXCLUSION LIST WHEN THE SELECTED OR DIRECTED PERIOD ENDS.** Individuals that have self-excluded **AND-OF** are on the **EXCLUSION** excluded **L**ist **will need to fill out and MUST** file the **REQUEST FOR REMOVAL FROM THE EXCLUSION LIST** form with the **DIVISION** Director prior to being removed from **THE** **E**xclusion **L**ist. **No person is automatically removed from the exclusion list when the selected or directed time period ends.**

(b) **Sports betting individuals who are prohibited from placing wagers on certain sporting events to the extent that those individuals reside in the Division's exclusion list database may be removed from the list by their governing body/league or by filling out and filing the form with the Director.**

(**Be**) Individuals that are on the **E**xclusion **L**ist and have not completed their self-selected period of self-exclusion may petition the Director for removal from the list. The **DIRECTOR OR THE DIRECTOR'S DESIGNEE** **Division** may require self-evaluation or evaluation by a professional to ensure the problem gambling or financial issues that led to the self-exclusion have corrected themselves. Removal from the **E**xclusion **L**ist prior to the self-selected time period is at the complete discretion of the Director. If an individual's petition to be removed from the **E**xclusion **L**ist prior to the self-select**ED** exclusion period is not approved by the Director, the individual may not re-petition the Director again for the period of one year **FROM THE DATE OF THE DIRECTOR'S DECISION, REGARDLESS OF ANY SUBSEQUENT PETITION(S) OR PROCEEDING(S) UNDER RULE 2.8.**

## 9.6 Establishment of responsible gaming best practices.

(1) **PRIOR TO BEGINNING SPORTS BETTING ACTIVITY, A** Sports Betting Operations **shall MUST** submit **FOR APPROVAL** to the Division **IT'S** their strategy for the implementation of a responsible gaming program. **The responsible gaming strategy shall not only include self-directed limits by players, it shall also include the licensees commitment as a company to a robust responsible gaming platform. The plan for implementation shall be submitted to the Division no later than April 1, 2023. Sports Betting Operations that begin operating after April 1, 2023 shall have a responsible gaming strategy in place prior to commencing live operations. Beginning October 1, 2023 and On or before October 1<sup>ST</sup> each year thereafter, EACH Sports Betting Operations shall submit to the Division any updates to its strategy** **ie FOR THE implementation plan OF A RESPONSIBLE GAMING PROGRAM.** **The strategic implementation plan shall include but is not limited to the following:**

(a) **A detailed explanation of the options available for customers to set self-directed limits on all aspects of their deposits, withdrawals, limits on betting and time frames those limits take place. Additionally, an explanation of all responsible gaming tools that are at the players disposal.**

- (b) A detail of the staffing level, including the lead staff position for the responsible gaming program, staffing positions dedicated to responsible gaming, employee education and outreach to players identified as problem gamblers or players that are at risk or show signs of problems gaming.
- (c) A detail of the use of player data and technology to aid in identifying potential problem gamblers. Detail should be provided on how the operators or a contracted third party's technology will provide automated triggers on potential problem gamblers. List should be provided detail on what triggers are being identified and how the operator has identified those as critical matrix to follow. Additionally, what plans the operator has to continually update and learn the best way to identify problem gamblers on their site.
- (d) A detail of the levels of intervention and education provided to identified at risk players. Provide examples of materials and/or media used for intervention and education.
- (e) Detail internal controls to identify those persons who engage in gaming and sports betting activity, controlled by the licensee, who are included on the exclusion list. Internal controls should include prohibiting or stopping persons on the exclusion list and controls in place to prevent collection of winnings by an excluded person.
- (f) Additionally, provide any information relevant to the company as a whole on strategic direction for responsible gaming.

(2) THE STRATEGY FOR THE IMPLEMENTATION OF A RESPONSIBLE GAMING PROGRAM SHALL INCLUDE BUT IS NOT LIMITED TO THE FOLLOWING:

- (A) THE OPTIONS AVAILABLE FOR PATRONS TO SET SELF-DIRECTED LIMITS ON ALL ASPECTS OF THEIR DEPOSITS, WITHDRAWALS, LIMITS ON BETTING AND TIME FRAMES THOSE LIMITS TAKE PLACE.
- (B) ALL RESPONSIBLE GAMING TOOLS THAT ARE AT THE PLAYER'S DISPOSAL.
- (C) THE STAFFING LEVEL, INCLUDING THE LEAD STAFF POSITION FOR THE RESPONSIBLE GAMING PROGRAM, STAFFING POSITIONS DEDICATED TO RESPONSIBLE GAMING, EMPLOYEE EDUCATION AND OUTREACH TO PLAYERS IDENTIFIED AS PROBLEM GAMBLERS OR PLAYERS THAT ARE AT RISK OR SHOW SIGNS OF PROBLEMS GAMING.
  - (i) THE LEAD STAFF POSITION OR THEIR DESIGNEE SHALL BE REQUIRED TO PROVIDE RESPONSIBLE GAMING TRAINING FOR TEAM MEMBERS WHO DIRECTLY ENGAGE WITH SPORTS BETTING PATRONS CONTINUALLY AND/OR AS NEEDED WITH THE TURNOVER OF TEAM MEMBERS.
- (D) THE USE OF PLAYER DATA AND TECHNOLOGY TO AID IN IDENTIFYING POTENTIAL PROBLEM GAMBLERS. DETAIL SHOULD BE PROVIDED ON HOW THE SPORTS BETTING OPERATION'S OR A CONTRACTED THIRD PARTY'S TECHNOLOGY WILL PROVIDE AUTOMATED TRIGGERS ON POTENTIAL PROBLEM GAMBLERS, INCLUDING WHAT TRIGGERS ARE BEING IDENTIFIED AND HOW THE SPORTS BETTING OPERATION HAS IDENTIFIED THOSE AS CRITICAL MATRICES TO FOLLOW. DETAILS SHOULD BE PROVIDED ON AN ANNUAL REVIEW OF THE EFFECTIVENESS OF THE DATA AND TECHNOLOGY USED BY REPORTING THE NUMBER OF PATRONS IDENTIFIED AND WHAT ACTIONS WERE TAKEN, AND ON THE SPORTS BETTING OPERATION'S PLANS TO CONTINUALLY UPDATE AND LEARN THE BEST WAY TO IDENTIFY PROBLEM GAMBLERS ON THEIR SITE. A DETAIL OF THE USE OF PLAYER DATA AND TECHNOLOGY TO AID IN IDENTIFYING POTENTIAL PROBLEM GAMBLERS. DETAIL SHOULD BE PROVIDED ON HOW THE OPERATORS OR A CONTRACTED THIRD PARTY'S TECHNOLOGY WILL PROVIDE AUTOMATED TRIGGERS ON POTENTIAL PROBLEM GAMBLERS. THE LIST SHOULD PROVIDE DETAIL ON WHAT TRIGGERS ARE BEING IDENTIFIED AND HOW THE OPERATOR HAS IDENTIFIED THOSE AS CRITICAL MATRICES TO FOLLOW. ADDITIONALLY,

WHAT PLANS THE OPERATOR IS ENGAGED IN TO CONTINUALLY UPDATE AND LEARN THE BEST WAY TO IDENTIFY PROBLEM GAMBLERS ON THEIR SITE.

(E) THE LEVELS OF INTERVENTION AND EDUCATION PROVIDED TO IDENTIFIED AT RISK PLAYERS. PROVIDE EXAMPLES OF MATERIALS AND/OR MEDIA USED FOR INTERVENTION AND EDUCATION.

(F) INTERNAL CONTROLS TO IDENTIFY ANY INDIVIDUALS ON THE EXCLUSION LIST WHO ENGAGE IN SPORTS BETTING ACTIVITY THROUGH THE SPORTS BETTING OPERATION. INTERNAL CONTROLS SHOULD INCLUDE PROHIBITING INDIVIDUALS ON THE EXCLUSION LIST FROM ENGAGING IN SPORTS BETTING THROUGH THE SPORTS BETTING OPERATION AND CONTROLS IN PLACE TO PREVENT COLLECTION OF WINNINGS BY INDIVIDUALS ON THE EXCLUSION LIST AND,

(G) ANY INFORMATION RELEVANT TO THE COMPANY AS A WHOLE ON STRATEGIC DIRECTION FOR RESPONSIBLE GAMING.

(3) THE SPORTS BETTING OPERATION SHALL ENSURE COMPLIANCE WITH ITS INTERNAL RESPONSIBLE GAMING POLICIES AND PROCEDURES, AND THE STRATEGY FOR IMPLEMENTATION OF A RESPONSIBLE GAMING PROGRAM SUBMITTED TO THE DIVISION. AN OPERATIONS FAILURE TO ADHERE TO ITS OWN RESPONSIBLE GAMING POLICIES AND PROCEDURES AND ITS PLAN PROVIDED TO THE DIVISION MAY SUBJECT THE OPERATION TO REGULATORY DISCIPLINE.

(4) THE SPORTS BETTING OPERATION SHALL AUDIT THE ENTIRETY OF THE PLAYER ACCOUNT MANAGEMENT SYSTEM OR ANY SYSTEM OR DATABASE THAT HOUSES EXCLUDED PATRON INFORMATION TWICE EACH YEAR (FIRST BETWEEN JUNE 1<sup>ST</sup> AND JULY 1<sup>ST</sup> AND SECOND BETWEEN DECEMBER 1<sup>ST</sup> AND JANUARY 1<sup>ST</sup> EACH CALENDAR YEAR) FOR DUPLICATE ACCOUNTS TO ENSURE THAT INDIVIDUALS ON THE EXCLUSION LIST ARE FLAGGED APPROPRIATELY. A SPORTS BETTING OPERATION MAY SUBMIT A REQUEST TO THE DIVISION FOR APPROVAL OF AN ALTERNATIVE AUDIT SCHEDULE, WHICH IS SUBJECT TO APPROVAL BY THE DIRECTOR OR DIRECTOR'S DESIGNEE.

(A) THE SPORTS BETTING OPERATOR OR INTERNET SPORTS BETTING OPERATOR SHALL ENSURE THE PLAYER ACCOUNT MANAGEMENT SYSTEM OR ANY SYSTEM OR DATABASE THAT HOUSES EXCLUDED PATRON INFORMATION IS ACCESSED DURING ANY PATRON GAMING INTERACTION THAT REQUIRES IDENTIFICATION.

(I) EXAMPLES INCLUDE: CASH ADVANCES, CHECK CASHING, PIN NUMBER CHANGES, TAXABLE ACCUMULATED CREDITS OR FREE PLAY, FRONT MONEY, CASH CLUB TRANSACTIONS, AUDIBLE AND VISUAL ALERTS, AND ANY GAMING TRANSACTION REQUIRING AN ID.