

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Agency

Division of Special Revenue

Subject

The Operation of Thoroughbred Racing

Inclusive Sections

§§ 12-574-A-1—12-574-A-56

CONTENTS

except as noted

Sec. 12-574-A1.	General provisions
Sec. 12-574-A2.	Definitions, constructions, interpretations
Sec. 12-574-A3.	Commission on special revenue
Sec. 12-574-A4.	Executive secretary
Sec. 12-574-A5.	Executive director
Sec. 12-574-A6.	Application for license to conduct meeting
Sec. 12-574-A7.	Requirements of association
Sec. 12-574-A8.	Equipment and facilities
Sec. 12-574-A9.	Occupational licenses
Sec. 12-574-A10.	Telephone and telegraph
Sec. 12-574-A11.	Accounting
Sec. 12-574-A12.	Uncashed tickets
Sec. 12-574-A13.	Remittance of monies accrued from underpayment in the mutuels, and collection of fines
Sec. 12-574-A14.	Pari-mutuel operations
Sec. 12-574-A15.	Daily double
Sec. 12-574-A16.	Application for quinella, exacta, trifecta, superfecta wagering
Sec. 12-574-A17.	Quinella
Sec. 12-574-A18.	Exacta
Sec. 12-574-A19.	Trifecta
Sec. 12-574-A20.	Superfecta
Sec. 12-574-A21.	Violations of rules and regulations
Sec. 12-574-A22.	Officials of meeting
Sec. 12-574-A23.	Stewards
Sec. 12-574-A24.	Starter
Sec. 12-574-A25.	Placing judges
Sec. 12-574-A26.	Racing secretary, handicapper
Sec. 12-574-A27.	Clerk of the scales

Regulations of Connecticut State Agencies

TITLE 12. Taxation

- Sec. 12-574-A28. Paddock judge
- Sec. 12-574-A29. Patrol judges
- Sec. 12-574-A30. Timer
- Sec. 12-574-A31. Veterinarians
- Sec. 12-574-A32. Horse identifier
- Sec. 12-574-A33. Drugs and medication
- Sec. 12-574-A34. Testing
- Sec. 12-574-A35. Security
- Sec. 12-574-A36. Jockeys
- Sec. 12-574-A37. Apprentice jockeys
- Sec. 12-574-A38. Jockey agent
- Sec. 12-574-A39. Valet
- Sec. 12-574-A40. Owners and trainers
- Sec. 12-574-A41. Partnerships
- Sec. 12-574-A42. Stable names
- Sec. 12-574-A43. Rules of the race
- Sec. 12-574-A44. Colors and numbers
- Sec. 12-574-A45. Starting
- Sec. 12-574-A46. Weighing out
- Sec. 12-574-A47. Weighing in
- Sec. 12-574-A48. Scale of weights
- Sec. 12-574-A49. Entries, subscriptions, declarations and acceptances for races
- Sec. 12-574-A50. Produce races
- Sec. 12-574-A51. Claiming races
- Sec. 12-574-A52. Estimated winnings
- Sec. 12-574-A53. Dead heats, purses
- Sec. 12-574-A54. Penalties and allowances
- Sec. 12-574-A55. Corrupt practices and disqualification of persons
- Sec. 12-574-A56. Disputes, objections, appeals

The Operation of Thoroughbred Racing

except as noted

Sec. 12-574-A1. General provisions

(a) **Application.** The rules and regulations contained herein shall apply to all associations, as defined herein, conducting a thoroughbred horse race meeting for any purse, stake or reward, and where pari-mutuel wagering shall be permitted.

(b) **Licenses subject to rules.** All licenses granted by the commission are subject to these rules and regulations.

(c) **Amendments.** These rules and regulations are subject to amendment from time to time and shall be amended in accord with Public Act 854 of the 1971 session of the general assembly. All licensees shall abide by any such amendments.

(d) **Waiver.** The commission in its discretion may waive any rule contained herein when such waiver shall be in the best interests of the state of Connecticut and the sport of thoroughbred racing.

Sec. 12-574-A2. Definitions, constructions, interpretations

(a) In applying the rules and regulations as contained herein, including all amendments thereto, the following definitions, constructions and interpretations shall apply:

(1) Act. Public Act 865 of the 1971 session of the general assembly together with any and all amendments thereto.

(2) Added money. The money which, in a stake race, an association adds to the nominating and starting fees.

(3) Age. The age of a horse is reckoned as beginning on the first of January in the year in which he is foaled.

(4) Applicant. Applicant shall mean, according to the requirement of the text:

(A) A person seeking to obtain an occupational license from the commission, or

(B) An individual, partnership or corporation seeking to obtain a license to conduct a thoroughbred race meeting pursuant to the act.

(5) Arrears. Arrears includes all moneys due for entrance forfeits, fees (including jockeys' fees), forfeitures, subscriptions, stake, purchase money in claiming races, and also any default in money incident to the rules.

(6) Association. An association is any individual, partnership or corporation, licensed to conduct a recognized thoroughbred race meeting pursuant to the act.

(7) Authorized agent. A person appointed by a written instrument signed by the owner and filed in accordance with the rules.

(8) Breeder. The owner of the horse's dam at the time of foaling.

(9) Breeding place. A horse is bred at the place of his birth.

(10) Claiming race, optional claiming race.

(A) A claiming race is one in which every horse running therein may be claimed in conformity to the rules.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A2

Division of Special Revenue

(B) An optional claiming race is a race restricted to horses entered to be claimed for a stated claiming price and to those which have started previously for that claiming price or less. In the case of horses entered to be claimed in such a race, the race will be considered, for the purposes of these rules, a claiming race.

(11) Commission. The nine (9) commissioners of the commission on special revenue of the state of Connecticut as established by the act and their duly authorized representatives.

(12) Declaration. Means the act of withdrawing an entered horse from a race before the closing of overnight entries.

(13) Day. Shall mean, according to the requirement of the text:

(A) A period of twenty-four (24) hours, beginning at midnight.

(B) Any period of twenty-four (24) hours beginning at midnight and included in the period of a race meeting.

(14) Drug. Drug shall be deemed to include substances intended for use in the diagnosis, treatment, mitigation, cure or prevention of disease in man or other animals and substances (other than foods) intended to affect the structure or any function of the body of man or other animals.

(15) Entry. Means, according to the requirement of the text:

(A) A horse made eligible to run in a race.

(B) Two or more horses which are entered and run in a race which are owned by the same owner or trained by the same trainer.

(16) Equipment. As applied to a horse, equipment shall mean whips, blinkers, tongue straps, muzzles, nosebands, bits, shadow rolls, martingales, breast plates, bandages, boots and plates.

(17) Field. When the individual horses competing in a race exceed the numbering capacity of the tote, the highest numbered horse within the capacity of the tote, and all horses of a higher number, shall be grouped together and called the "field."

(18) Forfeit. Money due because of an error, fault, neglect of duty, breach of contract, or a penalty.

(19) Foul riding. Any and all acts of a jockey committed in the running of a race designed to gain unfair or unsportsmanlike advantage, to the end of improving his own chance or position in the race or of lessening the chance or position of another in the race.

(20) Fraudulent and/or corrupt turf practice. This shall mean any attempt to enrich oneself or associates, or gain any advantage, through unfair, unlawful or dishonest behavior in connection with the racing of horses.

(21) Free handicap. A free handicap is one in which no liability is incurred for entrance money, stake or forfeit, until acceptance of the weight, either directly or through omission to declare out.

(22) Futurity. A futurity race is a race for younger horses, usually two-year olds, in which entries are made a considerable time before the running of the race, often before the entered horse is born.

(23) Gender. References in these rules to the male gender shall be deemed to include the

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A2

female gender unless the circumstances preclude such inclusion.

(24) Handicap. A handicap is a race in which the weights to be carried by the horses are adjusted by the handicapper for the purpose of equalizing their chances of winning.

(25) Highweight handicap. A highweight handicap is one in which the top weight shall not be less than 140 pounds.

(26) Horse. This includes mare, gelding, colt, filly and horse.

(27) Jockey. A jockey is a licensed jockey, or apprentice.

(28) Licensee. This shall mean, according to the requirement of the text:

(A) An association that has received a license from the commission to conduct thoroughbred horse racing with pari-mutuel wagering.

(B) A person who has an occupational license issued by the commission.

(29) Locked in the gate. Locked in the gate shall mean that a horse is prevented from leaving the post at off-time because of the failure of the front door of the gate to open simultaneously with the other doors, thus preventing said horse from starting when the other horses officially start.

(30) Maiden. A horse which, at the time of starting, has never won a race on the flat in any country at a recognized meeting held under the auspices of a legal racing authority.

(31) Match. A race between two horses the property of two different owners on terms agreed upon by them.

(32) Matinee. A program of races conducted upon a racetrack which concludes by 7:00 p.m., prevailing time.

(33) Minor. A minor shall be any person under the age of 18 years.

(34) Month. This shall mean a calendar month.

(35) Net pool. The total amount bet in a specific pool minus the deduction allowed by the act for the state and the association.

(36) Night performance. A program of races conducted upon a racetrack which begins at 7:00 p.m. prevailing time or later.

(37) Nominator. The nominator is the person in whose name a horse is entered.

(38) Off-time. Off-time is the moment at which, on signal of the starter, the horses break and start to run.

(39) Overnight race. A race for which the entries close seventy-two (72) hours (exclusive of Sundays), or less, before the time set for the first race of the day on which such race is to be run.

(40) Owner. Includes part-owner or lessee.

(41) Place. In racing shall mean first, second or third, and in that order is called "win," "place," and "show."

(42) Post position. The position assigned to the horse at the starting line of the race.

(43) Post race. A race in which the subscribers designate, at the usual time before a race for declaring to start, the horse or horses they are to run, without limitations of choice other than that prescribed by the rules of racing or the conditions of the race.

(44) Post time. The time set for the arrival at the starting point of the horses in a race

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A2

Division of Special Revenue

and which must be shown a reasonable time prior to the race on a clock device, prominently displayed and clearly readable from the grandstand.

(45) Program. Shall mean according to the requirement of the text:

(A) A schedule of races of either a matinee or night performance.

(B) The schedule of races as prepared by the racing secretary and printed by the association for sale to the public.

(46) Purse. A race for money or other prize to which the owners of the horses engaged do not contribute.

(47) Race. Includes a stake, a purse, a sweepstakes, a private sweepstakes, a match or an overnight event, but does not include a steeplechase or hurdle race.

(48) Recognized meeting, or meeting. Any racing meeting given by an association in good standing, within the enclosure of any racetrack, licensed and conducted under the sanction of the act and the rules and regulations of the commission; and constituting the entire consecutive period of days (excluding Sundays only) that has been granted to the association by the commission to conduct thoroughbred racing.

(49) Ruled off. Means the act of debarring horses and/or persons from the grounds of an association and denying all racing privileges.

(50) Rules. The rules herein prescribed and any amendments or additions thereto.

(51) Scratch. The act of withdrawing an entered horse from the race after the closing or overnight entries.

(52) Scratch time. The time set by the association for the closing of applications for permission to withdraw from races of that day.

(53) Starter. This shall mean, according to the requirement of the text:

(A) A horse is a "starter" for a race when the stall doors of the starting gate open in front of it at the time the starter dispatches the horses.

(B) The official who effects the proper start of the horses in the race.

(54) Stewards. The stewards shall be deemed to mean the steward or stewards of the meeting, or their deputies or substitutes acting together, or such of them as may be acting at the time.

(55) Subscription. The act of nominating to a stake race.

(56) Suspended. Suspended shall mean that any privilege granted to a licensee of the commission by the officials of a racing meeting or by the commission has been withdrawn.

(57) Sweepstakes. A race in which the owners of the competing horses nominate their horse for participation and pay subscriptions, entrance and starting fees, whether money or any added prize is added or not (unless it is a private sweepstake). An overnight race, however, is never considered to be a sweepstakes race.

(58) Tote or tote board. This shall mean the totalisator.

(59) Track, or racetrack. This shall be deemed to mean any and all parts of the plant of a racing association, including, but not limited to, the racing strip, the approaches and entrances, the stands and all other accommodations and facilities afforded to the public, the stables, barns, paddocks, quarters of jockeys, and others employed in or about the track,

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A3

judges' and stewards' boxes, photo-finish and film patrol plants, pari-mutuel offices, facilities and equipment, totalisator and public address system.

(60) Walk over. An event in which all horses but one in a proposed race are withdrawn, leaving that horse to walk over the prescribed course and distance of the proposed race

(61) Weight for age. A standard weight according to these rules. A "weight for age" race is one in which all horses carry weight according to the scale without penalties or allowances.

(62) Year. Shall mean a calendar year.

(63) Publicly owned corporations. Any corporation whose stock is available for purchase by the general public.

(64) Stock. Shall include common and preferred shares.

(b) Singular, plural. Singular words include the plural, except where the context otherwise requires.

(Effective January 4, 1974)

Sec. 12-574-A3. Commission on special revenue

(a) **Composition.** The act established a commission on special revenue which appoints an executive secretary and an executive director for each of three separate divisions. The commission consists of nine members, five of whom are appointed by the governor and two by the opposite party leader in the house of representatives, speaker or minority leader, and two by the opposite party leader in the senate, president pro tempore or minority leader. No more than five may be of the same political party. The chairman is selected by the governor, initially, thereafter to be elected annually by the commission members. The commissioners shall be electors of the state, shall have resided in this state for at least seven years next preceding his appointment and qualification and shall be at least thirty years of age.

(b) **Powers.** The powers of the commission are vested in the commissioners thereof. The commission shall have the power and it shall be its duty to:

(1) Promulgate rules and regulations governing the establishment and operation of pari-mutuel wagering and thoroughbred horse racing in the state of Connecticut.

(2) Amend, repeal, or supplement any such rules and regulations from time to time as it deems necessary or desirable.

(3) Appoint an executive secretary to whom it may delegate such authority as it deems proper and appropriate for the efficient administration of the provisions of the act.

(4) Appoint an executive director of the racing division to administer and coordinate the racing division which includes thoroughbred racing.

(5) Hire such employees as may be necessary to carry out the provisions of the act.

(6) Do whatever is necessary to carry out the provisions of the act.

(7) Call upon other administrative departments of the state government and of municipal governments, state and municipal police departments and prosecuting officers and state's attorneys for such information and assistance as it deems necessary to the performance of

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A4

Division of Special Revenue

its duties.

(8) Report to the governor in writing on or before September first, annually, on the activities of the commission during the fiscal year ended the preceding June thirtieth including a statement of receipts and disbursements of the commission, a summary of its activities, and any additional information and recommendations which the commission may deem of value or which the governor may request.

(9) Provide books in which shall be kept a true, faithful and correct record of all its proceedings.

(10) At least annually, on or before December thirty-first of each calendar year, publish in convenient pamphlet form all regulations then in force and furnish copies of such pamphlets to such persons as desire them.

(11) Require, if it determines that it is necessary, that any of its employees give bond in such amount as said commission may determine pursuant to the act.

(c) **Qualification of powers.** The powers herein described shall only relate to the operation of the thoroughbred racing section of the racing division. They shall in no way infringe upon or limit the powers of the commission relative to other aspects of the act. The powers of the commission relative to these other endeavors will be covered by other rules and regulations.

(d) **Powers reserved.** All powers of the commission not specifically defined in these regulations are reserved to the commission under the act creating the commission, and the amendments thereto, and specifying its powers and duties.

(e) **General policy — declaration and administration.** General policies on racing matters are to be decided upon by the commission at their meetings. The administration thereof shall be in the hands of the executive secretary.

(f) **Names on daily racing program.** The commission may require that the names of the commissioners and of its specified employees with their titles, if any, and the address of the commission's offices appear in the daily racing programs.

(g) **Orders-form and execution.** Whenever the commission has adopted a rule or regulation or has rendered a decision, whether on appeal or otherwise, the signature of the individual commissioners shall not be required on any written order or other form of determination, but the chairman or the vice-chairman of the commission shall certify to and promulgate the same, and his signature on such written order or other form of determination or on any promulgation thereof shall be valid and effective as evidencing the official action thus taken by the commission.

Sec. 12-574-A4. Executive secretary

(a) **Appointment.** The commission shall appoint an executive secretary who shall be a resident of this state at the time of and during the full term of his employment.

(b) **Powers.** The executive secretary shall have the power and it shall be his duty to:

(1) Administer and coordinate the administrative functions of the commission.

(2) Have overall supervisory authority and responsibility over the racing division which includes the thoroughbred racing section.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A6

(3) Have that authority which the commission delegates to him as it deems proper and appropriate for the efficient administration of the provisions of this act.

(4) Report to the commission on those functions assigned to him by the commission.

(c) **Qualification of powers.** The powers herein described shall only relate to the operation of the thoroughbred section. They shall in no way infringe upon or limit the powers of the executive secretary relative to other aspects of the act. The powers of the executive secretary relative to these other endeavors will be covered by other rules and regulations.

Sec. 12-574-A5. Executive director

(a) **Appointment.** The commission shall appoint an executive director of the state racing division who shall be a resident of the state at the time of and during the full term of his employment.

(b) **Racing division.** The racing division of the commission shall encompass the thoroughbred racing, harness racing, greyhound racing and jai alai sections.

(c) **Powers.** The director shall have the power, and it shall be his duty to:

(1) Administer and coordinate the operation of the racing division in accordance with the provisions of the act and with the rules and regulations of the commission.

(2) Maintain full and complete records of the operation of the racing division. These records shall be open to the public as provided in section 1-19 of the 1969 supplement to the general statutes.

(3) Report on a regular basis to the executive secretary on the status of the racing division.

(4) Perform those functions assigned to him by the executive secretary.

Sec. 12-574-A6. Application for license to conduct meeting

(a) **License, form, date.** No individual, partnership or corporation shall hold or conduct any meeting within Connecticut at which thoroughbred racing is permitted for any purse, stake or reward and where pari-mutuel wagering is conducted unless such individual, partnership or corporation is licensed by the commission as provided in these regulations.

(1) Applications for a license shall be made on forms supplied by the commission and shall be filed with the executive secretary of the commission on or before a day to be fixed by the commission.

(2) Each applicant shall file such forms as may from time to time be required by the commission.

(b) **Licensing new applicants.** In granting a license to any new applicant the commission will consider the following matters:

(1) Opportunity for the sport to develop properly.

(2) Extent of community support for the promotion and continuance of the track.

(3) The character and reputation of the men identified with the undertaking.

(4) Financial ability of the applicant to promote a facility.

(5) The type and quality of the facility proposed.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A6

Division of Special Revenue

(6) The possible avoidance of competition with other established pari-mutuel facilities in Connecticut, if applicable.

The commission may reject any application for a license for any cause which it deems sufficient.

(c) **Corporations.** All corporate applicants shall be Connecticut corporations or corporations authorized to do business in Connecticut. It shall file with the commission along with its application, the names, addresses, dates and places of birth and social security numbers of the officers and directors, the date of incorporation, and a copy of the original certificate of incorporation and of any amendments; a statement giving the names, addresses, dates and places of birth and social security numbers of all its stockholders and the number of shares registered in the name of each and shall likewise file revised statements giving such information from time to time as changes occur; and if any shares be registered in the name of a corporation or in the name or names of one or more persons as trustees or otherwise for a corporation, the applicant shall, at the same time and in the same manner, furnish a similar statement with respect to the stockholders of such corporation. In the case of publicly owned corporations, provisions of this rule may be waived at the discretion of the commission.

(d) **Partnerships.** If the applicant is a partnership, it shall file with the commission, along with its application, the names, addresses, dates and places of birth and social security numbers of all the partners, general or limited, and the percentage of ownership of each and shall likewise file revised statements giving such information from time to time as changes occur, and if one or more of the partners be a corporation, shall comply with the provisions of rule (c) of this section.

(e) **Individuals.** If the applicant is an individual, he shall file with the commission, along with his application, his name, address, date and place of birth and social security number.

(f) **Change of ownership.** No change of ownership of an association shall be made without prior written approval of the commission except changes effected by a court of competent jurisdiction which shall be treated, for the purposes of this sub-section, in the same manner as stock transfers of publicly owned corporations. In the case of publicly owned corporations, the provisions of this rule shall be waived by the commission upon the following conditions:

(1) The association shall inform the commission of all changes in stock ownership, including the names and addresses of the record owner of the stock, within a period of time from the date of said transaction as shall be determined by the commission.

(2) The association shall use its best efforts to provide the commission with such information pertaining to the new stockholders as the commission shall request.

(3) If the association is unable to provide the commission with any information requested pursuant to the above conditions, or if the commission determines, after a security check of the new stockholder, that the stockholder is a person whose character and reputation are such that the commission deems that person may be detrimental to the best interests of the State of Connecticut and/or thoroughbred racing in the State of Connecticut, the association

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A6

must take such that Meet a divestiture of the stock in question within a reasonable time after receipt of the commission's order to do so and shall inform the commission that a divestiture has occurred by such date as shall be determined by the commission.

(4) The association shall take such steps that may be necessary to insure that no transfers of stock take place which are not reported to the commission.

(5) Failure to adhere to any of the above conditions (1) (2) (3) (4) may be cause for revocation of the association's license.

(g) **Verification.** The application, if made by an individual, shall be signed and verified under oath by such individual, and, if made by two (2) or more individuals or a partnership, shall be signed and verified under oath by all of the individuals or by all of the members of the partnership, whether general or limited, as the ease may be. If the application is made by a corporation, it shall be signed by an officer of the corporation duly authorized by the board of directors and shall affix to the application a certified copy of the minutes or resolution of the board of directors specifically authorizing that officer to sign the application for the corporation. The seal of the corporation shall be affixed to the application and to the certified copy of the minutes or resolution.

(h) **Leasing racing plant.** A license shall not be issued to an applicant if the applicant leases the land and/or buildings for its facility, and the lessor is an individual, partnership or corporation, who would be unable to secure a license to conduct a meeting from the commission pursuant to rule (b) (3) of this section. If the applicant's racing plant or any part thereof, including land and/or buildings, is leased, the applicant shall furnish the name, address, date and place of birth and social security number of the owner, or if the owner be a corporation, the names, addresses, dates and places of birth and social security numbers of the officers, directors and stockholders thereof. No license shall be granted to an applicant who fails to submit such information to the commission as the commission may request from time to time. Failure to report changes in the lessor's ownership, and failure to obtain commission approval thereof may be cause for revocation of license. All associations shall observe the requirements of this rule. In the case of lessors who are publicly owned corporations the provisions of this rule may be waived at the discretion of the commission.

(i) **Fingerprints, photograph.** Each applicant including partner, officer and director shall have their fingerprints and photograph taken by the commission before any license is issued. Every stockholder of an applicant shall comply with this rule. In the case of publicly owned corporations, the provisions of this rule may be waived at the discretion of the commission.

(j) **General information required.** All applicants for a license shall submit on, or as a part of their application:

(1) The number and actual period of days (Sundays excluded), the hours of each racing day, the number of races on a day's program and the post time for the first race, which the applicant desires for a thoroughbred meeting.

(2) The estimated cost of the racing plant to be constructed and a general description of such plant.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A6

Division of Special Revenue

(3) A description of the site of the proposed racing plant, including its acreage.

(4) A statement of the plan of financing of the racing plant and if arrangements have been made for the flotation of securities, the name and address of the person or firm with whom such arrangements and terms have been made.

(5) General specifications, surveys, studies and analyses by competent and qualified experts shall be furnished to the commission to ascertain such factors as proposed attendance, traffic flow, income, or any and all other matters necessary for the commission to make a determination with respect to the matter of the application. The commission reserves the right to reject inadequate or unsatisfactory specifications or to demand additional information and specifications from the applicant.

(6) The written verification of the building and zoning officer of the municipality where the racing plant is proposed to be built that the erection of a thoroughbred racing plant in that locality as to all particulars is not in violation of any local ordinance or zoning regulation.

(7) Such other information and requirements as the commission may deem proper.

(k) **Blueprints.** The granting of a license to an association by the commission for the first time shall be conditioned upon the association furnishing, at its expense, such data as the commission shall require to enable it to carry out fully and effectually all of the provisions and purposes of the act which may include, but shall not be limited to, the following: A map or plan of its racetrack and plant, drawn to such reasonable scale as may be required, showing all structures, piping, fire hydrants and other fixed equipment thereon, with dimensions and nature of construction duly noted thereon, and a plan of the racing strip; and when any material changes are made therein, a similar map or plan showing such changes and drawn to the same scale, shall be forthwith filed with the commission. The blueprints and specifications shall be subject to the approval of the commission, which, at the expense of the applicant, may order such engineering examination thereof as to the commission seems necessary. The erection and construction of the track, grandstand and buildings of any association shall be subject to the inspection of the commission. The commission may employ such inspectors, at the expense of the applicant, as it considers necessary for that purpose.

(l) **Minimum standards.** The plans and specifications of an applicant for a license must meet all the standards enumerated in the uniform building code and the uniform fire code of the state of Connecticut, any and all standards of the municipality in which the applicant proposes to build its racing plant, and any other standards that the commission, in its discretion, may prescribe.

(m) **Condition of license.** Any license granted to an association shall be subject to all rights, regulations and conditions from time to time prescribed by the commission.

(n) **Renewals.** A license granted shall be renewed from year to year pursuant to these regulations upon application by an association for racing dates and filing of any such forms requested by the commission with the executive secretary of the commission by such date as shall be determined by the commission. In acting on renewal applications, the

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A7

commission shall consider the requirements specified in rules b (3) and b (4) of this section.

(o) **Revocations — suspensions.** The commission may revoke the license or fail to renew the license of an association after a hearing for any one of the following reasons:

- (1) If it makes any false statement in any form it files with the commission.
- (2) If a transfer in ownership is made which has not been approved by the commission, subject to the provisions of Section 12-574-A6 (I) of these rules.
- (3) If the association fails to meet its financial obligations.
- (4) If it materially violates the rules and regulations of the commission.
- (5) If there has been a material change in the character and reputation of the men identified with the undertaking.
- (6) If it fails to conduct racing with pari-mutuel betting during any day of its meeting without sufficient cause therefor.

(p) **Non-transferable.** No license shall be transferable or assignable in any manner or in any particular without the prior written approval of the commission.

(q) Any change in the information required to be reported to the commission under sections 12-574-A6 (c) and 12-574-A6 (d) shall be reported to the commission by an association as it occurs. In the case of publicly owned corporations, provisions of this rule may be waived at the discretion of the commission.

(Effective January 4, 1974)

Sec. 12-574-A7. Requirements of association

(a) **Purses.**

(1) As a minimum standard, an association shall allocate the following percentages of the pari-mutuel handle at its track for each day of its meeting for the purpose of purse or prize money for the horses racing at its track:

<i>Daily Handle</i>	<i>Percentage for Purses</i>
0 to \$100,000	7% on the entire pool
\$100,001 to \$200,000	6.75% on the entire pool
\$200,001 to \$300,000	6.5% on the entire pool
\$300,001 to \$400,000	6.25% on the entire pool
\$400,001 to \$500,000	6% on the entire pool
\$500,001 to \$600,000	5.75% on the entire pool
\$600,001 to \$700,000	5.5% on the entire pool
\$700,001 to \$800,000	5.25% on the entire pool
\$800,001 to \$900,000	5% on the entire pool
\$900,001 to \$1,000,000	4.75% on the entire pool
\$1,000,001 and over	4.25% on the entire pool

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A7

Division of Special Revenue

Failure to strictly adhere to this rule shall be grounds for revocation of the association's license.

(2) Prize money shall be awarded the first four (4) finishers in each race, unless fewer than four (4) horses start, in which case each finisher shall be awarded prize money.

(3) Prize money shall be paid to the winners seventy-two (72) hours (Sundays excluded) following their winning. However, no purse money shall be paid to the winners until the reports of specimen samples have been received by the stewards.

(4) Purses must be paid to the winner thereof unless an association is ordered by a court of competent jurisdiction to pay it to another. An association may withhold from purses any money due it by the winner thereof.

(b) **Payment for tests.** The association shall pay the state for the cost of testing horses at its track. This fee shall be determined by the commission at least fifteen (15) days prior to the start of a meeting and shall be based upon actual cost of the testing. The fee shall be payable on a basis to be determined by the commission.

(c) **Offices for commission.** Each association shall provide within its grounds an office for the use of the commission. Members of the commission and its designated representatives shall have the right of full and complete entry to any and all parts of the grounds of the association licensed to conduct thoroughbred racing.

(d) **Liability insurance.** Before any license shall be issued the association shall deposit with the commission an insurance policy against personal injury liability. The insurance shall be in an amount approved by the commission, with premium prepaid. The policy shall name the state of Connecticut as an additional insured.

(e) **Use of program.** In accepting a license from the commission, an association agrees to provide its program to the commission, for just and reasonable compensation, for purpose of off-track betting pursuant to and consistent with the act and the commission rules and regulations concerning off-track betting.

(f) **Track size.** A license for a meeting will be granted by the commission only for racing grounds affording a course of one mile or more in circumference.

(g) **Dates, time and number of races.**

(1) The commission shall determine: the number of racing days to be awarded, which shall not be less than 120 days in a year's time unless waived by the commission for the association's initial year in operation; the actual days awarded; the post time of the first race; the number of races; and the time that races may be held during a given day of the meet.

(2) In case of emergencies when for good cause racing with pari-mutuel wagering cannot be conducted during a meeting, the commission may award make-up days to be utilized on such dates as the commission may determine.

(h) **Illumination for night racing.** In the event night racing is held, an association shall have lighting facilities which must be approved by the commission.

(i) **Emergency lighting.** An association shall have emergency lighting ready to be operated in case of emergency for the protection of patrons.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A8

(j) **Performance bond.** An association which is granted a license to conduct a meeting shall give to the state of (Connecticut a performance bond in such amount as the commission shall determine before said license is issued.

(k) **Riot control.** At least fifteen (15) days before the start of a meeting the association shall provide the commission with a plan for riot control.

(l) **Requirements for admission of horses to association grounds.**

(1) No horse shall be admitted to any part of the grounds of any association unless a health certificate signed by a licensed veterinarian is presented. The certificate must state the following:

(A) The horse was examined thoroughly within a seven-day period preceding the admission date.

(B) The horse was free of any evidence of infectious, contagious or transmissible disease and was afebrile at the time of the examination.

(C) The horse was free of ectoparasites at the time of the examination.

(D) Within the prior two weeks the horse had not been exposed to other horses with any known infectious, contagious or transmissible diseases.

(E) This rule may be waived at the discretion of the commission for horses stabled at commission approved facilities in this state.

(2) No horse shall be admitted to any association plant without a certificate that a negative Coggins test has been completed within a period to be specified by the commission.

(3) Any horse not having the required health certificate will be unloaded in a quarantine area to be designated by the association. A health certificate meeting the requirements of this rule must be obtained within twenty-four (24) hours from the time of admission, or the horse must be removed from the grounds. An association veterinarian will be available on the grounds or on call for the purposes of examining the horse and issuing the certificate. If a horse, upon examination, is found to have clinical evidence of infectious, contagious or transmissible disease, the horse shall be promptly removed from the grounds and the stall in which the horse had been stabled and the area immediately surrounding it must be sprayed with a disinfectant, as prescribed by the association veterinarian.

(m) **Condition book.** Each association shall file with the commission at least fifteen (15) days before the start of a meeting its conditions of races, the "Condition Book." No changes shall be made therein without approval of the stewards.

(n) **Information for commission, state tax department.** Associations shall promptly give to the commission and to the state tax department such information in writing as either may request and shall freely and fully cooperate with them in every way.

(o) **Prices of admission.** The commission shall approve the prices of admission to racetracks, to special enclosures and reserved spaces therein, and to parking areas.

Sec. 12-574-A8. Equipment and facilities

(a) **Quarters for participants.** An association shall provide suitable and sanitary living quarters on its grounds for male and female stable employees who are participants during the meet. Said quarters shall include a cafeteria, recreational hall, and proper sanitary

arrangements.

(b) **Maintenance of track.** Racing associations shall at all times maintain their racetrack in good, uniform condition and with a special consideration for the public interest, safety of the horses stabled, or entered to race or to be exercised and of all those whose attendance is required by official duties.

(c) **Receiving barn, detention area, laboratory.**

(1) The association shall provide and maintain:

(A) Every association shall provide in a convenient location at its racetrack, for use during its current meeting, a receiving barn with adequate stable room and facilities, including hot and cold water and ample stall bedding. Such barn shall be at all times maintained in a clean and sanitary condition by an adequate force of attendants employed by the association, and each stall shall be thoroughly disinfected after each occupancy.

(B) A detention area, in a location acceptable to the commission, for the purpose of securing such specimens of body fluids and eliminations as shall be directed for their chemical analysis.

(C) A building, in a location acceptable to the commission, to be utilized as a laboratory for the analysis of specimens so taken.

(2) The facilities provided pursuant to this section shall be in accordance with specifications hereafter approved by the commission.

(d) **Fire department.** The association shall have a fire department on its premises ready to be utilized at all times that horses are stabled at the association plant. The equipment located therein shall be subject to the approval of the commission.

(e) **Flood lights; patrol system.** Associations shall install and maintain flood lights at their tracks to provide adequate illumination of the stable areas at night and such security system as may be required by the commission.

(f) **Photo finish cameras.** Racing associations shall install at the finish lines and shall adequately maintain two photo finish cameras, to be approved by the commission, to automatically photograph the finish of races. One such camera is to be held in reserve for emergencies. The official photographer shall furnish promptly to the stewards two prints of every photo finish, and the stewards shall keep a permanent file of all such prints and the negative thereof.

(g) **Pari-mutuel equipment.** In the event a system of off-track betting in this state exists prior to the opening of an association's facility, the association shall install such pari-mutuel equipment at its track that can interface with the equipment utilized at commission off-track betting facilities.

(h) **Photographic records.** Associations shall take and make at their expense a complete photographic record of all races run by said association. The arrangements for said photographic records shall be in form satisfactory to the commission, and the said records shall be susceptible to viewing after the end of any race in order to enable the stewards to better judge races and rule on all claims of infractions of the rules and thereby better protect the interest of the public in racing. The photographic record of each race shall be kept in

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A8

custody of the association for the period of one (1) year, except that photographic records of races in which there were objections, inquiries, or accidents, shall be kept in custody of the association for the period of three (3) years from the date of the race. These photographic records shall be under the control of the stewards and shall not be shown to other persons without their permission. At all times, the commission shall have full and complete access to all photographic records which are in the custody of an association pursuant to this section.

(i) **Erection, removal of structures.** Any plan to alter, construct or remove structures on the association grounds must be approved by the commission.

(j) **Man, horse ambulances.** Associations shall furnish and maintain at least one man ambulance and at least one horse ambulance each day that their tracks may be open for racing or exercising horses, equipped, ready for immediate duty, and to be placed convenient to the racing strip.

(k) **Temporary hospitals; physicians, nurses.** An association, during the period within which they are conducting a meeting, shall furnish a licensed physician and a registered nurse to render emergency medical services, as may be necessary. An association shall equip and maintain at its track a temporary hospital in a suitable area equipped with such first aid appliances and materials as shall be approved by the commission. The attendance of the physician and nurse shall be required at the hospital during racing hours.

(l) **Jockey room facilities.** An association shall make such sanitary arrangements for baths, toilets, etc., for the use of jockeys, including separate facilities for males and females, as may be required by the commission, the same to be conveniently located on the grounds. Sufficient space shall be allocated for the storage of racing colors.

(m) **Removal of manure, refuse.** Facilities for manure removal shall be constructed and maintained by the association. The commission shall approve all such facilities and maintenance programs.

(n) **Stall rental forbidden.** Associations shall not charge rental for stalls during the conduct of a race meeting, except in the case of leases or other contracts relating to special facilities for stabling, and such leased or contracted facilities shall be made available to horsemen whenever they are not occupied by the lessee, upon reasonable notice to the lessee. An association may charge for stall rental if a horse is stabled at the association plant, but is not racing there.

(o) **Starting gates.** Each association shall provide and maintain two starting gates approved by the commission during the period of its meeting and when horses are exercised. Associations shall have in attendance, whenever said gates are in use, one or more men skilled and qualified to keep said gates in good working order and shall also provide for such periodical inspections thereof as may be reasonably by the commission.

(p) **Horse identification, examination.** A system of horse identification and physical examination shall be instituted and diligently maintained by associations pursuant to these rules and regulations.

(q) **Stands for race officials.** Stands for judges, timers and stewards shall be maintained

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A9

Division of Special Revenue

in positions commanding an uninterrupted view of the entire racing strip and the location thereof shall be subject to approval of the commission.

(r) **Devices to be approved.** All devices pertaining to racing which are used on racetracks must be approved by the commission before installation and shall not be removed except with the approval of the commission.

(s) **Disinfection of vehicles.** All carriers shall take such steps as are necessary to insure the disinfection of all cars, trucks, trailers or other conveyances used in transportation of thoroughbred horses to and from race courses. It shall be the responsibility of the association to see that this rule is carried out.

(t) **Farrier hours.** At least one farrier shop shall be open at each track from 8:00 A.M. until 4:00 P.M., when horses are stabled on its grounds whether racing is being conducted or not, and at least one farrier shall be in the paddock during race hours.

(u) **Stable sanitation.** Each association shall maintain its stable area in such a manner as to provide a safe, clean, healthful place. Each association shall:

(1) Prohibit smoking in horse stalls, feed rooms and under the sheds.

(2) Not allow sleeping in any of the feed rooms or stalls at any time.

(3) See that stalls occupied by horses are not locked at any time, and also that unassigned tack rooms are not locked.

(4) Allow no open fires anywhere in the stable area, nor any oil or gas burning lanterns or lamps.

(5) See that all electrical appliances used in the stable area are in a safe working condition, and when in use kept a safe distance from walls, beds and other furnishings and not left unattended.

(6) See that no inflammable materials, such as cleaning fluids or solvents, are used in the stable area.

(7) Not allow hay or straw to be stored under the sheds or outside of feed rooms at any time.

(8) See that the alleyway in front of the stalls is kept free of debris and open at all times to give easy access to each stall door in case of fire.

(9) Not allow pets to run at large in the stable area, making sure they are properly and suitably confined at all times.

(v) **Inspection of racing premises prior to meet.** Not less than fifteen (15) days prior to the opening of any meet authorized by the commission, the commission, at the expense of the association, shall make an inspection of the grounds where the meet is to be held, and unless the grounds are found to be safe for animals and persons, and unless they are rendered safe therefor prior to the opening of the meet, the license for the meet shall be withdrawn.

(w) **Clean grounds.** Each association shall keep and operate all of its grounds, including parking area, in a clean and dignified manner.

Sec. 12-574-A9. Occupational licenses

(a) **Officials and participants must be licensed.** Associations conducting thoroughbred

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A9

meetings shall not permit any official, owner, trainer, jockey, jockey apprentice, stable employee, tarrier, agent, valet, veterinarian, association employee whose job requires his presence at the association grounds at any time, concession employee, and any assistants thereto, to operate on its premises unless said person has received a license from the commission and has been photographed and fingerprinted by the commission. No license shall be delivered to the applicant unless evidence is presented to the commission that the applicant will participate in a thoroughbred racing meeting in Connecticut during the period of his license. Application for a license shall be made on forms supplied by the commission and all questions contained therein shall be answered. Licenses shall be issued to natural persons only. Every license granted shall provide that the licensee shall comply with the rules and regulations and that violation thereof may be punished by fine, suspension or revocation of license.

(b) Badges.

(1) The commission shall supply each licensee with a badge, at the expense of the association licensed to conduct a meeting, showing the license number, name, department and photograph and any other information which the commission, in its discretion, shall require. Badges are only to be worn by the licensee and are nontransferable. The commission shall determine, in its discretion, which licensees are to wear the badges on their person, and which licensees may carry the badge on their person.

(2) A non-transferable badge may be issued by an association to persons, other than patrons, who are not required to be licensed but who must enter the grounds of the association for reasons connected with the conduct of a meeting. A list of such persons and their specific duties must be filed with and approved by the commission. This badge shall expire on the last day of the meet in which it was issued.

(3) A non-transferable temporary badge may be issued by an association, upon approval of the director of security. These badges must be surrendered by the bearer on leaving the premises, the day of issue. Users of such badges must sign a register prior to entering the grounds. Frequent use by the same person of a temporary badge is prohibited.

(c) Contractual concessionaires. All contractual concessionaires must obtain a license from the commission and pay the fee required by the act, if any, and must submit such data and information to the commission as the commission in its discretion may require. Said license must be taken out for each association at which the concessionaire plans to operate.

(d) Qualifications for license. If the commission shall find that the financial responsibility, experience, character and general fitness of the applicant are such that the participation of such person will be consistent with the public interest, convenience or necessity and with the best interests of thoroughbred racing generally, in conformity with the purposes of the act, it shall thereupon grant a license. If the commission shall find that the applicant fails to meet any of said conditions, it shall not grant such license and it shall notify the applicant of the denial.

(e) Suspension, revocations. If the commission shall find that the financial responsibility, character and general fitness of the licensee are such that the continued

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A9

Division of Special Revenue

participation of such person will not be consistent with the public interest, convenience or necessity, and with the best interests of thoroughbred racing generally, in conformity with the purposes of the act, it shall thereupon revoke, or suspend said license.

(f) **Honor suspensions by other authorities.** The commission shall honor any suspension or ruling off by any other racing jurisdiction in this country or elsewhere.

(g) **Unlicensed activity forbidden.** No person requiring a license from the commission shall carry on any activity whatsoever upon the premises of an association unless and until he has been so duly licensed, except that any such person with the consent of the commission steward may so act pending action on his application duly filed and with the exceptions specified in rule (b) (1) of section 12-574-A22 and rule (b) of section 12-674-A23. Any person who employs anyone in contravention of these regulations may be fined or suspended.

(h) **Surrender of license.** All licenses shall be the property of the commission. All licenses which are terminated by the commission and all licenses held by persons whose positions have been terminated or who have voluntarily retired or quit shall be surrendered to the commission within twenty-four (24) hours of said termination.

(i) **Examination of licenses.** All persons who have been issued a license by the commission must keep such license in his possession subject to the examination by the commission or its duly authorized representatives, or officials of the association at any time they may deem necessary or proper.

(j) **Responsibility of employer on discharge of employee.** When an owner or trainer discharges a licensed employee, or when such employee voluntarily leaves the employ of an owner or trainer, the said owner or trainer shall immediately notify the commission steward of such discharge or resignation. The failure to so notify the commission steward shall subject the owner or trainer to a fine or suspension or both.

(k) **Corporations, partnerships.** (1) (A) No license as an owner shall lie granted to the lessee or lessees of any corporation, syndicate or partnership unless such corporation, syndicate or partnership shall have no more than ten (10) stockholders or members, as the case may be, each of whom shall be the registered and beneficial owner of stock or membership III such corporation, syndicate or partnership; and every such stockholder or member is required to be licensed as an owner. The commission, by unanimous vote of its members, may waive this rule with respect to any one horse owned by any said corporation, syndicate or partnership, to enable it to participate in a meeting.

(B) For the purposes of this rule, the stockholders or members who bear to each other the relationship of husband and wife, parent and child, grandparent and grandchild, sister and brother shall be regarded collectively as one stockholder or member, as the case may be.

(2) The stockholders or members of any corporation, syndicate or partnership which leases horses for racing purposes in the state of Connecticut shall make and file with the commission as and when requested by it, a report or reports under oath containing such information as the commission may specify; and upon refusal or failure to file any such

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A9

report or reports the commission may refuse a license to any lessee or lessees of such corporation, syndicate or partnership or may revoke any such license which it may have granted.

(3) Any transfer of stock of such corporation or change in the officers or directors shall be reported in writing to the commission steward at the track within forty-eight (48) hours of such change. The commission steward shall immediately transmit such information to the commission.

(l) **Procedure for revocation.** No license shall be revoked unless such revocation is at a meeting of the commission on notice to the licensee who shall be entitled to a hearing in respect to such revocation. The hearing may be conducted by the commission or a sub-committee of four commissioners who shall report their findings to the commission.

(m) **Certain disqualifications.** No person shall be eligible for an owner's or trainer's license if, during the term of such license, he would practice as Tarrier or veterinarian with horses racing under the jurisdiction of the commission; provided, however, that a duly licensed owner may personally shoe a horse owned by him upon applying for and receiving a certificate of fitness therefor from the commission.

(n) **Unauthorized use of credentials.** No licensee shall permit any other person or persons to use his badge or credentials for entering into any part of the track. Any licensee who violates this rule is liable to suspension or a fine of not exceeding \$200.00 or both, and if he continues to violate the rule, he may be ruled off or otherwise punished, as the commission may decide.

(o) **Duration of license.** No license shall be granted for a longer period than one year, and every such license shall expire on the 31st day of December of the year of the date of its approval.

(p) **Authorized agents.**

(1) An owner may appoint an authorized agent by filing an appointment form with the commission provided the agent files an application for a license to act as authorized agent and pays the prevailing fee. Such appointment must first be approved by the commission before such agency becomes effective.

(2) An authorized agent may appoint a sub-agent, who must be licensed as an authorized agent, only when the appointment form authorizes him to so act.

(q) **Payment of fines.** Any person who pays a fine imposed on another may be fined or suspended.

(r) **New riders.** A license to ride shall not be granted to a person who has never ridden in a race. Persons who have never ridden in a race may be allowed by the stewards to ride twice before applying for a license pursuant to rule (a) of section 12-574-A36 of these rules.

(s) **Probationary permit.** Probationary permits may be issued by the commission to jockeys, apprentices and exercise boys who have been disciplined. During the period of the aforementioned probationary permit, it may be revoked by the commission upon the recommendation of the stewards. After one year, said probationer shall be eligible for a regular license in his proper classification.

Sec. 12-574-A10. Telephone and telegraph

(a) **Commission approval.** No telephone, telegraph, teletype, semaphore, signal device, radio, television or other method of electrical, mechanical, manual or visual communication shall be installed within the enclosure of any association until same has been approved by the commission.

(b) **Closing telephones, telegraph.** All public telephones and telegraph wires on the grounds of the association conducting the meeting shall be closed thirty (30) minutes before opening of the pari-mutuel windows for the first race of a program. No calls or wires shall be allowed to be made or received after the telephones and telegraph wires are closed until after the last race of a program has been finished except by the officials of the commission, by duly authorized officers and officials of the association, or duly accredited members of the press.

(c) **Approval for radio, television, press.**

(1) Any association licensed by this commission desiring to broadcast, televise, or transmit by press wire pertinent information relating to any race run at its track not inconsistent with any state or federal law, shall first file with the commission an application for its approval and such other information as the commission may request.

(2) Associations may permit, subject to the approval of the commission, representatives of the public press to send, for the exclusive use of such press, news items, “scratches” and changes of jockeys and equipment and also the results of each race after the same has been declared official together with the amounts of the final pools and the payoff prices of such races; and associations may permit telephone, telegraph and teletype wires and equipment on their respective premises during race meetings for the use of such representatives of the public press and for the transaction of the ordinary business of the association and the commission, but no message shall be sent in or out of the association’s premises by any communication device or means transmitting money or other thing of value or directing the placing of any wager on the result of a race, excluding information relating to off-track betting conducted and operated by the commission, nor shall any such message be sent unless in plain and intelligible english.

(d) **Prohibition.** No patron or employee is permitted to have in their possession any radio transmitter or any transmitting device while present at the track during any racing programs unless specifically approved by the commission.

Sec. 12-574-A11. Accounting

(a) **Requirements.**

(1) Associations shall so keep books and records as to clearly show the total amount of money contributed to every pari-mutuel pool on each race separately and within sixty (60) days after the conclusion of every race meeting shall submit to the commission a complete audit of its accounts, certified by a public accountant licensed to practice in the state, and in addition, shall submit a detailed annual audit to the commission.

(2) These audits shall become and be maintained in the commission’s confidential files and shall include, although not limited to, the following statements and schedules:

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A12

- (A) Balance sheet.
- (B) Profit and loss statement.
- (I) Statement application of funds.
- (D) Daily distribution of pari-mutuel handle schedule.
- (E) Daily admissions, receipts and taxes schedule.
- (F) Insurance schedule (this should include the names, addresses of all companies with whom the policies have been placed as well as the agent with whom the policies have been placed).
- (G) schedule.
- (H) Salaries and wages of all departments.
- (I) Salaries paid to officials and department heads.
- (J) Contribution or donation schedule.
- (K) Miscellaneous revenue schedule (this shall be in detail as to source).
- (L) Illegal and accounting fees schedule.
- (M) Travel and entertainment schedule (in complete detail showing the actual disposition of these funds).
- (N) Taxes paid and accrued.
- (O) Advertising expense.
- (P) Organizational data (listing directors, officials, etc., a schedule of stockholders may be submitted under separate cover).
- (Q) Certificate of accountant who prepares audit.

(b) **Commission inspection.** The commission or its duly authorized representatives and the tax commissioner or his agents are authorized to enter upon the premises of any association for the purpose of inspecting books and records, and examining cashiers, ticket sellers and other persons handling money on said premises.

Sec. 12-574-A12. Uncashed tickets

(a) **Outsbook.** Every association shall carry on its books an account which shows the total amount due on outstanding unredeemed mutuel tickets, which represents the winning tickets not presented for payment. In the event of a payoff discrepancy, such winning tickets remaining unpaid at the close of each program shall be entered in the “outs” book at the actual price paid to the public. A record of all unpaid pari-mutuel tickets shall be prepared and forwarded to the commission within thirty (30) days after the last day of each race meeting.

(b) **Requirements.**

(1) The “outsbooks” shall be compiled by data processing systems or computerized totalisator equipment, and the following minimum requirements shall apply:

(A) All printed outs summaries and printed outs ledger sheets shall be placed in a separate binder in chronological order. Safeguarding of these records is a management responsibility.

(B) These daily ledger sheets shall include the date, race, winning number, price paid per ticket, amount outstanding from previous performance, tickets paid for each

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A12

Division of Special Revenue

performance and new balance outstanding.

(C) Totalisator codes for each performance shall be maintained in a separate binder or volume with the official finish and price paid per ticket by denomination.

(c) **Certifications.**

(1) It shall be the responsibility of each association to see that the following certificate(s) is entered in the rear of each "outsbook" it maintains and is signed by the proper track employee(s).

The undersigned hereby certifies that all the (deduction) (addition) entries on the pages covering the dates of through were made from valid tickets and/or documents and are, to the best of my knowledge and belief, correct.

.....

Signature

(2) If two or more track employees have the duty of making entries in the outsbook(s), the above certification shall be required of each, striking out the appropriate word in parenthesis.

(3) A new certification shall be required upon change of an employee's duties which concerns the outsbook(s).

(d) **Cashing tickets.** When cashing pari-mutuel tickets which have previously been entered in the "outsbook," each association shall be responsible to see that on the back of each ticket there is clearly stamped the number of the cashier and the words "out ticket." All tickets so cashed shall be retained for a period of eighteen (18) months from the date they were cashed unless prior written permission to destroy has been granted by the commission.

(c) **Copies to commission.** A copy of the money room report showing the daily "outs" and a copy of the outstanding tickets report prepared by the calculating room showing the daily accumulation of the "outs" totals shall be delivered to the commission by the association within forty-eight (48) hours after the close of each program.

(f) **Records to be retained.** No records pertaining to pari-mutuel operations or cashed winning pari-mutuel tickets shall be destroyed without permission of the commission.

(g) **Limitations.** No tickets are to be honored for payment unless presented for payment not later than one year from the last day of the meet in which the ticket was purchased. The value of all such tickets shall be paid over to the state upon expiration of this limitation period.

(b) **Money retained in regular operating account.** All money representing the amount due on outstanding unredeemed mutual tickets shall be retained in the regular operating account of the association during the period of its licensed meeting. Within forty-eight (48) hours from the finish of the last race of the last day of the meeting, all amounts due on outstanding unredeemed mutuel tickets shall be placed in a special account specifically for this purpose from which payments shall be made pursuant to these rules and regulations.

Sec. 12-574-A13. Remittance of monies accrued from underpayment in the mutuels, and collection of fines

(a) All monies accruing from underpayment to the public in the mutuels, by reason of error or mechanical mishaps to tote machines, from day to day, shall be paid over to the state of Connecticut by the close of the next banking day.

(b) All monies collected as fines or penalties by the stewards upon jockeys, licensed participants, trainers or association employees shall be paid over to the state of Connecticut by the close of the next banking day.

Sec. 12-574-A14. Pari-mutuel operations

(a) **Mutuel manager.** The association shall appoint a mutuel manager who shall be licensed by the commission. The mutuel manager is held responsible for the correctness of all payoff prices posted on the board. Before the mutuel department of any racetrack posts the payoff prices of any pool for any race the mutuel manager shall require each of the calculating sheets of such race to be proved by the calculators, and winners verified. Such proof shall show pay-breaks-commission and added together show they equal total pool. All pay slips are to be checked with calculating sheets as to winners and prices before being issued to cashiers, and all board prices are to be rechecked with the calculator before they are released to the public.

(b) **Posting of rules.** Such rules for pari-mutuel betting as may be specified from time to time by the commission shall be reproduced in legible type and permanently displayed in locations within all betting areas of the premises of racing associations. The daily racing programs sold to the public by racing associations shall contain a statement indicating that such rules are posted in all betting areas.

(c) **Permitted sales.** Within tile enclosure of an association, but not elsewhere, the sale of pari-mutuel tickets under such regulations as the commission shall provide is hereby authorized and permitted.

(d) **Mutuel department.** The mutuel department at every race meeting must be conducted in a strict, dignified and proper manner. All pari-mutuel selling machines, in addition to those on the main betting lines in the clubhouse and grandstand, must be located only in places easily accessible and in plain view of the general public.

(e) **Every employee identified.** Every employee of the mutuel department shall be so designated by number and name, that easy identification may be made by the public. Every employee of the mutuel department must obtain a license from the commission and pay any fee required by the act.

(f) **Sales and exchange of tickets.** No pari-mutuel tickets shall be sold except through regular ticket windows properly designated by sign showing type of tickets sold at each particular window. All ticket sales shall be for cash. Any claim by a person that a wrong ticket has been delivered to him must be made before leaving the mutuel ticket window. The prevailing provisions of the act are to be enforced in all matters pertaining to tax, breakage, and track commission on pari-mutuel wagering. The method and manner of selling pari-mutuel tickets shall be approved by the commission. The commission's approval

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A14

Division of Special Revenue

shall include the number of windows, the distribution of windows, and the manner and denominations in which parimutuel tickets shall be sold.

(g) **Presentation for payment.** Payment of winning pari-mutuel tickets shall be made only upon presentation and surrender of such tickets. No claims shall be allowed for lost or destroyed winning tickets.

(h) **Presentation deadline.** All winning pari-mutuel tickets must be presented for payment before one year from the date of close of the meeting when said tickets were purchased, and failure to present any such ticket within the prescribed period of time shall constitute a wader of the right to participate in the award or dividend. All monies not redeemed by the failure of presenting winning pari-mutuel tickets within this deadline shall revert to the state, pursuant to the act. An association shall print in its daily program an address to which all holders of unclaimed tickets may forward their tickets to the association for payment during the period of time that the association is not conducting a meet up until the expiration of the time limit for presenting claims.

(i) **Mutilated tickets.** Mutilated pari-mutuel tickets or those whose validity is questioned shall be submitted to the commission, or its designated staff representative, for inspection and the ruling of said commission, or represented, shall be final and conclusive.

(j) **Notification of entries.** The manager of the parimutuel department shall be properly and timely advised by the racing secretary prior to the beginning of the wagering on each race of the entries that will compete in the race.

(k) **Payments; minimum payments.** Payments due on all wagers shall be made in conformity with the well-established practice of the pari-mutuel system. The practice is to work in dollars and not in number of tickets. The “break” permitted by law is deducted in all of the calculations arriving at the payoff prizes; i.e., the odd cents (c/) of any multiple of ten (10) cents (c/) of winnings per dollar wagered are deducted and retained by the licensee, half of which is to be remitted to the state. The minimum pari-mutuel payoff by any association conducting parimutuel wagering shall be \$2.10 on each winning \$2.00 wager. In the event a minus occurs in either the win, place, or show pool, the expense of said minus pool shall be borne by the association and the state shall receive its share including half the breaks of the remaining pool.

(l) **Minors barred.** No association shall permit any minor to purchase or cash pari-mutuel tickets, nor shall any minor be permitted at a mutuel window at any time.

(m) **Pari-mutuel employees prohibition.** No employee of the pari-mutuel department of an association shall be permitted to wager at the mutuel windows of an association at which he is employed. However, pari-mutuel employees shall be responsible for tickets punched out in error. In such instances, the pari-mutuel employee shall pay for such tickets punched out in error and shall be the owner thereof. Any pari-mutuel employee who continuously punches out tickets in error may be subject to dismissal.

(n) **When sellers’ windows open.** Mutuel sellers’ windows shall open at least thirty (30) minutes before the first race and at least twenty (20) minutes before each other race.

(o) **Selected by numbers.** Selections are to be made by program numbers and not

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A14

necessarily by post position numbers. Large numbers appearing on the tickets are program numbers of the horses.

(p) **Sales not completed.** No association shall be responsible for ticket sales not completed when the machines are locked.

(q) **Hold tickets.** Tickets should be retained until the results have been declared official.

(r) **Cashiers' windows.** Mutuel cashiers' windows shall open as soon as possible after the official notice has been posted. After the last race of a program mutuel cashiers' windows shall remain open until all patrons in line have been afforded the opportunity to cash in their winning tickets.

(v) **Win-place-show pool requirement.** At horse tracks, in all races, except sweepstakes, with five (5) or more separate entries which start, racing associations shall provide win, place and show pools. In all races with four (4) separate entries which start, they shall provide win and place pools only. In races of three (3) or two (2) separate entries which start, they shall provide a win pool only; and parimutuel tickets shall be sold accordingly; provided, however, that in sweepstakes with less than four (4) separate entries which start, racing associations may, at their option, provide that there shall be no betting; and in such cases an additional race with betting shall be added to the program.

(w) **Failure of starting gate.**

(1) Every horse shall be considered a starter when the stall gates open on the signal of the starter.

(2) If it be determined by the stewards that a horse has been prevented from racing because of the failure of the stall door of the starting gate to open, the money bet on that horse shall be refunded; except that when the horse is part of an entry or the "field," there shall be no refund, if the entry of the "field," as the case may be, has at least one actual starter.

(3) In any race, if less than five (5) horses in different interests leave the stalls, the whole amount wagered in the show pools shall be promptly refunded.

(4) In any race, if less than four (4) horses in different interests leave the stalls, the whole amount wagered in the place and show pool and in quinella, exacta, trifecta, and superfecta pools, if there be any, shall be promptly refunded.

(5) In any race, if less than two (2) horses leave the stalls, the whole amount wagered in the win, place and show pool, and in quinella, exacts, trifecta, and superfecta pools, if there be any, shall be promptly refunded.

(x) **Scratches.**

(1) If a horse be excused from racing for any reason whatsoever, after the betting thereon has begun, the money bet on that horse shall be refunded; except that when the horse is part of an entry or the "field," as the case may be, and the entry or field has at least one actual starter.

(2) If, in such a case, the number of starters in separate interests become less than five, the show pool shall be entirely cancelled and refund made, or if less than four starters in separate interests, the place pool shall be entirely cancelled and refund made.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A14

Division of Special Revenue

(y) **Refunds.**

(1) No winner—If no horse finishes in a race, all money wagered on that race shall be refunded.

(2) If a race is declared off by the stewards after wagering begins on that race, all money wagered on that race shall be refunded.

(3) If a horse race is marred by jams or spills while a race is being run, and three (3) or more horses finish, the stewards shall declare the race finished, but if less than three (3) horses finish, the stewards shall declare it “no race” and monies shall be refunded. In the event the starting gate cannot be removed from the track so as to impose a peril on the horses running, the stewards shall declare that the race be “no race” and monies shall be refunded.

(z) **Machines locked.** All pari-mutuel machines shall be locked by electrical control. Each association shall provide and maintain in the stewards’ stand an electrical device which shall directly control the locking of all parimutuel machines. The machines shall be locked by the commission steward. The machines shall be locked prior to the opening of the starting gate. The machines shall be unlocked at least twenty (20) minutes before the next race by the mutuel manager. Unless permission is granted from the commission steward and as a result of delays arising from an inquiry, pari-mutuel machines shall not be unlocked until after a race has been declared “official.”

(aa) **Use of totalisator.**

(1) Associations are required to install and maintain continuously during each meeting an electric totalisator, which shall automatically register the wagers made on each horse, for win, place or show, and other approved forms of wagering, and print and issue a ticket representing each such wager.

(2) Such totalisator shall be so designed that it will aggregate the total amounts and the amounts on each horse, entry or field, so wagered from time to time as the wagering progresses. There shall be operated in connection with such totalisator, one or more boards on which shall be prominently displayed within view of the public, winning odds on each horse as indicated from time to time during the progress of such wagering, and at intervals of not more than ninety (90) seconds between each complete change. The posting of the winning odds shall begin immediately after there is \$1,000.00 (more or less, depending on the circumstances) in the straight pool. These “odds,” however, are approximate, and not the exact figures used in the payoff. The odds to be posted shall be the winning odds on each horse to win in each race. The odds on each combination in the daily double and the odds on each combination in quinella and exacta wagering, if any, shall be posted on television screens throughout the grandstand and club house.

(3) The association shall test the totalisator equipment at the opening of each racing day, said test to be made under the supervision and direction of the commission or such agents as the commission may appoint.

(4) Before the wagering starts on each race, the morning line showing “odds” on each horse shall be posted on the public board.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A14

(bb) **Pool discrepancy on tote board.** Whenever there is a difference in any pool or pools, i.e., a difference between the sum total of the wagers on the individual entries as compared with the grand total as shown by the tote boards or whenever the tote boards fail mechanically and are obviously unreliable as to the amounts wagered, the payoff shall be computed on the sums wagered in each pool as shown by the recapitulation of the sales registered by each ticket issuing machine.

(cc) **Overpayment.** In the event that an association overpays to the public in a given race, the association shall bear the expense of such overpayment and the percentage to be given to the state pursuant to the act shall be derived from the actual handle of the specific pool in which an overpayment occurs.

(dd) **Payoff errors on tote board.** If any error is made in posting the payoff figures on the public board, it shall be corrected promptly and only the correct amounts shall be used in the payoff, irrespective of the error on the public board. If because of a mechanical failure it is impossible to promptly correct the posted payoff, a statement shall be made over the public address system stating the facts and corrections.

(ee) **Adjustment of underpayment caused by error.**

(1) Each licensee shall pay to the state of Connecticut on the day following each day of a racing meeting all monies accruing from underpayment to the public in the mutuels whether caused by an error of any official, by a refund ordered by the officials contrary to the rules and regulations as adopted by the commission, by an error made by a calculator or the calculators, by an error made by any employee of the association, or by reasons of errors or mechanical mishaps of totalisator machines.

(2) Immediately upon the discovery of such an error, the commission shall be furnished a detailed statement thereof in writing, signed by the manager of the mutuel department.

(ff) **Last change in approximate odds.** The last change on approximate odds boards shall be made at once after the close of the mutuels by flashing the total amount wagered in each pool, and the total wagered on each horse, entry or field. Immediately thereafter the approximate odds on the win pool shall be figured and shown without delay.

(1) The take-off on each pool, showing total amount wagered, and the amounts wagered on each horse, entry or field, shall immediately be posted for the inspection of the public on a bulletin board at, or adjacent to, the mutual department, such posting to be made as soon as possible after the completion of the race. Such copies shall be left on the bulletin board until the close of the day's program. Copies of said take-off from the totalisator shall be delivered at once to the manager of the mutuels.

(2) If any additional method of calculation or checkup is used or undertaken, exact carbon copies of all such records and sheets shall be handed to the manager of mutuels as soon as possible after each race.

(3) The manager of mutuels shall retain all of said records and shall place them in the office of the commission at the end of each day or the next morning, if night racing is held.

(gg) **Breakdown of totalisator.** In the event of an irreparable breakdown of the totalisator or the ticket issuing machines, or both, during the wagering on a race, the

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A14

Division of Special Revenue

wagering for that race shall be declared closed. The mutuel manager shall determine whether a refund shall be made on the tickets purchased for that race, or whether the payoff for that race shall be computed on the sums wagered in each pool up to the time of the breakdown. The mutuel manager, in conjunction with the stewards shall determine whether the remaining races shall be cancelled or whether there shall just be a suspension of wagering until the defective machinery has been put in order. In the event of such a suspension, races may be run without betting at the discretion of the mutuel manager and the stewards.

(hh) Calculations end records.

(1) A complete detailed record of each race containing each change of readings of approximate odds of the win pool, and the actual “payoff” on each horse shall be filed with the commission at the end of each racing day of the meeting along with a print out of the total amounts wagered in each pool and the actual “payoff” on each horse in each such pool.

(2) All payments due the state for each day of a meeting, pursuant to the act, shall be paid by the association to the commission no later than the close of the next banking day.

(ii) **Reporting of irregularities.** The mutuel manager and any employee of the totalisator company shall report the discovery of any irregularities or wrongdoings by any person involving pari-mutuel wagering immediately to the commission.

(jj) **Bettor information requested.** All associations shall refuse payment to any ticket holders of any type pool payoff of \$600.00 or more for each \$2.00 wager, who refuse to furnish their signature and the proper paper identification as to their name and address.

(kk) **Pools - calculation and distribution.** The parimutuel pools shall be calculated and distributed as follows:

(1) Win, place, show, daily double or other wagers form separate wagering pools with payoffs calculated independently of each other.

(2) From each pool there shall be deducted the amount specified by the act for the state and the association, the remainder being the net pool for distribution.

(3) Win pool.

(A) The net pool divided by the amount wagered on the horse finishing first determines the payoff per dollar, including profit and wager.

(B) When two horses finish first in a dead heat, the money in the win pool is divided the same as in a place pool calculation.

(4) Place pool.

(A) The amounts wagered on horses finishing first and second are deducted from the net pool to determine the profit. This profit is divided in half, and the halves, in turn, divided by the two amounts mentioned above. This determines the profit per dollar, to which is added the wager.

(B) When two horses finish second in a dead heat one-half of the profit is allocated to the tickets representing wagers on the horse finishing first, and the remaining half is allocated equally to the wagers on horses finishing in the dead heat for second.

(C) When two horses in the field or coupled as an entry run first and second, the place pool shall be distributed the same as in a win pool.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A14

(5) Show pool.

(A) The amounts wagered on the horses finishing first, second and third are deducted from the net pool to determine the profit. This profit is divided into three equal parts, and each part, in turn, divided by the three amounts mentioned above. This determines the profit per dollar, to which is added the wager.

(B) When two horses finish third in a dead heat, one-third of the profit is allocated to the tickets representing wagers on the horse finishing first, one-third to the wagers on the horse finishing second, and the remaining third equally to the wagers on the horses finishing in the dead heat for third.

(C) When two horses in the field or coupled as an entry finish first and second, first and third, or second and third, two-thirds of the profit is allocated to the tickets representing wagers on the field or entry, and the remaining one-third to the wagers on the other horse.

(D) When one horse in the field or coupled as an entry finishes first or second, and the other part of the entry or field finishes third in a dead heat with another horse one-half of the profit is allocated to the tickets representing wagers on the field or entry, one-third to the horse finishing first or second, and the remaining one-sixth to the wagers on the horse finishing third in the dead heat with the field or entry.

(E) When three horses in the field or coupled as an entry run first, second and third, the place and show pools shall be distributed the same as a win pool.

(6) Payment where no wagering on a horse in the win, place or show pools.

(A) In the event that there is no money wagered to win on a horse which has finished first, the net win pool shall be distributed to holders of win tickets on the horse finishing second.

(B) In the event that there is no money wagered to place on a horse which has finished first or second, then, the horse which finished third shall replace that horse in the distribution of wagers in the place pool.

(C) In the event that there is no money wagered to show on a horse which has finished first, second or third, then, the horse which finished fourth shall replace that horse in the distribution of wagers in the show pool.

(l) **Official results.**

(1) At the end of each race, the stewards shall advise the manager of the pari-mutuel department by the use of tote equipment or telephone of the official placement of the horses, and no payoffs shall be made until the receipt of such notice and the declaration that the result is "official" by flashing the word "official" on the result board.

(2) The posting on the result of the order of winning, place and show horses, or the prices to be paid, shall not be deemed to signify that such result and prices are official until the "official" signal has been shown on the result board or announced by the public address system.

(3) Any ruling of the stewards with regard to the award of purse money made after the sign "official" has been purposely displayed shall have no bearing on the mutuel payoff.

(mm) **Emergencies.** Should any emergency arise in connection with the operation of

the pari-mutuel department not covered by these rules and an immediate decision is necessary, the manager of the pari-mutuel department shall make the decision, and shall make an explanation in detail in a written report to the commission representative in the pari-mutuel department, and said report shall be forthwith forwarded to the commission.

Sec. 12-574-A15. Daily double

(a) **Rules governing.** At tracks which have the daily double pool, the rules of this section will govern the system used.

(b) **Permitted.** Daily double wagering is permitted during any single racing program. An association may not hold more than one daily double on a single racing program unless express written consent shall be given thereto by the commission upon written application therefor.

(c) **Rules printed in program.** The rules for daily double shall be printed in the daily racing programs sold to the public within the premises of racing associations.

(d) **No exchange of tickets.** There positively shall be no exchange of tickets after the purchaser thereof has left the sales window.

(e) **Not a parlay.** The daily double is not a “parlay” and has no connection with or relation to any other pool, and is no part of the win, place and show pools, quinella, exacts, trifecta, superfecta, or other wagering pool. All tickets will be calculated in an entirely separate pool.

(f) **Prerequisites.** In order to win a daily double, it is necessary for the purchaser of a daily double ticket to select the winners of each of the two (2) races specified for the daily double. If either of his selections fails to win, he receives no payment, except as hereinafter provided.

(g) **Hurdle races, steeplechase not included.** No hurdle race or steeplechase shall be included in the races comprising the daily double unless express written consent shall be given thereto by the commission upon written application therefor.

(h) **Selected by numbers.** Selections are to be made of one horse for each of two (2) races in the daily double by program number, and not necessarily by post position number. Large numbers appearing on the tickets are program numbers of the horses.

(i) **Posting the payoff.** The possible payoff of each combination coupled with the winner of the first half of the daily double shall be posted in a prominent place easily visible from the grandstand club house and bleachers after the result of the first race is declared “official” and before second race is run, except in the event of a dead heat in the first race, when the posting of the payoff may be deferred until the second race has been run. However, announcement of this fact must be made over the loud speaker and notice to this effect be posted on the board at the conclusion of the first half of the daily double.

(j) **Calculation, distribution of pools.** The daily double pool shall be calculated and distributed as follows: the net pool divided by the amount wagered on the winning combinations determines the payoff per dollar bet.

(k) **Failure to select a winner and race cancellations.**

(1) If no daily double ticket is sold designating the winner of the first race, or the first

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A16

race is cancelled or declared “no race,” the daily double shall be declared off and the gross pool refunded.

(2) If no daily double ticket is sold combining the winners of the first and second races, or the second race is cancelled or declared “no race,” the net pool shall be distributed to holders of tickets designating the winner of the first race, as in a win pool and the daily double shall terminate.

(l) Dead heats.

(1) In the event of a dead heat either in the first race or second race of the daily double, two winning combinations result. The amounts wagered on both winning combinations are deducted from the net pool to determine the profit. This profit is divided in half, and the halves, in turn, divided by the two amounts mentioned above. This determines the profit per dollar, to which is added the amount of the wager.

(2) In the event of a dead heat in both races of the daily double, four winning combinations result. The amounts wagered on these four winning combinations are deducted from the net pool to determine the profit. This profit is divided into four equal parts, and each part, in turn, divided by the four amounts mentioned above. This determines the profit per dollar, to which is added the amount of the wager.

(m) Effect - horse scratched, excused.

(1) Should any horse in the first or the second race of the daily double be scratched or excused by the stewards before the running of the first race, or be prevented from starting in the first race because of the failure of the starting gate door to open, all money wagered on combinations including such horse shall be deducted from the daily double pool and shall be refunded upon presentation and surrender of pari-mutuel tickets sold thereon.

(2) Should any horse in the second race of the daily double be scratched or excused by the stewards after the running of the first race of the daily double, or be prevented from starting because of the failure of the starting gate door to open, a consolation pool will result. In such a case, all tickets combining the scratched or excused horse with the actual winner of the first race shall become consolation tickets and shall be paid a price per dollar bet determined as follows: the net daily double pool shall be divided by the total purchase price of all daily double tickets designating the winner of the first race of the daily double and the result obtained shall constitute the consolation price per dollar bet. The amount set aside for these consolation payoffs will be deducted from the net daily double pool.

(3) If the holder of a ticket loses the first race of the daily double, and the horse is scratched, excused or prevented from racing in the second race, no money shall be refunded.

(n) **Permitted sales.** Sale of daily double tickets other than through pari-mutuel machines shall be deemed illegal and is prohibited.

(o) **Hold tickets.** Tickets should be retained until the results have been declared official.

(p) **Denomination of tickets.** Daily double tickets shall be sold only in denominations approved by the commission.

Sec. 12-574-A16. Application for quinella, exacta, trifecta, superfecta wagering

Any association desiring to implement quinella and/or exacta and/or trifecta and/or

superfecta wagering shall] request permission from the commission in writing at least ninety (90) days prior to the beginning of its licensed meet. Said request shall contain the type of wagering/wagering desired, the specific races in which each of these types of wagering is desired, the denomination of tickets the association wishes to utilize, a copy of the ticket design to be utilized, the number of ticket selling windows the association plans to allocate to these forms of wagering, and any plans the association has to inform the bettors of the running odds on these types of wagers. The commission shall inform the association no later than thirty (30) days prior to its licensed meet of its decision which shall be final. The commission shall have the discretion to not allow any type of wagering specified in this section to be undertaken by an association. If the commission grants approval of any type of wagering specified in this section, the regulations governing that type of wagering as set forth in sections 12-574-A17 to 12-574-A20 shall govern. No other form of multiple wagering shall be permitted.

Sec. 12-574-A17. Quinella

(a) **Rules governing.** At tracks which have the quinella pool, the rules of this section will govern the system used.

(b) **Permitted.** Quinella wagering shall be permitted only in accordance with section 12-574-A16 of these regulations.

(c) **Rules printed in program.** The rules for quinella shall be printed in the daily racing programs sold to the public within the premises of racing associations.

(d) **Definition.** The quinella is a contract by the purchaser of a ticket combining two (2) horses in a single race, selecting the first two finishers as officially posted in either order such as 1-2 or 2-1. All quinella tickets will be for the win and place combination only.

(e) **No exchange of tickets.** There positively shall be no exchange of tickets after the purchaser thereof has left the seller's window.

(f) **Not a parlay.** The quinella is not a "parlay" and has no connection with or relation to any other pool, and is no part of the win, place and show pools, daily double, exacta, trifecta, superfecta, or other wagering pool. All tickets will be calculated in an entirely separate pool.

(g) **Selected by numbers.** Selections are to be made by program numbers and not necessarily by post position numbers. Large numbers appearing on the tickets are program numbers of the horses.

(h) **Winning quinella combination.** The winning quinella combination shall be the first two horses to finish the race. The order in which the horses finish is immaterial.

(i) **Calculation and distribution of pools.** The quinella shall be calculated and distributed as follows: the net pool divided by the amount wagered on the winning combinations determines the payoff per dollar bet, including profit and wager.

(j) **Entries, fields.** Coupled entries and fields are prohibited in quinella races.

(k) **Scratched or excused horses.** Should any horse entered in a quinella race be scratched or excused by the stewards after wagering has commenced or should any horse be prevented from racing because of the failure of the stall doors or the starting gate to open,

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A18

all tickets including such horse shall be deducted from the quinella pool and money refunded to the purchasers of tickets on the horse so excused or prevented from racing, upon surrender of said tickets.

(l) **Determination of winners.** In the event no ticket is sold on the combination of the first two horses in the official placing, then the next horse or horses, in case of dead heats, in the order of official placing shall be included in the winning combination. In the event of a dead heat for second position and no ticket is sold on one of the horses involved, in the dead heat combined with the winner, the entire pool shall be paid to holders of tickets which combine the winner with the other horse in the dead heat.

(m) **Refund.** If no ticket is sold that would require distribution of the net quinella pool to winners as above defined, the association shall make a complete and full refund of the quinella pool upon surrender of the quinella tickets so purchased.

(n) **Dead heats.** In the event of a dead heat for first position, the pool shall be paid to holders of tickets which combine the two horses involved in the dead heat. In the event of a dead heat for second position, two winning combinations result and the pool shall be divided equally between the holders of tickets which combine the winner with the horses involved in the dead heat for second position. In like manner, in the event of a triple dead heat for second position, three winning combinations would result. In the event of a triple dead heat for first position, three winning combinations would result.

(o) **Permitted sales.** Sale of quinella tickets other than through pari-mutuel machines shall be deemed illegal and is prohibited.

(p) **Hold tickets.** Tickets should be retained until the results have been declared official.

(q) **Denomination of tickets.** Quinella tickets shall be sold only in denominations approved by the commission.

Sec. 12-574-A18. Exacta

(a) **Rules governing.** At tracks which have the exacta pool, the rules of this section will govern the system used.

(b) **Permitted.** Exacta wagering shall be permitted only in accordance with section 12-574-A16 of these regulations.

(c) **Rules printed in program.** The rules for exacta shall be printed in the daily racing programs sold to the public within the premises of racing associations.

(d) **Definition.** The exacta is a contract by the purchaser of a ticket combining two (2) horses in a single race, selecting the first two (2) finishers in the exact order of finish as officially posted. All exacta tickets will be for the win and place combination only.

(e) **No exchange of tickets.** There positively shall be no exchange of tickets after the purchaser thereof has left the sales window.

(f) **Not a parlay.** The exacta is not a “parlay” and has no connection with or relation to any other pool, and is no part of the win, place and show pools, daily double, quinella, trifecta, superfecta, or other wagering pool. All tickets will be calculated in an entirely separate pool

(g) **Selected by numbers.** Selections are to be made by program numbers and not

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A19

Division of Special Revenue

necessarily by post position numbers. LARGE numbers appearing on the tickets are program numbers of the horses.

(h) **Calculation and distribution of pools.** The exacta shall be calculated and distributed as follows: the net pool divided by the amount wagered on the winning combinations determines the payoff per dollar bet, including profit and wager.

(i) **Determination of winners.** If no ticket is sold on the winning combination of an exacta pool, the net pool shall be distributed as a place pool between holders of tickets selecting the winning horse to finish first, and/or holders of the tickets selecting the second place horse to finish second.

(j) **Refund.** If no ticket is sold that would require distribution of the net exacta pool to winners as defined in this section, the association shall make a complete and full refund of the exacta pool upon surrender of the exacta tickets so purchased.

(k) **Dead heat.**

(1) In the event of a dead heat for win, the net pool shall be distributed to each combination of winners separately as in a win pool dead heat, e.g., in a dead heat of two horses there are two winning combinations, in a dead heat of three horses there are six winning combinations.

(2) In the event of a dead heat for second the net pool shall be divided as in a win pool dead heat among holders of tickets combining the winner with each second place horse.

(l) **Entries, fields.** Coupled entries and fields are prohibited in exacta races.

(m) **Scratched or excused horse.** Should any horse entered in an exacta race be scratched or excused by the stewards after wagering has commenced, or should any horse be prevented from racing because of the failure of the starting gate to open, all tickets including such horse shall be deducted from the exacta pool and money refunded to the purchasers of tickets on the horse so excused or prevented from racing.

(n) **Permitted sales.** Sale of exacta tickets other than through pari-mutuel machines shall be deemed illegal and is prohibited.

(o) **Hold tickets.** Tickets should be retained until the results have been declared official.

(p) **Denominations of tickets.** Exacta tickets shall be sold only in denominations approved by the commission.

Sec. 12-574-A19. Trifecta

(a) **Rules governing.** At tracks which have the trifecta pool, the rules of this section will govern the system used.

(b) **Permitted.** Trifecta wagering shall be permitted only in accordance with section 12-574-A16 of these regulations.

(c) **Rules printed in program.** The rules for trifecta shall be printed in the daily racing programs sold to the public within the premises of the racing association.

(d) **Definition.** The trifecta is a contract by the purchaser of a ticket combining three (3) horses in a single race, selecting the first three (3) finishers in the exact order of finish as officially posted.

(e) **No exchange of tickets.** There positively shall be no exchange of tickets after the

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A20

purchaser thereof has left the sales window.

(f) **Not a parlay.** The trifecta is not a “parlay” and has no connection with or relation to any other pool, and is no part of the win, place and show pools, daily double, exacta, quinella, superfecta, or other wagering pool. All tickets will be calculated in an entirely separate pool.

(g) **Selected by numbers.** Selections are to be made by program numbers and not necessarily by post position numbers. Image numbers appearing on the tickets are program numbers of the horses.

(h) **Calculation and distribution of pools.** The trifecta shall be calculated and distributed as follows: the net pool divided by the amount wagered on the winning combinations determines the payoff per dollar bet, including profit and wager.

(i) **Entries, fields.** Coupled entries and fields are prohibited in trifecta races.

(j) **Determination of winner, refund.** If no ticket is sold on a winning combination of a trifecta pool, the net pool shall then be apportioned equally between those having tickets selecting the first and second place horses. If no ticket is sold selecting the first and second horse in the trifecta pool, the net pool shall then be apportioned equally between those having tickets selecting the horse or horses that finished first in the trifecta race. Failure to select the winner to win shall cause a refund to all trifecta ticket holders.

(k) **Scratched or excused horse.** Should any horse entered in an trifecta race be scratched or excused by the stewards after wagering has commenced, or should any horse be prevented from racing because of the failure of the starting gate to open, all tickets including such horse shall be deducted from the trifecta pool and money refunded to the purchasers of tickets on the horse so excused or prevented from racing.

(l) **Dead heat.** In the event of a dead heat or dead heats, all trifecta tickets selecting the correct order of finish, counting a horse in a dead heat as finishing in either position dead heated, shall be winning tickets and contrary to the show pool practice the aggregate number of winning tickets shall divide the net pool and be paid the same payoff price.

(m) **Design of tickets.** The design of trifecta tickets shall be clearly and immediately distinguishable from other pari-mutuel tickets.

(n) **Denominations and machines.** Trifecta tickets shall be sold only in denominations approved by the commission and only from machines capable of issuing three numbers.

(o) **Hold tickets.** Tickets should be retained until the results have been declared official.

(p) **Permitted sales.** Sale of trifecta tickets other than through pari-mutuel machines shall be deemed illegal and is prohibited.

Sec. 12-574-A20. Superfecta

(a) **Rules governing.** At tracks which have the superfecta pool, the rules of this section will govern the system used.

(b) **Permitted.** Superfecta wagering shall be permitted only in accordance with section 12-574-A16 of these regulations.

(c) **Rules printed in program.** The rules for Superfecta shall be printed in the daily racing programs sold to the public within the premises of the racing association.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A20

Division of Special Revenue

(d) **Definition.** The Superfecta is a contract by the purchaser of a ticket combining four (4) horses in a single race, selecting the first four (4) finishers in the exact order of finish as officially posted.

(e) **Selected by numbers.** Selections are to be made by program numbers and not necessarily by post position numbers. Image numbers appearing on the tickets are program numbers of the horses.

(f) **No exchange of tickets.** There positively shall be no exchange of tickets after the purchaser thereof has left the sales window.

(g) **Not a parlay.** The superfecta is not a “parlay” and has no connection with or relation to any other pool, and is no part of the win, place and show pools; daily double, exacta, quinella, trifecta, or other wagering pool. All tickets will be calculated in an entirely separate pool.

(h) **Calculation and distribution of pools.** The superfecta shall be calculated and distributed as follows: the net pool divided by the amount wagered on the winning combinations determines the payoff per dollar bet, including profit and wager.

(i) **Entries, fields.** Coupled entries and fields are prohibited in superfecta races.

(j) **If less than four horses finish.** If only three horses finish, payoff shall be made on tickets selecting the actual finishing horses in order, ignoring the balance of the selection.

(k) **Determination of winner, refund.** If there is a failure to select, in order, the first four horses, payoff shall be made on superfecta tickets selecting the first three horses, in order; failure to select the first three horses, payoff to superfecta tickets selecting the first two horses, in order, failure to select the first two horses, payoff to superfecta tickets selecting the winner to win, failure to select the winner to win shall cause a refund of all superfecta tickets.

(l) **Scratched or excused horse.** Should any horse entered in a superfecta race be scratched or excused by the stewards after wagering has commenced, or should any horse be prevented from racing because of the failure of the starting gate to open, all tickets including such horse shall be deducted from the superfecta pool and money refunded to the purchasers of tickets on the horse so excused or prevented from racing.

(m) **Dead heat.** In the event of a dead heat or dead heats, all superfecta tickets selecting the correct order of finish, counting a horse in a dead heat as finishing in either position dead heated, shall be winning tickets, and, contrary to the usual practice, the aggregate number of winning tickets shall divide the net pool and be paid the same payoff price.

(n) **Design of tickets.** The design of superfecta tickets shall be clearly and immediately distinguishable from other pari-mutuel tickets.

(o) **Denomination and machines.** Superfecta tickets shall be sold only in denominations approved by the commission and only from machines capable of issuing four numbers.

(p) **Hold tickets.** Tickets should be retained until the results have been declared official.

(q) **Permitted sales.** Sale of superfecta tickets other than through pari-mutuel machines shall be deemed illegal and is prohibited.

Sec. 12-574-A21. Violations of rules and regulations

(a) **Liability.** Any person or association licensed by the commission violating any of these rules or regulations shall be penalties herein provided, unless otherwise limited in and by the rules and regulations of the commission. It is the duty and responsibility of all such persons and associations to know these rules.

(b) **Penalties.** The penalties for violation of the act or the rules of the commission shall be as follows:

- (1) Denial, revocation or suspension of license.
- (2) Monetary fines not exceeding \$5,000 for each violation and/or forfeiture of purse.
- (3) Suspension from one or more activities at one or more tracks.
- (4) Expulsion from racing in Connecticut.
- (5) Any combination of the above.

(c) **Right to hearing.**

(1) Any person who claims to be aggrieved by a decision of the stewards may appeal said decision to the commission in accordance with these rules and the commission rules concerning “Rules of Practice and Hearing Procedures”.

(2) Whenever a matter has been referred to the commission by the stewards or whenever the commission, on its own initiative, shall determine to take cognizance of any alleged violation or any other matter within its jurisdiction, or whenever a license granted by the commission is to be suspended or revoked, an opportunity for a hearing in accordance with the commission rules concerning “Rules of Practice and Hearing Procedures” shall be afforded.

Sec. 12-574-A22. Officials of meeting

(a) **Designation of officials.** In addition to the stewards, officials of a race meeting shall include the following:

- (1) Three placing judges.
- (2) Three or more patrol judges.
- (3) Clerk of the scales.
- (4) Starter.
- (5) Jockey room custodian.
- (6) Racing secretary.
- (7) Timer (or timers).
- (8) Paddock judge.
- (9) Handicapper (or handicappers).
- (10) Horse identifier.
- (11) Director of security.
- (12) Association veterinarians.
- (13) Pari-mutuel manager.

(b) **Approval by commission.**

(1) At least thirty (30) days prior to the first day of a race meeting, the association shall submit in writing to the commission the names of all racing officials engaged for the

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A23

Division of Special Revenue

meeting, and no racing official shall be qualified to act until he shall have been licensed by the commission and pay the fee, if any, required by the act. It shall be the duty of the commission to ascertain that the persons submitted are fully qualified to perform the duties required of them. In the event of incapacitation of any such approved racing official, the association may, with the approval of the commission, appoint a substitute who must, within seven (7) days of his appointment, obtain a license from the commission and pay the required fee.

(2) All officials in rule (a) of this section shall be appointed by the association holding the meeting with such exceptions as may be hereinafter noted. All the appointments are subject to being licensed by the commission, which reserves the right to demand a change of personnel for what it deems good and sufficient reason, the successors to officials so replaced to be subject to being licensed by the commission.

(c) **Compensation.** All officials enumerated in this section, excepting the commission steward, shall be compensated by the association conducting the meeting.

(d) **Dual jobs.** With the exceptions specified in these rules, no operating official may hold more than one position at a track unless written permission is obtained from the commission at least ten (10) days prior to the beginning of a meet. After the beginning of a meet, if an operating official is required to fill more than one position pursuant to these rules, a full written report of the circumstances must be filed with the commission.

(e) **Conflict of interest.** A licensed racing official shall not, directly or indirectly, for a commission or gratuity, or otherwise, sell or buy at private sale for himself or another, any thoroughbred horse; nor shall he directly or indirectly buy or sell any contract upon any jockey or apprentice for himself or another; nor shall he write or solicit horse insurance.

(f) **Wagering prohibited.** No thoroughbred racing official may wager money or any other thing of value on the result of a thoroughbred race conducted in Connecticut.

(g) **Reports to stewards.** Each racing official and his assistants shall report to the stewards all observed violations of the rules.

(h) **Prohibition.**

(1) No person employed or appointed by the commission nor any licensed racing official shall have or maintain any interest, direct or indirect, in the ownership or leasing of a thoroughbred participating at any licensed meeting where he works or officiates.

(2) Any licensed person acting in any official capacity at an unrecognized meeting may be disqualified.

(i) **Respect accorded officials.** If any owner, trainer, jockey or any other person licensed by the commission uses profane or indecent language to a racing official or otherwise disturbs the peace of any track enclosure, he shall be liable for a fine, suspension or both, or may be ruled off, and such action shall be immediately reported to the commission by the stewards.

Sec. 12-574-A23. Stewards

(a) **Number, appointment, compensation, license.** There shall be three (3) stewards to supervise each race meeting: The commission steward appointed by the commission, who

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A23

shall be the presiding steward, and two (2) stewards appointed by the association conducting the meeting. The compensation paid to the steward appointed by the commission shall be paid by the commission. All stewards and deputy stewards must be licensed by the commission and pay the fee, if any, required by the act.

(b) **Deputy and temporary stewards.** The association shall appoint two (2) deputy stewards to serve in the absence of the association stewards. In the event of an emergency, where a deputy steward who is called to duty is absent or cannot be present in time, the association may appoint a temporary steward from the licensed officials employed by the association. The association shall make a full written report of the absence of a steward or deputy steward to the commission immediately including therein the names of the replacements. Appointments of temporary stewards and utilization of deputy stewards shall be made only with the full knowledge and consent of the duly authorized representative of the commission at the track. Appointments of temporary stewards are valid only for the day of their appointment. Likewise, the commission shall appoint a deputy steward to act in the absence of the commission steward. In the event the commission steward or his deputy is absent, the rules governing temporary stewards appointed by the association shall govern. Deputy stewards may also be licensed as an official who is employed by the association but must have a license to act as a deputy steward.

(c) **Emergency substitute.**

(1) When vacancies occur among the officials, other than the stewards, and the association has not notified the stewards prior to the time fixed for the first race of the day that it has been filled, the stewards shall fill such vacancy immediately, said appointment to stand for the day only.

(2) Should the vacancy occur after the racing for the day has started, the stewards shall fill the vacancy at once, the appointment standing for the day only; unless the association shall fail to fill the vacancy on the following day and notify the stewards of their action one hour before the time fixed for the first race.

(3) Emergency substitutes shall be persons holding a license from the commission as an official.

(d) **Power of stewards.** The stewards have power to regulate and control the conduct of all officials and of all owners, trainers, jockeys, grooms and other persons attendant on horses. Such stewards shall exercise such powers and perform such duties at each race as may be prescribed by these rules and regulations. The stewards have power, as they think proper, to make and, if necessary, to vary all arrangements for the conduct of the meeting and to determine all questions, within a reasonable time, arising in reference to racing at the meeting, subject to appeal to the commission. They shall compile a “stewards’ list” upon which they shall enter the names of all horses at the track prohibited from starting.

(e) **Accept decision of stewards.** Persons entering horses to run on licensed Connecticut tracks agree in so doing to accept the decision of the stewards on any questions relating to a race or to racing.

(f) **Majority rule.** A majority vote of the stewards will decide all questions.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A23

Division of Special Revenue

(g) **Complaints against officials.** Every complaint against an official shall be made to the stewards in writing, and signed by the complainant.

(h) **Locking machines.** The commission steward shall lock all pari-mutuel ticket issuing machines and sound the off-bell not later than the advertised post time, except that the commission steward may delay the locking of the ticket selling machines in unusual circumstances. It shall be the duty of the stewards to see to it that the horses arrive at the starting gate as near to post time as possible.

(i) **Protests.**

(1) A protest, except a protest involving fraud, may be filed only by the owner (or his authorized agent), trainer or jockey of a horse engaged in the race over which the protest is made or by a racing official of the meeting.

(2) A protest involving fraud may be made by any person.

(3) A protest, except a claim growing out of happenings in the running of the race, must be made in writing, signed by the complainant and filed with the stewards before post time of the race in question.

(4) To merit consideration, a protest against the programmed distance of a race must be made at least thirty (30) minutes before post time for that race.

(5) To merit consideration, a protest against a horse based on a happening in a race must be made to the stewards before the placing of the horses for that race has been officially confirmed.

(6) If a jockey wishes to protest a happening in a race, he must so notify the clerk of the scales, immediately upon his arrival at the scales for weighing in, and the clerk of the scales shall immediately notify the stewards that a protest has been made.

(7) Before the consideration for a protest, the stewards may demand a deposit of \$50 to be made with the horsemen's accountant. This deposit shall be applied to the costs and expenses. Any excess shall be refunded unless the protest is found to be frivolous, in which case the deposit may be assessed as a fine, and remitted to the state of Connecticut.

(8) A person or persons lodging a protest must pay all costs and expenses incurred. If the objection is upheld, the cost shall be paid by the offender.

(9) Pending the determination of a protest, any money or prize won by a protested horse or any other money affected by the outcome of the protest, other than parimutuel wagers, shall be paid to and held by the horsemen's accountant until the protest is determined.

(10) A protest may not be withdrawn without permission of the stewards. No person shall make frivolous protests.

(11) The stewards shall keep a record of all protests and complaints and of any action taken thereon; and shall report both daily to the commission.

(j) **Access to all facilities.** The stewards have control over, and they and the members of the commission and their duly appointed representatives have access to all stands, weighing rooms, enclosures and all other places within the grounds of the association.

(k) **Supervision of entries, declarations.** The stewards have supervision over all entries and declarations.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A23

(l) **Questionable conduct.** The stewards shall take notice of any questionable conduct with or without complaint thereof.

(m) **Prompt investigation.** The stewards must investigate promptly, and render a decision in every protest and in every complaint properly made to them.

(n) **Power to exclude, suspend.** If the stewards shall find that any person has violated any of the sections of these rules to which their jurisdiction extends or has been involved in any improper turf practice, they may exclude such person from the grounds or any portion of such grounds of the association conducting the meeting for a period not exceeding the remainder of the meeting or 60 days; or they may suspend such person from acting or riding for a period not exceeding the remainder of the meeting or 60 days, or both such exclusion and suspension, and if they consider necessary any further punishment, they shall promptly refer the matter to the commission. The stewards shall exclude from all places under their control persons who are warned or ruled off. They shall also exclude any person declared guilty of any corrupt or fraudulent turf practices by turf authorities of any country, or stewards of any recognized meeting, and the names of all persons penalized shall be promptly reported to the commission.

(o) **Imposition of fines.**

(1) In place and stead of or in addition to the punishments recited in rule (n) of this section, the steward is hereby authorized to impose a fine in an amount not to exceed \$250 for each violation of any of the sections of these rules to which their jurisdiction extends or for any improper turf practice, and each day upon which such violation continues may be considered by the commission steward as a separate violation in assessing the amount of such civil penalty. Before imposing such civil penalty, the commission steward shall give the other two stewards of the meeting a reasonable opportunity to submit recommendations relative to such penalty.

(2) All fines shall be paid to the horsemen's accountant with forty-eight (48) hours after imposition.

(3) Fines collected lay the horsemen's accountant shall be paid to the state of Connecticut.

(p) **Violations other than for rule of the race-procedure.** When the stewards feel that a rule, other than a rule of the race, has been violated by any person, the procedure shall be as follows:

(1) The person involved shall be summoned to a meeting before the stewards, called for that purpose, which meeting shall be called for as soon as practical after notice of the fact that a violation may have occurred.

(2) Adequate notice of said meeting shall be given the summoned party. The stewards' decision as to what is adequate notice shall be final.

(3) No penalty shall be imposed until such hearing.

(4) Non-appearance of the summoned party after adequate notice shall be construed as a waiver of right to hearing before the stewards.

(5) No special announcement of the hearing or of the alleged infraction of rules shall be

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A23

Division of Special Revenue

made until after said hearing. Immediately after a hearing, provided the matter is settled, the stewards shall transmit their findings in the signed written statement to the commission and to the party in question.

(q) **Appeal from penalty.** Any person penalized by action of rules (n) or (o) of this section shall have the right to appeal to the commission by filing with the commission within ten (10) days after the imposition of such penalty, a written notice of such appeal; and the commission in determining the appeal may increase or decrease the amount of such penalty, or it may suspend or revoke or otherwise act with respect to the license of the appellant; and the determination of the commission on such appeal shall be final.

(r) **Stay of execution.** The commission may grant a stay to any person licensor by it, pending appeal, who is affected by any decision of, or penalty, imposed by an official or officials at a race meeting.

(1) The appeal will be filed on form called a “notice of appeal and request for a stay” provided by the commission or upon presentation of a similar request in writing. The stay, if granted, will be at such a time or for such a duration designated by the commission. The commission may require the posting of security, which may be withheld in whole or in part if the appeal was frivolous or without foundation.

(2) The appeal must be filed within ten (10) days after the decision or penalty from which the appeal is taken. It shall be filed at the office of the commission steward. The commission steward shall present a copy of the notice of appeal and request for a stay to the commission on the day received. The commission shall convene a committee of three commissioners to act on the request for a stay as soon as practical after receipt of the request. In no event shall the commission act later than seven (7) days from the receipt of the stay.

(3) The reasons stated in the appeal must be specific.

(s) **Persons under suspension.** No one under suspension by the commission or the stewards shall be allowed on the grounds of any association unless authorized to be there by the commission or the stewards.

(t) **Action by the commission.** Whenever under this section a matter has been referred to the commission, the commission shall take such action as it shall deem proper and appropriate.

(u) **Permission to exercise.**

(1) Permission must be obtained from a steward to exercise a horse between races unless the horse is being warmed up on the way to and just prior to entering the paddock for the next race to be run.

(2) When a horse is being so warmed up before entering the paddock, his official program number shall be displayed by the rider.

(v) **Number.** In a race, each horse shall carry a conspicuous saddlecloth number and a head number corresponding to his number on the official program. In cases of a fractious horse and with the permission of the paddock judge, the head number may be removed. In the case of an entry, each horse making up the entry shall carry the same number (head and saddlecloth) with a distinguishing letter. For example, 1-1A, 1X. In the case of a field, the

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A23

horses comprising the field shall carry an individual number, i.e., 12, 13, 14, 15 and so on.

(w) **Consent for dismounting.** After the horses enter the track, no jockey shall dismount and no horse shall be entitled to the care of an attendant without consent of the stewards or the starter and the horse must be free of all hands other than those of the jockey or assistant starter before the starter releases the barrier.

(x) **Accidents.**

(1) In case of accident to a jockey, his mount or equipment, the stewards or the starter may permit the jockey to dismount and the horse to be cared for during the delay, and may permit all jockeys to dismount and all horses to be attended during the delay.

(2) In case of accident or casualty to a horse before off-time, the stewards may excuse said horse.

(3) If the jockey is so injured on the way to the post as to require another jockey, the horse shall be taken to the paddock and another jockey obtained.

(y) **Parade.**

(1) All horses shall parade and, under penalty of disqualification, shall carry their weight from the paddock to the starting post, such parade to pass the steward's stand.

(2) After entering the track not more than nine (9) minutes shall be consumed in the parade of the horses to the post except in cases of unavoidable delay. After passing the stand once, horses will be allowed to break formation and canter, warm up or go as they please to the post. When horses have reached the post, they shall be started without unnecessary delay.

(z) **Blinker.** Permission for a horse to add blinkers to his equipment or to discontinue the use of them must be approved by the starter before being granted by the stewards.

(aa) **Wilful delay.** No person shall wilfully delay the arrival of a horse at the post.

(bb) **Striking horse.** No person other than the rider, starter, or assistant starter shall be permitted to strike a horse, or attempt, by shouting or otherwise to assist it in getting a start.

(cc) **Crossing and weaving.**

(1) When clear, a horse may be taken to any part of the course provided that crossing or weaving in front of contenders may constitute interference or intimidation for which the offender may be disciplined.

(2) A horse crossing another so as actually to impede him is disqualified, unless the impeded horse was partly in fault or the crossing was wholly caused by the fault of some other horse or jockey.

(dd) **Jostling.** If a horse or jockey jostle another horse, the aggressor may be disqualified, unless the jostled horse or his jockey was partly in fault or the jostle was wholly caused by the fault of some other horse or jockey.

(ee) **Striking other horse, careless riding.** If a jockey wilfully strikes another horse or jockey, or rides wilfully or carelessly so as to injure another horse which is in no way in fault, or so as to cause other horses to do so, his horse is disqualified.

(ff) **Disqualification of entry.** When a horse is disqualified under rules (cc), (dd) and (ee) of this section, the other horse or horses in the same race coupled as an entry under

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A23

Division of Special Revenue

these regulations may be disqualified by the stewards.

(gg) Complaints made by.

(1) Complaints under rules (cc), (dd) and (ee) of this section can only be received from the owner (or his authorized representative), trainer or jockey of the horse alleged to be aggrieved, and must be made to the clerk of the scales or to the stewards before his jockey has passed the scales. But nothing in this section shall prevent the stewards taking cognizance of foul riding.

(2) A jockey whose horse has been disqualified or who unnecessarily causes his horse to shorten his stride with a view to complaint, or an owner, trainer or jockey who complains frivolously that his horse was crossed or jostled, may be punished.

(hh) Jockey hearing. Any jockey against whom a foul is claimed shall be given the opportunity to present his case to the stewards before any decision is made by them.

(ii) Corrupt instructions. All horses are expected to give their best efforts in races in which they run, and any instructions or advice to jockeys to ride or handle their mounts otherwise than for the purpose of winning are forbidden and will subject all persons giving or following such instructions or advice to disciplinary action by the stewards and the commission.

(jj) Disqualification of horses. The stewards have power to call for proof that a horse is neither itself disqualified in any respect, nor nominated by nor the property, wholly or in part, of a disqualified person, and in default of such proof being given to their satisfaction, they may declare the horse disqualified.

(kk) Examination of horses. The stewards have power at any time to order an examination, by such person or persons as they think fit, of any horse entered for a race or which has run in a race.

(ll) Using photographic records. Photographic records shall be taken of every race from start to finish and may be used to aid the stewards in determining any question within their jurisdiction.

(mm) Discretionary powers. If any case occurs which is not or which is alleged not to be provided for by these rules and regulations, it shall be determined by the stewards in such manner as serves the best interests of thoroughbred racing; and the stewards may impose such punishment and take such other action in the matter as they may deem to be within the intent of this section, including reference to the commission.

(nn) Minute book and reports. Action by the stewards in performing their duties shall be reported to the commission. The stewards shall, within twenty-four (24) hours after the close of each day, file with the commission a signed report of any and all infractions of the rules coming under their observance that day; and shall file with the commission any and all rulings on infractions or otherwise as soon as said rulings are made. Where one steward disagrees with the majority, that fact shall be noted in the report and the dissenting steward shall have the right to file with the commission a written report setting forth the reason or reasons for the disagreement. The stewards shall keep a minute book, recording therein all complaints made to them and the disposition and all investigations by the stewards and their

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A24

findings thereon and all rulings made by the stewards.

(oo) **In paddock.** One of the stewards or his duly appointed representative and the paddock judge shall be in the paddock twenty (20) minutes before each race and until the horses go to the post.

(pp) **Starting time.** During the racing day, at least one of the stewards shall be present at the office building on the grounds of the association where the race meeting is being held, not later than scratch time of the racing program of the day, to exercise the authority and perform the duties imposed on them by the rules and regulations. At least one of the stewards must be on duty within call of the racing secretary from the scratch time of the racing program of the day until after the drawing of post positions.

(qq) **Stewards in stand.** There shall be three (3) stewards (no more, no less) in the steward's stand when a race is being run.

(rr) **Disqualification.** It shall be left to the discretion of the stewards to rule on the disqualification of a horse or horses in a race, and the placing of such horse or horses as a result of the disqualification.

(ss) **Substitute riders, trainers.** In their discretion, the stewards shall have the right to put upon a horse, a rider selected by them and to place the horse in the charge of a trainer they may select.

(tt) **Consult veterinarian.** The stewards shall consult with the association veterinarian in each case where there is a question of a horse's physical fitness to race.

(uu) **Unruly horse.** The stewards may scratch an unruly horse or place an unruly horse outside the starting gate pursuant to rule (b) of section 12-574-A24.

(vv) **Final odds, testing horses.** Stewards shall observe the final odds, the respective finish, and the performance of each horse in each race to determine which horses shall be sent to the detention area for the taking of specimens, pursuant to rule (d) of section 12-574-A34 of these rules.

(ww) **Final report.** At the close of each meeting, the stewards shall make a written report to the commission of the condition of the meeting and any recommendations they deem advisable.

(xx) **Stewards supersede other officials.** The laws of Connecticut, and the rules and regulations of the commission, supersede the conditions of a race, or the regulations of a race meeting, when there is a conflict, and in matters pertaining to racing, the orders of the stewards supersede the orders of the officials of the association.

Sec. 12-574-A24. Starter

(a) **Duties.**

(1) Horses are in the hands of the starter from the moment they enter the track until the start is made.

(2) He shall give all orders necessary to secure a fair start.

(3) He shall report to the stewards by whom and by what cause any delay was occasioned, and any cases of misconduct by assistant starters or by jockeys when under his orders.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A25

Division of Special Revenue

(4) He, or his assistants, shall keep records of horses handled, by which assistant, and equipment used if other than the ordinary lead strap.

(b) **Bad-mannered horses.** The start must not be delayed on account of bad-mannered horses. After reasonable efforts, if a horse cannot be led or backed into position, the starter shall do the following:

(1) In non-stake races the starter shall consult with the stewards and the stewards shall have the discretion to scratch a horse that is unruly.

(2) In stake races the starter shall consult with the stewards and the stewards, in their discretion, may scratch the unruly horse, or may order the starter to place the horse on the outside and one length behind the starting gate or in a position outside the starting gate.

(c) **Run away horse, reloading gate.** Should a horse break through the gate, or unseat his rider after part or all of the field is loaded in the gate for the start, and such horse is not immediately taken in hand by the out rider and brought back for reloading, the starter shall unload the horses in the gate and reload in their proper order when the run away horse is brought back in position for loading.

(d) **Post positions.** The starter is required to load horses in the starting gate in order of post position. Any exception to this must receive the approval of the stewards.

(e) **Starting signal.** The horses shall be started by a machine or bell, or by both and there shall be no start until, and no recall after the starter has signaled for the start.

(f) **Prohibited behavior.** The starter or his assistants shall not strike or use abusive language toward a jockey.

(g) **Assistant starters, location.** The starter shall daily change the position on the track of each of his assistant starters. The starter shall not notify the assistant starters of their positions until after the horses shall have left the paddock for the first race.

(h) **Schooling.** Horses shall be schooled under the supervision of the starter or his assistants, and the starter shall designate the horses to be placed on the schooling list, a copy of which shall be posted in the office of the racing secretary. Except in stakes, a horse will not be eligible to start until the starter orders the name stricken from the schooling list.

(i) **Approval of certain entries.** The starter shall certify that all entries of two-year-olds, and older horses which have never started at a recognized track, are schooled in the starting gate before they are allowed to start.

(j) **Power to recommend penalties.** The starter shall have authority to recommend to the stewards that a jockey be fined or suspended for disobedience of his orders or for attempting to take any unfair advantage. Should the stewards find that such jockey has disobeyed the orders of the starter or attempted to take unfair advantage, he shall be subjected to the penalties prescribed in these rules.

Sec. 12-574-A25. Placing judges

(a) **Responsibility of association.** Each association shall appoint at least three (3) placing judges who shall be licensed by the commission, and whose stations shall be designated by the stewards.

(b) **Duties.** The placing judges must occupy the judges' box at the time the horses pass

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A26

the winning post, and their sole duty shall be to place the horses. When the judges differ, the majority shall govern. They must announce their decisions promptly, and such decisions shall be final, unless objection to the winner or any placed horse is made and sustained. Provided, that this section shall not prevent the placing judges from correcting any mistake, such correction being subject to confirmation by the stewards.

(c) **Determining the placing.** In determining the places of horses at the finish of a race, the placing judges shall consider only the respective noses of such horses.

(d) **Camera.** On all tracks a proper camera shall be installed as an aid to the placing judges, however, in all cases, the camera is merely an aid and the decision of the judges shall be final. The type of equipment shall be approved by the commission. The photograph of each finish shall be posted in at least one conspicuous place as promptly as possible after each race.

(e) **Number of finishers.** The placing judge or judges shall determine the order of finishing of as many horses as they may think proper.

(f) **Correcting errors on the tote.** Nothing in these rules shall be construed to prevent the placing judges, with the approval of the stewards, from correcting an error before the display of the sign “official” or from recalling the sign “official” in case it has been displayed through error.

(g) **Reports.** The placing judges shall at the close of each day’s racing sign and send a report of the result of each race to the office of the commission, and shall supply to other officials such information in respect to the races as the association may require.

(h) **Posting order of finish.** When a result is official, that word shall be flashed on the result board and shall signify that the placing of the horses is final insofar as the payoff is concerned. If any change be made in the order of finish of a race after the result is so declared official, it shall not affect the payoff. The posting on the result board of the order of winning, place and show horses or the prices to be paid shall not be deemed to signify that such result and prices are official until the official signal has been shown on the result board and announced by the public address system.

(i) **When inquiry or objection is claimed.** In the event of an inquiry or objection being claimed, the word “inquiry” shall be flashed if it is an inquiry, and the word “objection” shall be flashed if it is an objection, forthwith on the result board and announcement thereof made on the public address system.

(j) **Rulings after race declared official.** Rulings of the stewards with regard to the award of purse money, made after the result has been declared official, shall in no way affect the mutuel payoff.

Sec. 12-574-A26. Racing secretary, handicapper

(a) **Racing secretary.** A person appointed by the association and licensed by the commission shall be the racing secretary. He also shall be clerk of the course, and unless it is otherwise specified, he shall act as handicapper.

(b) **Duties of racing secretary.** The racing secretary shall discharge all duties required by these rules, and report to the stewards as the case demands, all violations of these rules,

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A26

Division of Special Revenue

or of the regulations of the course, coming under his notice; he or his designated representative shall keep a complete record of all stakes, entrance money, and arrears and pay over all monies so collected by him to such officers or persons as may be entitled to receive the same. The racing secretary, or designated representative, must record all winning races on proper forms attached to the jockey club registration certificate not later than the day following the race having been won. He shall assign the post positions of all starters in a race by lot.

(c) **Records of performance.** The racing secretary's office shall keep up-to-date performance files on all horses registered to race with the association.

(d) **Maintain records.** The racing secretary shall maintain all ownership records in accordance with the rules and regulations and directions of the commission. Charts or records of every horse stabled at tracks during meetings thereat shall be kept by or under the direction of the racing secretary. Said charts shall show the breeding, name, registration, age and sex of the horse; and such charts and records shall be available to the members and the steward of the commission.

(e) **Program.** The racing secretary shall compile an official program for each racing day, which shall state the time fixed if or the first race and give the names of the horses which are to run in each of the races of the day.

(f) **Details of program.** The program shall indicate the order in which each race is to be run; the purse, conditions, distance of each race; the owner, trainer, and jockey of each horse; each owner's racing colors; the weight assigned to each horse; his number and post position, color, sex, age and breeding. The program may show other pertinent data.

(g) **Record all races.** The racing secretary shall keep a complete record of all races.

(h) **Assigns stable.** It shall be the duty of the racing secretary or designated track representative to assign to applicants such stabling as he or they may deem proper to be occupied by horses in preparation for racing, and he or they shall determine all conflicting claims of stable privileges.

(i) **List of entries to be posted.** The racing secretary shall each morning, as soon as the entries have been closed and compiled, and the declarations have been made, post in a conspicuous place in his office a list thereof. Any newspaper desiring the same shall also be furnished a copy.

(j) **Payments and arrears.** Within fourteen (14) days, exclusive of Sundays, from the close of the meeting, he shall pay to the persons entitled to it all the money collected by him; and at the expiration of the same period he shall notify the association of all arrears then remaining unpaid, and all arrears shall be regarded as having been assumed by the association.

(k) **Submit entries and transfers of engagements.** Before acceptance, he shall submit to the association, all entries and transfers of engagements and all races except those opened and decided during the meeting.

(l) **Handicapper, duties.** The handicapper shall append to the weights for every handicap the day and hour from which winners will be liable to a penalty and no alteration shall be

made after publication except in case of omission, through error, of the name or weight of a horse duly entered, in which cases by permission of the stewards the omission may be rectified by the handicapper.

Sec. 12-574-A27. Clerk of the scales

(a) **Duties.**

(1) The clerk of the scales shall exhibit the number (as allotted on the official card of each horse for which a jockey has been weighed out and shall forthwith furnish the starter with a list of such numbers.

(2) He shall in all cases weigh in the riders of the horses and report to the stewards any jockey not presenting himself to be weighed in.

(3) The clerk of the scales or assistant shall weigh out and weigh in the riders of all horses participating in a race, and he shall record and publish any overweight or variation from the weight appearing on the program.

(4) The clerk of the scales shall cause to be recorded and have disseminated for public information immediately, upon notice thereof any overweight or any change of jockey, weight, or racing colors, as compared with these stated on the official program and shall promptly supply all proper racing officials with all pertinent changes.

(5) The clerk of the scales shall promptly report to the stewards any infraction of the rules with respect to weight, weighing, or riding equipment.

(6) The clerk of the scales shall confirm to the stewards, after each race, the weights carried by each horse in each race, together with the name of each horse's jockey and the overweight carried by any jockey. He shall also report any other data which may from time to time be required.

(7) The clerk of the scales shall weigh in all jockeys after each race, and after the weighing, shall notify the stewards if the weights are correct. The stewards may then declare the race official.

(8) Any subsequent change of jockey must be noted by the clerk of the scales and sanctioned by the stewards who, if no satisfactory reason is given for the change, may fine or suspend any person they may think culpable in the matter.

Sec. 12-574-A28. Paddock judge

(a) **Duties.** The paddock judge shall be in charge of the paddock and inspect all race horses and their equipment prior to each race, and shall observe and report forthwith to any steward any violation observed in such inspection.

(b) **Horse identification, equipment inspection.** The paddock judge shall be in charge of the paddock and shall have general jurisdiction over the saddling equipment and changes thereof and his duties shall be determined from time to time by the stewards. The identification of said horses shall be made by the horse identifier who shall report any irregularities to the paddock judge and stewards.

(c) **Farrier, notices to be posted.** The paddock judge shall, in each race, require the farrier in attendance in the paddock to see to it that all horses are properly shod, and a notice

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A29

Division of Special Revenue

forthwith posted in a conspicuous place close to the paddock, easily visible to the public, stating the type of shoes with which the horse is shod and whether with or without caulks and on which feet, or is shoeless as to any of its feet. The said judge shall report immediately to the stewards the findings of the farrier.

(d) **Irregularities.** The paddock judge shall report any irregularities to the stewards.

(e) **Equipment changes.** Permission for any change of equipment from that which a horse carried in his last previous race must be obtained from the paddock judge.

(f) **Horses to be saddled in paddock.** All horses must be saddled in the paddock, except by permission of the stewards.

(g) **Horse in paddock not to be touched.** No one not actually connected with its stable shall touch a horse while in the paddock preparatory to starting in a race, except for authorized inspection as provided in these rules.

(h) **Exclusions from paddock.** The commission, its duly authorized representatives, officials, and licensed personnel required to be in the paddock shall be allowed admittance thereto subject to such limitations as the paddock judge may require. No other personnel shall be allowed into the paddock unless permission therefor is received from the paddock judge or the commission. Licensed personnel shall be allowed in the paddock only while the horse they own or service is in the paddock.

Sec. 12-574-A29. Patrol judges

(a) **Appointed by the association.** Each association shall appoint at least three (3) patrol judges, licensed by the commission, who shall be on duty during the running of each and every race.

(b) **Duties.** The patrol judges shall have their station at a place designated by the stewards where they may have a commanding view of the race. The patrol judges shall report their observations to the stewards and the association shall provide communications between each station of the patrol judges and stewards for this purpose.

Sec. 12-574-A30. Timer

(a) **Duties of timer.** There shall be one timer who shall occupy the timer's stand and declare the official time of the race. The association may utilize electronic timers which, however, shall not be official. The official time shall be the time recorded on the hand timer.

(b) **Official time to be recorded.** The time recorded when the first horse crosses the finish line shall be the official time of the race.

Sec. 12-574-A31. Veterinarians

(a) **License.** All veterinarians referred to in this section shall be licensed to practice in the state of Connecticut by the state board of veterinary registration and examination, and shall be licensed by the commission.

(b) **Commission veterinarian.** The commission shall appoint at least one veterinarian who shall be designated commission veterinarian and who shall carry out such duties as may be imposed upon him by the commission. The commission veterinarian and his

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A31

assistants shall be responsible for all testing of horses. They shall make reports to the commission at such time and in such manner as the commission may prescribe.

(c) **Association veterinarian.** Each association shall employ a veterinarian to carry out the duties hereafter enumerated in this section. The association veterinarians shall be employed and paid by the association at whose track the services are rendered.

(d) **Treating veterinarian.**

(1) Only veterinarians who have obtained a license from the commission to practice veterinary medicine at an association plant may treat horses at such plant. No veterinarian will receive such a license unless approved by the state veterinarian of the Connecticut department of agriculture.

(2) No veterinarian licensed to practice on the grounds of any association shall furnish sell or loan any hypodermic syringe, hypodermic needle or other device which could be used for injection or other infusion into a horse or a narcotic stimulant, or narcotic to any person within the grounds of a racing association where race horses are lodged or kept without first securing written permission from the stewards. Only one-time disposable syringes and infusion tubes are authorized for use in the treatment of race horses on the grounds of the association.

(3) The association and commission veterinarians shall not prescribe or treat or otherwise administer medication of any form to horses stabled on the association grounds except in cases deemed by the association officials to be emergencies.

(4) No owner or trainer shall employ any veterinarian who has not been duly licensed in accordance with these rules and regulations. The association shall warn off all unlicensed veterinarians. The veterinarians shall make daily reports to the commission veterinarian and to the stewards of all horses under treatment by them and the medication given. Any violation of this rule shall be immediately reported to the commission and the stewards.

(5) Every veterinarian who shall prescribe or use any medication or treatment which contains a drug or drugs, which he has reason to believe are of such character as could affect the racing condition of a horse in a race, shall at the time of such prescribing or use deliver to the steward of the commission and the trainer of the horse under treatment a written statement setting forth the name of the horse and of the trainer and the fact that such medication or treatment, as the case may be, contains a drug, stimulant or narcotic which, in the opinion of the veterinarian is of such a character as could affect the racing condition of the horse in a race.

(e) **State veterinarian.** All veterinarians enumerated in this section shall abide by the regulations and inquiries of the state veterinarian of the Connecticut department of agriculture.

(f) **Requirements of association veterinarian.**

(1) He shall be present in the paddock to inspect all horses, and shall inspect or observe all horses after the finish of a race, and shall perform such other duties as shall be prescribed from time to time by the stewards. If a horse is in ice or has a freeze on his legs at the time of the pre-race examination, he is subject to being scratched from the race.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A32

Division of Special Revenue

(2) Each entry shall be given a pre-race examination on the day of the race for which entered, reasonably in advance of post time. The pre-race examination shall be made by an association veterinarian who shall make such examination as is necessary to determine the entry's fitness to race, and who shall report to the stewards any horse that is not in fit condition to race.

(3) All bandages shall be removed by the groom and the entry exercised outside the stall sufficiently for the association veterinarian to determine the condition of the entry's legs, feet and general condition. He shall report any findings of unsoundness of a horse to the stewards.

(4) The association veterinarian shall maintain a list to be known as the "veterinarians list" upon which he shall enter the name of any horse which he considers unfit, unsound or not ready for racing. Any horse, the name of which is on the veterinarians list, shall be refused entry until the association veterinarian removes its name from the list. A trainer may appeal to the stewards any decision to place a horse's name on the "veterinarians list." This list shall be posted on a bulletin board in or near the racing secretary's office.

(5) A known bleeder is a horse which bleeds twice within six (6) consecutive calendar months in any racing jurisdiction. A known bleeder shall be barred from racing in Connecticut unless the bleeding incidents arose from injury or minor afflictions which, in the opinion of the association veterinarian, will not reoccur.

(6) A horse placed on the veterinarian's list for bleeding must remain on the list for a minimum of fourteen (14) calendar days.

(7) The veterinarian's list as defined herein shall be binding on the tracks under the jurisdiction of the commission.

(8) The association veterinarian shall inspect bandages just prior to the participation in a race of the horse on which they are used. He may order their removal and replacement if he sees fit to do so. Should there be any circumstances in their use that indicates fraud, it shall be reported to the stewards, who after an investigation, shall report all the facts to the commission for such action as it deems appropriate.

(9) Shoeing. Every horse entering the paddock to race shall be inspected as to its shoeing, and a notice forthwith posted in a conspicuous place close to the paddock and in another conspicuous location in the grandstand, easily visible to the stating the type of shoes with which the horse is shod and whether with or without caulks and on which feet, or is shoeless as to any of its feet.

Sec. 12-574-A32. Horse identifier

(a) **Duties.**

(1) Each association shall appoint a horse identifier licensed by the commission who shall be responsible for the implementation and administration of the identification of horses at the association plant as required by these rules and regulations.

(2) The horse identifier shall inspect the physical markings and night eyes of all entries in the paddock area prior to each race for the purpose of establishing the true identity of each entry.

(b) **Records.** The horse identifier and his assistants shall keep such records as may be requested by the commission. The commission shall have access to these records at all times.

Sec. 12-574-A33. Drugs and medication

(a) **Action taken by stewards—prohibited medication and drugs.**

(1) If the stewards shall find that any drug has been administered or attempted to be administered, internally or externally, to a horse before a race, which is of such a character as could affect the racing condition of the horse in such race, such stewards shall impose such punishment and take such other action as they may deem proper, including reference to the commission, against every person found by them to have administered or to have attempted to administer or to have caused to be administered or to have caused an attempt to administer or to have conspired with another person to administer such drug.

(2) A positive identification of any medication, other than those specifically accepted by the commission veterinarian, shall constitute prima facie evidence that the horse raced with prohibited medication in its system.

(3) The stewards shall notify the commission of all positive pre and post race test results.

(b) **Identification before action taken.** Excepting the scratching of a horse upon the receipt of a positive report of a pre-race test, no action shall be taken on any report of the commission laboratory unless and until the drug has been properly identified.

(c) **Positive pre-race test result.** Whenever there is a positive result of a pre-race test, the commission veterinarian shall immediately notify the presiding steward. The presiding steward shall thereupon scratch the horse from the race.

(d) **Purses pending analysis.** No prize money for any race shall be awarded until after the result of analysis of saliva, urine or other sample to be taken from the horse designated to give such samples, has been determined. In the event that the sample taken from said horse is returned as “positive,” no part of the purse shall be paid to the owner of said horse, or any entry of said horse as a part, until the stewards have made a report of their investigation to the commission and the commission has determined the matter at a meeting. The commission may deny the purse to said owner of such horse as in the case of disqualification, or it may distribute the purse as it deems just and equitable. If a horse shall be disqualified in a race because of the infraction of this section, the eligibility of other horses which ran in such race and which have starting in a subsequent race before announcement of such disqualification shall not in any way be affected.

(e) **Report use of drugs.** Whenever or any medication of a prohibitive nature is administered orally, hypodermically, or externally to a horse by a veterinarian or other person, a written report of such administration signed by the veterinarian and the trainer shall be filed within twenty-four (24) hours on forms provided by the commission with the commission veterinarian.

(1) No medication or transfusion of blood or blood derivatives shall be administered to a horse during the period of forty-eight (48) hours before his start in a race.

(f) **Report use of narcotics.** The commission shall promptly report to the bureau of

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A33

Division of Special Revenue

narcotics of the department of the treasury of the United States all cases in which it is reported by the commission laboratory that narcotics have been detected in a specimen from any horse; and if any veterinarian or physician has been involved therein, the commission shall make a similar report to the state health department of the state of Connecticut.

(g) **Track record void.** In the event that a horse established a track record in a race, and if it later develops by chemical analysis or investigation that any drug specified in rule (a) (1) of this section or any appliance specified in rule (a) (5) of section 12-574-A55 was used or employed, then such track record shall be null and void.

(h) **Responsibility of association.** Every association and all officials and employees thereof shall give every possible aid and assistance to any department, bureau, division, officer, agent or inspector, or any other person connected with the United States government or with the state of Connecticut, who may be investigating or prosecuting any such person they may suspect of being guilty of possession of any drug, stimulant, medicine, hypodermic syringes or hypodermic needles, batteries used to stimulate horses or other similar appliances.

(i) **Responsibility for horse's condition.** Trainers and assistant trainers are responsible for the condition of horses in their care and are presumed to know this section.

(j) **Proper protection to be provided for horse.** The trainer, groom, and any other person having charge, custody or care of the horse, are obligated to properly protect the horse from the administration of illegal drugs and guard it against such administration or attempted administration and, if the stewards shall find that any such person has failed to show proper protection and guarding of the horse, they shall impose such punishment and take such other action as they may deem proper under any of the rules, including reference to the commission.

(k) **Bottles, containers to be labeled.** All bottles and other containers kept in or about any tack room or elsewhere in any barn on the grounds of a racing association shall bear a label stating plainly the contents thereof, including the name of each active ingredient provided, however, that this rule shall not apply if the containers bear regular prescription labels with pharmacists' numbers, names and addresses and the names of the prescribing veterinarians.

(l) **Right to search for, seize drugs, injection devices.** No person within the grounds of an association shall have in or upon the premises which he occupies or controls or has the right to occupy or control or in his personal property or effects, any hypodermic syringe, hypodermic needle or other device which could be used for the injection or other infusion into a horse of a drug without first securing written permission from the stewards. Every association is required to use all reasonable efforts to prevent the violation of this rule. Every association, the commission and the stewards, or any of them, shall have the right to permit a person or persons authorized by any of them to enter into or upon the buildings, stables, rooms or other places within the grounds of such an association and to examine the same and to inspect and examine the personal property and effects of any person within such places, and every person who has been granted a license by the commission, by accepting

his license, does consent to such search and to the seizure of any hypodermic syringes, hypodermic needles or other devices and any drugs apparently intended to be or which could be used in connection therewith so found. If the stewards shall find that any person has violated this rule, they shall impose such punishment and take such other action as they may deem proper under this section, including reference to the commission. The written permission of the stewards for the possession of a hypodermic syringe, hypodermic needle or other device as herein described shall be limited in duration as the stewards may determine, but in no case shall its duration extend beyond the racing season in which it is granted; and no such or similar permission granted by stewards of a meeting in any other state or country shall have any validity in the state of Connecticut.

Sec. 12-574-A34. Testing

(a) **Admittance to enclosure for making tests.** No person other than those authorized by rule (f) of this section shall be admitted at any time to the building or part thereof utilized by the commission for making medication, drug or other tests of horses except the staff immediately in charge of such work, the commissioners, the stewards, and such other persons as may be authorized in writing by the chairman or vice-chairman of the commission or the commission veterinarian.

(b) **Guard.** A guard approved by the commission must be in attendance during the hours designated by the commission.

(c) **Pre-race testing.** At association tracks, a pre-race testing program shall be conducted by the duly authorized representatives of the commission, and shall entail the operation of a field laboratory at the track.

(1) Blood samples shall be taken by a licensed veterinarian of every horse programmed to race, prior to the race in which it is programmed, for the purpose of determining the presence of any drug, stimulant, sedative, depressant or medicine.

(2) The blood samples shall be taken under the supervision of the commission veterinarian and by him and other persons appointed by the commission. The times at which the horses in each race shall be delivered to the enclosure for the taking of the samples, as well as related procedures, shall be prescribed by the commission veterinarian.

(3) Submission to the taking of pre-race blood samples is mandatory and no horse shall be allowed to race if the person who has charge or custody of it refuses to submit it for the taking of such sample unless the commission veterinarian, for good cause in his judgment, excuses the taking of the sample.

(4) Urine and saliva samples may be taken of any horse whenever the pre-race test is positive or when a blood sample has not been taken, or whenever, in the judgment of the commission veterinarian, a urine and/or saliva sample is required for further analysis.

(d) **Post-race testing.** The winner and second place finisher in every race and such other horses as the stewards may designate shall be sent immediately after the race to the detention area for examination by the commission veterinarian or his assistants, and the taking of such specimens of body fluids and eliminations as shall be directed. Blood specimens shall be taken only by a licensed veterinarian. All horses that participate in the winning

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A35

Division of Special Revenue

combination in any daily double, perfecta, quinella, trifecta and superfecta race shall be tested pursuant to this section.

(e) **General testing.** The commission veterinarian or his assistants may also, when so directed by the stewards, require the taking of any or all of the specimens specified in this section from any horse stabled at a track during a meeting.

(f) **Presence of owner.** The owner, trainer or authorized agent of an owner shall be present in the detention area when saliva, urine or other specimen is taken from their horse, and must remain until such forms are signed by the owner, trainer or their representative as witness to the taking of the specimen. Wilful failure to be present at, or refusal to allow the taking of any such specimen, or any act or threat to impede or prevent or otherwise interfere therewith shall subject the persons found guilty by the stewards to immediate suspension and the matter shall be referred to the commission for appropriate action.

(g) **Handling of specimen.**

(1) All specimens taken by or under direction of the commission veterinarian or other authorized representative of the commission shall be delivered to the chief chemist at the laboratory designated by the commission for official analysis. Each specimen shall be marked by number and date and may also bear such information as may be essential to its proper analysis; but the identity of the horse from which the specimen was taken or the identity of its owner, trainer, jockey, or stable shall not be revealed to the chief chemist. The container of each specimen shall be sealed as soon as the specimen is placed therein, and each such seal shall bear the stamp of the commission.

(2) All containers used for specimens shall be single service disposable containers, sealed and stamped before use. Seals on the new containers shall not be broken except in the presence of owners or trainers or their representatives, if present at the collection of the sample. Only distilled water, with or without acetic acid, shall be used to moisten gauze used in the collection of saliva.

(h) **Samples of medicines on grounds.** The commission veterinarian, or any of his assistants, may take samples of any medicines or other materials suspected of containing improper medication or drugs which would affect the racing condition of a horse which may be found on the grounds of an association.

Sec. 12-574-A35. Security

(a) **Director of security.** Every association shall employ a full-time director of security who shall be licensed and who shall pay the fee, if any, required by the act. The duties of the director of security are as follows:

(1) Supervise the entrance to and exit from every gate within the grounds of the association at all times during the scheduled meet of said association.

(2) Supervise all security personnel in the constant search for undesirables and expulsion of same from the grounds during a meet.

(3) Investigate and report to both the commission and the association any action on the part of any party or parties which is, in his opinion, endangering the honest operation of any phase of the meet.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A35

(4) Enforce all commission and association rules whether violator is patron or employee and assist in the apprehension of guilty party or parties and expulsion of same if requested by either the association or the commission or its duly appointed representatives.

(b) **Daily police report.** The track security police and any other law enforcement agency acting in, or on or about the licensed premises of any racetrack, shall furnish two copies of their daily police report, together with any additional pertinent information available to the said police agency, obtained either orally or in writing. The two copies shall be mailed to the commission at the close of each racing day.

(c) **Responsibility of association.**

(1) Each racing association shall police its grounds at all times in such a manner as to preclude the admission of any person in and around the stables and paddock, excepting those being duly licensed by the commission, or authorized by the association. If the commission finds that the stables of an association are not being properly policed and unauthorized persons are found in and around the stables, the association may be fined an amount not exceeding \$200.00 in the discretion of the commission for each day in which the infraction was found to occur.

(2) Each association shall furnish complete police and watchmen service night and day in and about all stable enclosures and furnish to the commission upon request a complete list showing name, duty, place stationed and portions of enclosures supervised by such policemen and watchmen.

(d) **Written report of arrests and misdemeanors.** It shall be the duty of each association, through its director of security, to notify the commission of all ejections, disorderly conduct, and arrests, giving names, addresses and offenses.

(e) **Nightly log, recording disturbances.** A nightly log shall be maintained by the officer in charge of the night force stating in detail any disturbances, drunkenness, or disorderly conduct in and about the backstretch and stable area, giving in detail the names, badge numbers, and license numbers of any persons committing any offenses whatsoever.

(f) **Stable security.**

(1) All incidents relating to improper activities or suspicious occurrences in stables must be immediately reported by owners, trainers, or other stable employees to the director of security as well as to a duly authorized representative of the commission.

(2) A copy of the full security rule as outlined herein must be posted inside every stable and furnished to every owner or trainer.

(3) No one shall be permitted to enter in or about the stable enclosures who does not have in his possession a license issued by the commission as owner, trainer, jockey, apprentice jockey, stable employee, farrier, valet or veterinarian, or proper credentials issued by the association or commission. A full record of these credentials shall be compiled and open to inspection at all times.

(4) Feed deliveries will be made directly to stable personnel and will be properly secured upon delivery. Feed purveyor personnel must secure a signed delivery receipt from a licensed stable employee at the time of each delivery.

(5) All stable areas shall be fenced.

(g) **Minors prohibited.** No person under the age of eighteen (18) shall be permitted to wager or in any manner participate in any pari-mutuel pool or system.

(h) **Trespassers to be ejected.** Any person going upon the racing strip or any part thereof or into the winner's enclosure without the permission of the stewards, shall be ejected promptly from the premises of the association.

Sec. 12-574-A36. Jockeys

(a) **License.**

(1) Each jockey must obtain a license from the commission.

(2) A person who has never ridden in a race before may be allowed to ride in two races before applying for his first jockey or apprentice jockey license pending approval by the stewards. Before an applicant can be granted his first license as a jockey, the starter shall inform the stewards of the applicant's ability to control a horse while breaking from the starting gate.

(3) The stewards may permit a jockey to ride pending action on his application.

(b) **Restriction on jockeys.**

(1) No licensed jockey shall be the owner or trainer of any race horse.

(2) A jockey shall not ride or agree to ride in any race without the consent of the owner or trainer to whom he is under contract.

(3) A jockey may not ride in any race against a starter of his contract employer unless his mount and contract employer's starter are both in the hands of the same trainer.

(4) No jockey shall bet on any race except through the owner of and on the horse which he rides. Any jockey violating this section shall have his license revoked.

(5) Interrogation by stewards—all owners, trainers, jockeys, employees, agents or other persons in any way connected with said association may be, at any time, interrogated by the stewards in reference to the making or placing of any bets anywhere on any race run at said course.

(6) A jockey under temporary suspension shall not ride in a race for anyone during the period of his suspension.

(7) The suspension of a jockey for an offense not involving fraud shall begin on the second day after the ruling, unless otherwise ordered by the stewards. A suspension for fraud shall begin immediately after the ruling.

(8) A forfeiture must be paid by the jockey himself and any other person paying it shall be subject to such penalties as may be prescribed by the stewards.

(9) A jockey shall not ride and a trainer shall not train for anyone during the period of his suspension. Any person who shall employ a jockey or trainer in contravention of this section may be suspended or fined by the stewards pursuant to these rules.

(c) **To fill engagements.** All jockeys shall faithfully fulfill all engagements in respect to racing.

(d) **Appearance.** In riding a race, a jockey must be neat in appearance. All riders must be dressed in clean jockey costumes, caps, jackets of silk, white breeches, and top boots.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A36

(e) **Safety helmet.** It shall be mandatory that every jockey, apprentice jockey, and other rider wear a protective helmet of a type approved by the stewards when riding in races, when exercising horses, or when ponying a thoroughbred horse.

(f) **Colors worn by riders.** A jockey must wear the colors of the owner or owners of the horse he is riding except by special permission of the stewards, which permission shall be posted on the bulletin board, together with notice of the colors the jockey shall wear, and the number of the horse as is exhibited after weighing out. When the horse is being warmed up, the same number must be exhibited upon the right arm of its rider.

(g) **Report to scale room.** Every jockey who is engaged to ride in a race shall report to the scale room on the day of the race at the time required by the officials. He shall then report his engagements and overweight, if any, to the clerk of the scales, and thereafter, except with the permission of the stewards, shall not leave the jockey room, except to view the races from a point approved by the stewards or to ride in a race, until all of his engagements of the day have been fulfilled.

(h) **Examination by physician.** Before the commencement of a racing season all jockeys must be examined by a licensed physician, designated by the board of stewards in order to establish their physical condition and freedom from disabling defects or contagious disease. During the conduct of a meeting, the board of stewards may require that any jockey be reexamined and may refuse to allow said jockey to ride until he successfully passes such examination.

(i) **Spouses riding against each other.** Jockeys who are spouses may not ride against his or her spouse, unless their mounts are coupled in the betting and run as an entry.

(j) **Racing against agent's horse.** A jockey shall not ride in any race against a horse owned and/or trained by his agent.

(k) **Priority of retainers.** Employers retaining the same jockey have precedence according to priority of the retainers as specified in the contracts.

(l) **Conflicting claims on jockeys.** Conflicting claims for the services of a jockey shall be decided by the stewards.

(m) **Whips, length and kind.** Jockey whips shall be no longer than twenty-eight (28) inches with one popper. No stingers (projections extending through a hole of the popper) are permitted.

(n) **Illegal whipping.** No jockey shall hit or clip a horse across or between the ears.

(o) **Use of spurs.** The use of spurs by a jockey is prohibited.

(p) **Contracts to be filed.** The terms of all contracts between jockeys and their employers shall be filed with the commission after approval by the stewards. The contracts shall contain a provision that in case a jockey's license is revoked, the salary of the jockey shall cease.

(q) **The jockey room custodian.** The jockey room custodian shall have charge of the jockey's quarters. He shall take custody of the clothing and personal effects of the jockeys and provide for their safekeeping. He shall uphold the rules of the commission and he shall not make any wager for himself or place a wager for any other person upon a race.

(r) **Fees.** Any apprentice or contract rider shall be entitled to the regular jockey fees,

except when riding a horse owned in part or solely by his contract holder. An interest in the winnings only (such as trainer's percent) shall not constitute ownership.

Sec. 12-574-A37. Apprentice jockeys

(a) Contracts.

(1) Apprentice jockeys shall be bound by all the rules for jockeys, except insofar as said rules may be in conflict with the following specific regulations for apprentices.

(2) Apprentice contracts entered into in the state of Connecticut must be made on forms supplied by the commission, and a copy shall be filed with the commission.

(3) A copy of all apprentice contracts, wherever entered into, must be filed with the commission.

(4) If an apprentice contract is transferred, said transfer must be approved by the stewards and registered with the commission by both the transferor and the transferee.

(5) No person shall be allowed to hold a contract on a jockey or apprentice jockey unless he be in control or possession of such a stable of horses as would, in the opinion of the stewards of the meeting, where the jockey or apprentice jockey makes application for license, warrant the employment of a contract jockey or apprentice jockey.

(6) An application for a license as apprentice jockey shall be accompanied by:

(A) An original, a notarized or photostatic copy of his agreement with his contract employer, and

(B) written proof of at least one year of service with a racing stable, and

(C) birth certificate or satisfactory evidence of the date of birth, and

(D) the fee required by the act.

(7) An apprentice jockey shall not be permitted to ride for any other than his contract employer, without said employer's consent.

(b) Age limit; agreements; allowances.

(1) Any person between the ages of sixteen (16) and twenty-five (25) years, who has never previously been licensed as a jockey in any country, and who has of his own free will and if underage, with the written consent of his parents or guardian, bound himself to an owner or trainer for a term of not less than three (3) nor more than five (5) years (subject to written extension if made for less than five (5) years) by written contract approved by and filed with the commission, and after at least one (1) year service with a racing stable, may claim in all overnight races except handicaps, the following allowances:

(A) Ten (10) pounds until he has ridden five (5) winners and seven (7) pounds until he has ridden an additional thirty (30) winners; if he has ridden thirty-five (35) winners prior to the end of one (1) year from the date of riding his fifth (5) winner, he shall have an allowance of five (5) pounds until the end of that year.

(B) After the completion of conditions above, for one (1) year he may claim three (3) pounds when riding horses owned or trained by his original contract employer provided his contract has not been permanently transferred or sold since his first winner.

(2) Qualifications of contract employers. All holders of apprentice contracts shall be subject to investigation as to character, ability, facilities and financial responsibility and

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A38

shall, at the time of making the contract, own in good faith a minimum of three (3) horses in training or, if a trainer, shall operate in good faith a stable of at least three (3) horses.

(3) Specifications for contracts. Contracts for apprentice jockeys shall provide for fair remuneration, adequate medical attention and suitable board and lodging for the apprentice.

(4) Under exceptional circumstances, such as inability of an apprentice to ride because of services in the armed forces of the United States, personal injuries in the conduct of his duty, restrictions on racing, or other valid reasons which interfere with the allowance of one (1) year from riding his fifth winner or the three (3) year period in riding thirty-five (35) winners, the commission may extend the terms of the contract and the allowances provided by the rules of racing.

(5) The commission shall take jurisdiction on applications for extension in cases where personal injuries in the conduct of his duty and restrictions on racing occurred at tracks licensed by the commission.

(6) All other extensions must be acted on by the commission with which the original contract was filed.

(A) Any applicant for an apprentice jockey license, who has served in the armed forces of the United States while between the ages of sixteen (16) and twenty-five (25) years of age, and previous to having been licensed as an apprentice jockey, shall have the twenty-five (25) year maximum extended for the length of time he served in the armed forces of the United States.

(7) A licensed apprentice who loses his apprentice allowance for any reason shall obtain a jockey license before being permitted to ride again. Jockey or apprentice jockey must continue with his jockey agent until he notifies the board of stewards, in writing, of change of his agent.

(8) An owner or trainer shall be in control of at least three (3) horses in order to hold an apprentice jockey's contract.

(c) **Fees.** Any apprentice or contract rider shall be entitled to the regular jockey fees, except when riding a horse owned in part or solely by his contract holder. An interest in the winnings only (such as trainer's percent) shall not constitute ownership.

Sec. 12-574-A38. Jockey agent

(a) **One agent.**

(1) Every jockey may have one agent and no more. All engagements to ride, other than those for his contract employer, shall be made by his agent.

(2) Change of agent. A jockey or apprentice must continue with his jockey agent until notifying the stewards, in writing, of change of agent.

(b) **License.** Each jockey agent shall be licensed by the commission and shall be permitted to make the riding engagements of three (3) riders only: two (2) jockeys and one (1) apprentice. No jockey agent shall make or assist in making of any engagement for any rider other than those he is licensed to represent.

(c) **Forms.** Each jockey agent shall keep, on a form provided by the association, a record by races of all engagements made by him of the riders he is representing. This record must

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A39

Division of Special Revenue

be kept up to date held ready at all times for the inspection of the stewards.

(d) **Dropping jockey.** If any jockey agent gives up the making of engagements for any rider, he shall immediately notify the stewards, and he shall also turn over to the stewards a list of any unfilled engagements he may have made for the rider. A jockey agent may not drop a rider without notifying the board of stewards in writing.

(e) **Restrictions.**

(1) A jockey agent shall not give to anyone, directly or indirectly any information or advice, pertaining to a race or engage in the practice commonly known as “touting,” for the purpose of influencing any person, or that would tend to do so, in the making of a wager on the result of any race.

(2) Agent barred from paddock and track. Except by special permission of the stewards, jockey agents shall not be permitted within the saddling enclosure during the period of racing hours; nor shall said agents be allowed on the racetrack proper or in the unsaddling enclosure or winners’ circle at the conclusion of any race run.

(3) Falsifying engagement records. Any agent who falsified his records may be, in the discretion of the stewards, suspended, and they may refer his case to the commission for further action and the commission may revoke the license of any agent who falsifies his records. Jockey agents will be called upon to explain rival claims for any mount or for any rider and inability to satisfy the stewards that the rival claim arose through an honest and bona fide error shall be considered a falsification of records.

(f) **Engagements made through agent.** Within the period in which an agent represents a jockey or apprentice, such jockey or apprentice shall make riding engagements or commitments only through said agent, and engagements shall be fulfilled as made, unless excused by the stewards.

(g) **Agent fees.** Recommended agent fees are as follows:

<i>Purses</i>	<i>Agent’s Fees</i>
\$2,000.00 or more	\$4.00 losing mount \$7.00 winning mount (20 percent of stakes or gratuities)
Less than \$2,000.00	\$3.00 losing mount \$5.00 winning mount (20 percent of stakes or gratuities)

Sec. 12-574-A39. Valet

(a) **Association provides valet-attendant.** No jockey shall have a valet-attendant other than those provided by the association.

(b) **Jockey’s valet.** Any jockey’s valet who shall make a bet for himself or place for another a bet upon a race shall be suspended and his case referred to the commission for

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A40

appropriate action.

(c) **Valet's fees.**

<i>Purses</i>	<i>Valet's Fees</i>
\$2,000.00 or more	\$3.00 losing mount \$5.00 winning mount
Less shall \$2,000.00	\$2.00 losing mount \$3.00 winning mount

Sec. 12-574-A40. Owners and trainers

(a) **Registration.**

(1) Each owner and/or trainer shall register with the racing secretary at each track all of his horses, giving the name, color, sex, age and breeding of each, and present the foal certificates at the time the horses arrive on the grounds to the racing secretary.

(2) The personnel of every stable and changes thereof shall be registered by the owner and/or trainer with the association on whose track their horses are racing or stabled, and shall be available at all times to representatives of the commission.

(b) **Absence of trainer.**

(1) In the absence of a trainer, due to sickness or any other cause, he shall, with the approval of the stewards, appoint another trainer licensed by the commission, to fulfill his duties. In this event, his responsibility will rest with both parties.

(2) Should a trainer be absent from his stable more than two (2) consecutive days, the second or alternate trainer shall then become the trainer of record, and his name shall appear on the program pending return of the trainer.

(c) **Prohibition in entries.**

(1) An owner or trainer shall not enter or start a horse that:

- (A) Is not in serviceably sold racing condition.
- (B) Is a known bleeder.
- (C) Has been trachea-tubed.
- (D) Has impaired eyesight in both eyes.

(2) Horses that have been nerved, blocked with alcohol or any other medical drug that desensitizes the nerves will not be permitted to race.

(d) **Change of trainer.** If an owner changes trainers, he must notify the stewards who will advise the racing secretary and require the new trainer to sign his name on said owner's registration.

(e) **Leasing horses.** Any licensee wishing to lease horses for the purpose of racing at Connecticut tracks must have the prior approval of the stewards acting for the commission. Said licensee must submit a copy of the lease setting forth all conditions and the names of all parties and horses involved. The license of anyone submitting a lease which contains false or incomplete information shall be subject to suspension or revocation.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A40

Division of Special Revenue

(f) Stables.

(1) A trainer shall see to it that the stables and immediate surrounding area assigned to him are sanitary at all times and that the humane laws of the state of Connecticut be observed, also that the fire prevention rules (especially no smoking in the stable areas) be strictly observed at all times.

(2) All horses stabled within the confines of an association or in another locations approved by the commission must be accompanied by a health certificate, subject to the exception specified in rule (l) (1) (E) of section 12-574-A7.

(g) Furnish name of jockey. Every owner or trainer shall upon making an entry, be required to furnish the name of the jockey who rides his horse, or if this is not possible, he shall in any event be required to furnish it not later than scratch time the day of the race. If no jockey has been named by that hour, the stewards shall name the best available rider to ride the horse.

(h) Trainer representation of owner. A trainer may represent the owner in the matter of entries, declarations, and the employment of jockeys.

(i) Ownership of horses.

(1) No licensed or authorized trainer shall have any ownership interest in a horse of which he is not the trainer at any race track at which said trainer is in charge of a stable.

(2) An association including any individual owner, corporate owner and officers, directors and stockholders thereof shall not be permitted to race any horse owned directly or indirectly by them at the track operated by that association.

(j) Report sick horses.

(1) A trainer shall see to it that a report is made promptly to the stewards and association veterinarian of any and all sicknesses of his horse or horses.

(2) Trainers of horses entered in the daily double races shall inspect the condition of their horses two hours before post time. If any horse is found sick or disabled, the trainer shall report the fact to the stewards immediately.

(3) A horse excused through sickness or disability shall be placed on the veterinarian's list.

(k) Report death of horses. A trainer shall report the death of any horse to the association veterinarian at once. Castrations and other operations shall be reported to the association veterinarian at once.

(l) Fillies and mares bred. Fillies and mares that have been bred shall be reported to the racing secretary as having been bred, prior to being entered in a race. The secretary shall post on the bulletin board the names of all fillies or mares that have been bred and to what stallion or stallions.

(m) Corrupt practices.

(1) A trainer shall be responsible for and be the insurer of the condition of his horses and for the protection of his horses against fraudulent practices, including administration of prohibited drugs by any person. Trainers are presumed to know the rules of the commission.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A41

(2) No trainer shall accept, directly or indirectly, any bribe, gift or gratuity in any form which might influence the result of a race or which would tend to do so.

(3) A trainer shall not have in charge or under his supervision any horse owned, in whole or in part, by a disqualified person.

(4) No trainer shall employ a jockey for the purpose of preventing him from riding in any race.

(5) Any trainer, owner or stable foreman or others who harbor anyone not provided with credentials shall be immediately reported to the stewards of the meeting so they may make investigation thereof, take appropriate action and report the facts to the commission.

(6) Any trainer making an ineligible entry may be fined or suspended.

(n) **Alteration in sex.** Any alteration in the sex of a horse must be reported in writing by its owner or trainer to the racing secretary or horse identification office on a form provided for that purpose. The completed form shall be attached to the foal certificate. Notwithstanding any designation of sex appearing on the racing program or in any racing publication, the claimant of a horse shall be solely responsible for determining the sex of the horse claimed.

(o) **Trainer responsible for employees.** Each trainer shall register with track security every person in his employ and he shall be responsible for all his employees securing occupational licenses.

(p) **Safety helmets.** Each trainer shall be responsible for every jockey and exercise boy wearing a safety helmet when exercising horses for him. The safety helmet shall be of a type approved by the commission and any changes in the helmet must be approved by the stewards.

(q) **Horses in paddock.**

(1) A trainer shall have his horse in the paddock at the time appointed. For failure to bring his horse to the paddock when directed by the stewards the trainer may be fined or suspended or both.

(2) A trainer shall attend his horse in the paddock, and shall be present to supervise his saddling, unless he had obtained the permission of a steward to send another licensed trainer as a substitute pursuant to these rules.

(r) **Responsibility for weight.** The owner, trainer and/or authorized agent is responsible for the weight carried by his horses.

(s) **Additional rules.** Regulations herein set forth pertaining to owners and trainers are in addition to those rules otherwise applying to them in relation to licenses, entries, employment and other phases of their racing activities.

Sec. 12-574-A41. Partnerships

(a) **Limitation on partnership.** A horse may be owned by an individual or by a partnership provided such partnership complies with rule (k) of section 12-574-A9 but no horse shall be entered and run by an owning partnership if it contains more than four members or if the proportionate interest of any member is less than twenty-five (25) percent.

(b) **Limitations on lessee of partnership.** A horse owned by a partnership in which the

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A42

Division of Special Revenue

number of members or proportionate interest of any member does not meet the requirements of rule (a) of this section may be entered and run only by a lessee of its racing qualities, which lessee shall be an individual or a partnership in which the number of members and the proportionate interest of every member meets the requirements of rule (a) of this section. In such a case, the lessee may be a member of or may include one or more members of the owning partnership.

(c) **Annual report to the commission.** All partnerships having any property, ownership or racing interest in a horse, and the name and address of every individual having any such interest in a horse, the relative proportions of such interest and the terms of any sale with contingencies, of any lease or of any arrangement must be signed by all the parties or by their authorized agents and be lodged annually at the office of the commission and must be approved by the commission and the fee required by the act paid before any horse which is a joint property or which is sold with contingencies or is leased can start in any race.

(d) **Liability of partners.** In the case of a partnership which, by ownership or lease, controls the racing qualities of a horse, all of the partners and each of them shall be jointly and severally liable for all stakes and obligations.

(e) **Data to be declared.** All statements of partnerships, of sales with contingencies, of leases or of arrangements shall declare to whom winnings are payable (which must be the name of the nominator), in whose name the horse will run and with whom rests the power of entry.

(f) **The commission may disapprove.** The commission shall have the right to disapprove any partnership, sale with contingencies, lease or other arrangement required to be lodged with and approved by it when, in the opinion of the commission, the effect of the partnership, sale, lease or other arrangement would be to deceive or improperly mislead the public as to the identity of the persons holding an interest in a horse.

(g) **Emergency authority.** In cases of emergency, authority to sign declarations of partnerships may be given to the commission by a telegram promptly confirmed in writing.

(h) **Assignments restricted.** No member of a partnership which owns a horse or leases the racing qualities of a horse shall assign his share or any part of or interest in it without the written consent of the other partners lodged and approved as provided by rule (c) of this section. No assignment of an interest in a partnership, which, by ownership or lease, controls the racing qualities of a horse, will be accepted if the effect of the assignment would be to create a partnership which would not be accepted under the terms of rule (c) of this section.

Sec. 12-574-A42. Stable names

(a) **Registration of stable name.** An individual may adopt a stable name under which to race horses by registering it with the jockey club of New York and by registering it annually with the commission and paying an annual registration fee as provided by the act. Such a registration shall be effective only during the calendar year for which it is made, and all such names shall be subject to the approval or disapproval of the commission.

(b) **Stable name, restriction on individual.** An individual cannot have registered more than one (1) stable name at the same time and, so long as such individual has a stable name

registered, he shall not use or permit the use of his real name to identify his ownership interest in the racing qualities of any horse.

(c) **Stable name, restriction on partnership.** A partnership which, by ownership or lease, controls the racing qualities of a horse shall race such horse under the name, real or stable, of a member of the partnership whose proportionate interest in the horse meets the requirements. All horses, the racing qualities of which are controlled by a given partnership, shall be raced under the same name.

(d) **Changing stable name.** A stable name may be changed at any time by registering a new stable name pursuant to this section.

(e) **Limitations on use of stable names.** An individual cannot register as a stable name one which has been already registered or one which is the name of a race horse or one which is the real name of an owner of race horses.

(f) **Abandoning stable name.** Any individual who has registered a stable name may at any time abandon it by giving written notice at the office of the commission; after which all entries which have been made in such stable name shall be altered as may lie approved by the commission.

(g) **Trainer not eligible for stable name.** No licensed trainer of race horses shall register a stable name; but a partnership of which such a trainer is a member may use the stable name of another member, provided that the use of such other member's stable name is authorized by this section.

(h) **Incorrect descriptions in entry.** Provided the identity of the horse is satisfactorily established, incorrect or imperfect description in the entry of a horse or failure to register a partnership may be corrected at any time before the horse is announced as a starter and his number exhibited for the race concerned, or in a handicap before the weights are announced; but this rule shall not be construed so as to allow any horse to start in any race for which he is not otherwise completely qualified under this section.

Sec. 12-574-A43. Rules of the race

(a) **Foul riding penalized.**

(1) When clear, a horse may be taken to any part of the course, provided that crossing or weaving in front of contender may result in disqualification.

(2) A horse may be disqualified if the horse crosses another so as to impede the other horse, or the horse or his jockey jostles another horse, unless the impeded horse was partly in fault or the crossing or jostle was wholly caused by the fault of some other horse and jockey.

(3) A horse shall be disqualified if a jockey wilfully strikes another horse or rides carelessly so as to injure another horse or cause other horses to injure a horse.

(4) When a horse is disqualified under this section every horse in the same race belonging wholly or partly to the same owner, may be disqualified in the discretion of the stewards.

(5) Complaints under this section can only be received from the owner, trainer or jockey of the horse alleged to be aggrieved and must be made to the clerk of the scales or to the stewards before or immediately after his jockey has passed the scales. Nothing in this section

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A44

Division of Special Revenue

shall prevent the stewards taking cognizance of foul riding.

(6) Any jockey against whom a foul is claimed shall be given the opportunity to appear before the stewards before any decision is made by them.

(7) A jockey whose horse has been disqualified or who unnecessarily causes his horse to shorten his stride with a view to complaining or an owner, trainer or jockey who complains frivolously that his horse was crossed or jostled, may be punished.

(8) The extent of disqualification shall be determined by the stewards.

(b) **Results of intentional foul.** If the stewards at any time are satisfied that the riding of any race was intentionally foul or that any jockey was instructed or induced so to ride, all persons found guilty of complicity, by the stewards, shall be suspended and the case shall be reported to the commission for such additional action as it may consider necessary.

(e) **Leaving course.** If a horse leaves the course he must turn back and run the course from the point at which he left it.

(d) **Instructions to jockeys.** All horses are expected to give their best efforts in races in which they run, and any instructions or advice to jockeys to ride or handle their mounts otherwise than for the purpose of winning are forbidden and will subject all persons giving or following such instructions or advice to disciplinary action by the stewards and the commission.

(e) **Stewards may declare race void, order refund.** The stewards shall have the authority to declare a race void and to order all wagers made thereon refunded if they shall determine that any occurrence before or during the running of such race calls for such action by them.

(f) **Walkover.**

(1) If only one horse shall have weighed out, that horse shall be ridden past the judge's stand and go to the post, and shall then be deemed the winner.

(A) In sweepstakes, even if all the horses but one have declared forfeit, that horse must walkover except by the written consent of all the persons who pay forfeit.

(B) In case of a walkover, one-half of the money offered to the winner is given.

(C) When a walkover is the result of arrangements by owners of horses engaged, no portion of the added money nor any other prize need be given.

(2) Stewards may dispense with walkover. In a sweepstakes, if only one horse remains to start, the stewards may dispense with a walkover.

(g) **Run to win.** Every horse in every race must be ridden so as to finish as near as possible to first, and show the best and fastest race it is capable of at that time and shall not be eased up or coasted, even if it has no apparent chance to win first, second, third or fourth prize, so that the record of that race may, as truly as possible, show its real ability.

Sec. 12-574-A44. Colors and numbers

(a) **Registration.**

(1) Racing colors are required and shall be registered annually with the commission upon issuance of an owner's license, and payment of the fee required by the act, and registered with the racing secretary. In case of partnership, one color registration is required and will

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A45

suffice.

(2) Colors registered with any racing commission or with the jockey club of New York shall be respected in Connecticut and only the registrant shall be permitted to use them.

(3) No person shall start a horse in racing colors other than those registered in his own or stable name, but a temporary change from the recorded racing colors may be approved by the stewards, and posted by the clerk of the scales on the notice board.

(b) **Disputes.** Any disputes between claimants to the right of particular racing colors shall be decided by the stewards.

(c) **Post notice of deviations.** Any deviation from the recorded colors of the owner that may be granted by the stewards is to be immediately posted on the notice board.

(d) **Saddlecloth numbers.** Jockeys must wear a number on the saddlecloths corresponding to the numbers of the horses as exhibited after weighing out.

Sec. 12-574-A45. Starting

(a) **Qualifications to start.** A horse shall not be qualified to start unless the provisions of this rule and any other applicable rules are complied with.

(1) His presence on the grounds of the association is reported to the paddock judge at least thirty (30) minutes before the post time set for the race.

(2) He is announced as a starter to the clerk of the scales.

(3) The name of his jockey is reported to the clerk of the scales.

(4) The horse's jockey club registration certificate is on file with the racing secretary.

(5) He is tattooed on his lip with his identification number.

(6) His night eyes have been photographed.

(7) He has passed such examinations to insure the security of his identification as the commission may establish.

(8) He shall have a negative result of a pre-race blood test.

(9) He is in the hands of a licensed trainer.

(10) He is not on the veterinarian's list.

(11) He is not on the steward's list.

(12) He has complied with all provisions of this section.

(13) Horses shipped in to race must be in the receiving barn by 10:00 A.M. on the day of the race in order to start.

(b) **Identification of horse.** No horse shall be permitted to start that has not been fully identified. The responsibility in the matter of establishing the identity of a horse, of his complete and actual ownership, shall be as binding on the persons so identifying or undertaking to establish identification as it is on the person having the horse requiring identification. And the same penalty shall apply to them in case of fraud or attempt at fraud. The paddock judge in such instances shall keep a written record of such identification and by whom made.

(c) **Jockey fees paid.** No horse shall be allowed to start for any race and no jockey shall be weighed out for any horse until there has been paid or guaranteed the jockey fee or any stake or entrance money due, by the owner in respect to that race, which information shall

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A45

Division of Special Revenue

be supplied by the racing secretary.

(d) **Change of jockey.** There shall be no change of jockey unless approved by the stewards. The stewards may suspend any person involved in an unauthorized substitution of jockey.

(e) **Horses to be saddled in paddock.** All horses must be saddled in the paddock except by permission of the stewards.

(f) **Horses in paddock not to be touched.** No one not actually connected with its stable shall touch a horse while in the paddock preparatory to starting in a race, except for authorized inspection as provided in these rules.

(g) **Inspection of plating.** A representative of the association conducting a meeting shall inspect the plating of each horse as it enters the paddock before the race and record the type of shoes worn on a board provided for that purpose in the paddock and keep a written record for the stewards. Any deficiency in shoeing shall be reported immediately by said inspector to the paddock judge.

(h) **Withdrawal of horse.**

(1) The stewards may permit or direct the withdrawing of a horse after weighing out.

(2) Scratches and refunds. The stewards may excuse any horse and order it scratched from a race at any time before the race is actually started. The operator shall also refund to the owner of such horse the starting fee, if any is required under the conditions of the race.

(i) **Post time.** The post time for all but the first race shall be designated by the stewards and post times for all races shall be shown on the infield tote board.

(j) **Number of starters.** The number of starters in overnight races shall be limited by the width of the track at the starting post, the maximum number to be determined by the stewards. The number of starters in such overnight races, except handicaps, shall be reduced to the proper number by lot, or by division (also by lot) of the race, at the option of the association. The division of overnight handicaps shall be made by the racing secretary in his discretion.

(k) **Persons excluded from course.** After the horses are ordered to the starting post and until the stewards direct the gates to be reopened, all persons except the racing officials shall be excluded from the course to be run over.

(l) **Twitches and war bridles.** No twitches or war bridles are to be used.

(m) **Parade to post.**

(1) All horses shall parade and, under penalty of disqualification, shall carry their weights from the paddock to the starting post, such parade to pass the steward's stand.

(2) A rider thrown on the way to the post must remount at the point at which he was thrown.

(n) **Horses led to the post.** When, by permission of the paddock judge and upon payment to the association of \$10.00, a horse is led to the post, he is excused from parading with the other horses, but nevertheless he must, on his way to the post, pass the steward's stand.

(o) **Jockeys to dismount.** In the case of delay at the post, the starter may permit the jockeys to dismount and the horses be cared for during the delay; otherwise, no jockeys

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A45

shall dismount.

(p) **Accident at the post.** A horse in the hands of the starter shall receive no further care from anyone at the starting post except the assistant starters, provided that if any accident happens to a jockey, his horse or his equipment, the starter may permit any jockey or jockeys to dismount and the horses to be cared for during the delay; otherwise no jockey shall dismount.

(q) **Starting gate.**

(1) Except in cases provided for in rule (q) (2) of this section, all races shall be started in a starting gate selected by the association conducting the meeting and approved by the commission.

(2) By permission of the stewards a race may be started without a gate.

(3) The stewards may scratch an unruly horse or put an unruly horse in a position outside the starting gate pursuant to rule (b) of section 12-574-A24.

(r) **Starting in front of the post.** A start in front of the post is void, and the horses must be started again.

(s) **Horses to be schooled before starting.** All horses shall be schooled in the starting gate under the supervision of the starter or his assistants before starting and the starter shall designate the horses to be placed on the schooling list, a copy of which shall be posted in the office of the racing secretary. Upon request of the starter, the stewards may suspend any trainer who after being notified by the starter that his horse is unruly and should not start, nevertheless, proceeds to start the unruly horse.

(t) **Workout.** A horse which has not started for a period of sixty (60) days or more shall be ineligible to race until it has completed a timed workout satisfactory to the stewards prior to the day of the race in which he is entered.

(u) **Horses from licensed tracks, approved farms.** No horse shall be allowed to race in Connecticut unless the horse has come to Connecticut from a stable at a licensed track in the United States or a licensed track in another country or unless the horse has come from an approved farm. The stewards must approve all farms from which horses can be shipped for racing.

(v) **Position at starting post.** Horses shall take their positions at the post in order in which their names have been drawn, beginning from the inside rail unless otherwise ordered by the starter with the approval of the stewards.

(w) **Horse, when a starter.** Where a starting gate is used, no horse entered in any race is classed as a starter unless the starting gate opens in front of him simultaneously with the opening of the gates in front of the other horses at the start of the race. Refusal of a horse to break with other horses shall not deem him a nonstarter.

(x) **Matters to be referred to stewards.** For disobedience of his orders at the starting post or attempting any unfair advantage, the starter may refer the matter to the stewards for action; but any penalty shall not take effect until after the last race of the day.

(y) **Statements by starter conclusive.** The concurrent statements of the starter and his assistant as to incidents of the start are conclusive.

(z) **Failure of starting gate to open.** When a door of the starting gate fails to open as the starter dispatches the field (because of faulty action or other cause), it shall be reported immediately to the stewards by the starter. The stewards shall post the inquiry sign and have the announcer alert the public to hold all mutuel tickets. The stewards shall then view the films to determine if the gate or gates failed to open when the starter dispatched the field and rule accordingly.

(aa) **Change in course.** By permission of the commission, races may be run over a race course other than the one over which they have been announced to be run.

Sec. 12-574-A46. Weighing out

(a) **Time for weighing out.** The specified jockeys shall be weighed out for their respective mounts in each race by the clerk of the scales not less than twenty (20) minutes before the time fixed for the race. In case of a substitution of riders after the original rider has been weighed out, the substitute rider shall be weighed as promptly as possible and the name of the substitute and his weight publicly announced and posted.

(b) **Equipment weighed with jockey.** If a horse runs in muzzle, martingale, breastplate, or clothing, it must be put on the scale and included in the jockey's weight.

(c) **Jockey's equipment weighed with jockey.** A jockey's weight shall include his clothing, boots, goggles, saddle and its attachments, saddlecloth or any other equipment required by the stewards.

(d) **Equipment not weighed.** No whip or substitute for a whip, blinkers, safety helmet or number cloth shall be allowed on the scales nor shall any bridle approved by the stewards be weighed.

(e) **Safety helmet.** Any person who rides a horse on a track of an association shall wear a safety helmet of a type approved by the stewards.

(f) **Declaration of overweight.** If a jockey intends to carry overweight, he must declare the amount thereof at the time of weighing out, or if in doubt as to his proper weight, he may declare the weight he intends to carry.

(g) **Time for declaration of overweight.** If a jockey intends to carry overweight exceeding by more than two (2) pounds the weight which his horse is to carry, the owner or trainer consenting, he must declare the amount of overweight to the clerk of the scales at least forty-five (45) minutes before the time appointed for the race, and the clerk shall cause the overweight to be stated on the notice board immediately. For failure on the part of a jockey to comply with this rule he may be punished as provided by rules (n) and (o) of section 12-574-A23.

(h) **Five pounds overweight limit.** No horse shall carry more than five (5) pounds overweight.

(i) **Owner responsible for weight.** The owner is responsible for the weight carried by his horse.

(j) **Equipment regulated.** Only equipment specifically approved by the stewards shall be worn or carried by a jockey or a horse in a race.

(k) **Deposit of jockey fees.** No jockey, except when riding for his contract employer,

shall be weighed out for any race unless there has been deposited for him or guaranteed to him with the racing secretary his fee for a losing mount in the race, and the failure to deposit for guarantee said fee for the engaged jockey may be cause for declaring the horse out of the race.

(l) **Association to provide attendants.** The association shall provide the only attendants who will be permitted to assist jockeys in weighing out. Such attendants shall be paid for their services by the association. A system of rotation of attendants shall be maintained.

(m) **Bridles, whips.** No bridle shall exceed two (2) pounds in weight, and no whip shall exceed one (1) pound in weight, unless approved by the stewards. No whip shall be longer than twenty-eight (28) inches.

Sec. 12-574-A47. Weighing in

(a) **Time, manner of weighing in.** Every jockey must immediately, after pulling up, ride his horse to the place of weighing, dismount only after obtaining permission from the official in charge and present himself to be weighed by the clerk of the scales; provided that if a jockey be prevented from riding to the place of weighing by reason of accident or illness by which he or his horse is disabled, he may walk or be carried to the scales.

(b) **No one to touch horse, equipment before weighing in.** Except by special permission of the official in charge, every jockey must upon pulling up unsaddle his own horse, and no attendant shall touch the horse, except by his bridle. Upon the returning of a jockey to the winner's circle to dismount after a race has been run, no one may touch the equipment of the jockey until he has been weighed in, except upon the approval of the official in charge.

(c) **Jockey penalized for misconduct.** If a jockey shall not present himself to weigh in or if he be more than one (1) pound short of his weight or if he be guilty of any fraudulent practice with respect to the rules regarding weighing in or weighing out or except as provided in rule (a) of this section, if he dismount before reaching the scales or dismount without permission or if he touch (except accidentally) before weighing in any person or thing other than his own equipment, his horse may be disqualified and he himself may be punished as provided by these rules and regulations.

(d) **Excess weight after race.** If a horse carries more than two (2) pounds over his proper or declared weight, the fact shall be reported by the clerk of the scales to the stewards, and the jockey shall be fined or suspended unless the stewards are satisfied that such excess weight has been caused by rain or mud.

(e) **Jockey to carry equipment.** Each jockey shall, in weighing in, carry over the scales all pieces of equipment with which he weighed out.

(f) **Association to provide attendants.** The association shall provide the only attendants who will be permitted to assist jockeys in weighing in. Such attendants shall be paid for their services by the association. A system of rotation of attendants shall be maintained.

Sec. 12-574-A48. Scale of weights

(a) **Scale of weights for age.** The following weights are carried when they are not stated

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A48

Division of Special Revenue

in the conditions of the race:

<i>Distance</i>	<i>Age</i>	<i>January and February</i>	<i>March and April</i>	<i>May</i>	<i>June</i>	<i>July</i>	<i>August</i>	<i>September</i>	<i>October</i>	<i>November and December</i>
Half mile	2 years	105	108	111	114
	3 years	117	119	121	123	125	126	127	128	129
	4 years	130	130	130	130	130	130	130	130	130
	5 years
	and over	130	130	130	130	130	130	130	130	130
Six furlongs	2 years	102	105	108	111
	3 years	114	117	119	121	123	125	126	127	128
	4 years	129	130	130	130	130	130	130	130	130
	5 years
	and over	130	130	130	130	130	130	130	130	130
One mile	2 years	96	99	102
	3 years	107	111	113	115	117	119	121	122	123
	4 years	127	128	127	126	126	126	126	126	126
	5 years
	and over	128	128	127	126	126	126	126	126	126
One mile and a quarter	2 years
	3 years	101	107	111	113	116	118	120	121	122
	4 years	125	127	127	126	126	126	126	126	126
	5 years
	and over	127	127	127	126	126	126	126	126	126
One and a half miles	2 years
	3 years	98	104	108	111	114	117	119	121	122
	4 years	124	126	126	126	126	126	126	126	126
	5 years
	and over	126	126	126	126	126	126	126	126	126
Two miles	3 years	96	102	106	109	112	114	117	119	120
	4 years	124	126	126	126	126	125	125	124	124
	5 years
	and over	126	126	126	126	126	125	125	124	124

(b) **Races of intermediate distance.** In races of intermediate distances, the weights for the shorter distance are carried.

(c) **Races for two, three and four-year-olds.** In races exclusively for three-year-olds or four-year-olds, the weight is 126 pounds, and in races exclusively for two-year-olds, it is 122 pounds.

(d) **Weights for fillies, mares.** In all races except handicaps and races where the conditions expressly state to the contrary, the scale of weights is less by the following: for fillies two years old, three pounds; for mares three years old and upwards, five pounds before September 1 and three pounds thereafter.

(e) **Overnight races except handicaps.** In all overnight races, except handicaps not more than six pounds may be deducted from the scale of weights for age, except for allowances.

(f) **Top weight for handicaps.** In all handicaps which close more than seventy-two (72) hours prior to the race, the top weight shall not be less than 126 pounds, except that in

handicaps for fillies and mares, the top weight shall not be less than 126 pounds less the sex allowance at the time the race is run; and scale weights for fillies and mares or three-year olds may be used for open handicaps as a minimum top weight in place of 126 pounds.

(g) **Top weight for overnight, claiming handicaps.** In all overnight handicaps and in all claiming handicaps, the top weight shall not be less than 122 pounds.

(h) **Minimum weight for overnight races; exceptions.** In all overnight races for two-year-olds, for three-year-olds, or for four-year-olds and upward the minimum weight shall be 112 pounds, subject to sex and apprentice allowances. This rule shall not apply to handicaps.

Sec. 12-574-A49. Entries, subscriptions, declarations and acceptances for races

(a) **Stewards ruling accepted.** Every person subscribing to a sweepstake or entering a horse in a race to be run under this section accepts the decision of the stewards or the decision of the commission, as the case may be, on any question relating to a race or to racing.

(b) **Entries may be cancelled, revoked.** The nominations or entries of any person or the transfer of any nomination or entry may be cancelled or revoked without notice by the racing association or in the discretion of the commission or of the stewards.

(c) **Horse must be entered.** A horse is not qualified to run in any race unless he is duly entered for that race.

(d) **Disqualification, ownership.** No horse is qualified to be entered or run which is wholly or partly the property of or leased to or from, or in any way under the care or superintendence of, a disqualified person. Disqualification of a husband or wife from racing horses applies equally to both.

(e) **Disqualification, improper practice.** Any horse which has been the subject of improper practice may be disqualified for such time and for such races as the stewards shall determine.

(f) **Procedure for making entries.** Entries and declarations shall be made in writing signed by the owner of the horse or of the engagement or by his authorized agent; and in order to secure privacy all entries to overnight races must be made at a specially designated booth.

(g) **Entries made by telegraph, telephone.** Entries and declarations by telegraph or by telephone, if the telephone conversation is recorded, are binding if promptly confirmed in writing.

(h) **Entrance money not returned.** Entrance money is not returned on the death of a horse nor on his failure to start, whatever be the cause of the failure.

(i) **Entries to be posted.** Entries to all races, excepting those races which are opened and decided during the meeting, shall be posted on the bulletin boards at the track where meeting is being held.

(j) **Limitations on entries.**

(1) A horse of a partnership cannot be entered or run in the name, whether real or stable, of an individual partner unless that individual's interest or property in the racing qualities

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A49

Division of Special Revenue

of that horse is equal to at least twenty-five (25) percent.

(2) All horses owned wholly or in part by the same person or the spouse of any such person or trained by the same trainer must be coupled and run as an entry.

(3) Not more than two horses trained by the same person shall be drawn into any overnight race, or on the also-eligible list, to the exclusion of another horse.

(4) For the purposes of rule (j) (2) of this section, a horse shall be deemed owned wholly or in part by a particular person or owned by a particular person if that person holds the entire property interest in the horse or if, by lease or ownership, he controls the racing qualities of the horse or if he holds a proportionate interest of twenty-five (25) percent or more in a partnership which either holds the property interest in the horse or, by lease or ownership controls the racing qualities of the horse.

(k) **Maidens over five years old.** Maidens five (5) years old or older shall not be entered to race.

(l) **Restrictions on ownership by trainer.** No licensed trainer shall have any interest, either by ownership of the horse or by lease of its racing qualities, in a horse of which he is not the trainer and which may be racing at the same racetrack where the trainer is licensed and currently racing.

(m) **Name in which horse is run.** The name in which any horse is run must be the real or the stable name of the individual owner or the name of the partnership owner (being its stable name or the name of the individual in whose name the horse is run) of the entire interest in the horse.

(n) **Closing time, overnight races.** The list of entries for overnight races shall be closed at the advertised time and no entry shall be admitted after that time, except that, in case of an emergency, the racing secretary may, with the consent of a steward, grant an extension of time.

(o) **Delayed entries.** The list of entries for all other races shall be closed at the advertised time and no entry shall be admitted after that time unless the nominator can prove to the stewards that the entry was mailed before the advertised time of closing; and starters must be named through the entry box by the usual time of closing on the day preceding the race.

(p) **Information required for entry.** Except as provided in rule (q) of this section, entries shall be in the name of one person or a stable name and shall state the name, or the stable name, of the owner, the name or description of the horse if unnamed, and if the race be for horses of different ages, the age of the horse entered.

(q) **Name of entry.** Entries may be made in the name of a corporation or a partnership, but no horse may race in such a name and in order to remain eligible, such entries must be transferred to an individual or a stable name on or before January 1 of the horse's two-year-old year.

(r) **Information for initial entry.**

(1) In entering a horse for the first time, it shall be identified by stating its name (if it has any), its color and sex and the name or description of its sire and dam as recorded in the stud book. If the dam was covered by more than one stallion, the names or description of

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A49

all must be stated.

(2) Except as provided in subdivision (4) of this rule, this description must be repeated in every entry until a description of the horse with his name has been published in the racing calendar or in the program or the list of entries of an association, or in such other publication as the commission may designate.

(3) In every entry after such publication, his name and age will be sufficient.

(4) If a horse be entered with a name for the first time, in several races for the same meeting, closing at the same place on the same day, the description need not be added in more than one of the entries.

(s) **Change of name.** Upon any change of name of a horse which has run in any country, his old name as well as his new name must be given in every entry until he has run three (3) times under his new name over the course of an association.

(t) **Closing time, entries, declarations.** Except in overnight races, if the hour for closing of entries or for declarations be not stated, it is understood to be midnight of the day specified.

(u) **Where entries made.** In the absence of notice to the contrary, entries due on the eve of and during a meeting, are due at the office of the racing secretary where the race is to be run.

(v) **Subscription defined.** An entry of a horse in a sweepstakes is a subscription to the sweepstakes. An entry or subscription may, before the time of closing, be altered or withdrawn.

(w) **Transfer of subscription.** A person who subscribes to a sweepstakes may, before the time fixed for naming, transfer his subscription.

(x) **Death of owner of subscription.** Subscriptions and all entries or rights of entry under them shall not become void on the death of the person in whose name they were made or taken. All rights, privileges and obligations shall attach to the continuing owners including the legal representatives of the decedent.

(y) **Striking out of engagement.** No person shall be considered as struck out of any of his engagements until the owner or his authorized agent shall have given notice, in writing or by telegram, promptly confirmed in writing, to the racing secretary where the horse is engaged.

(z) **Striking out is irrevocable.** The striking of a horse out of an engagement is irrevocable.

(aa) **Proof to transfer with engagements.** Whenever the ownership of a horse is transferred in any manner, all racing engagements of the said horse shall automatically accompany the transfer.

(bb) **Restrictions on acceptance of nominations.** No nominations shall be accepted for a sweepstakes or other race from any person whose license has been revoked and who has not been subsequently licensed by the commission; nor during the period of suspension from any person whose license has been suspended; nor from any person who is otherwise disqualified.

(cc) **Connecticut bred horses.** To be eligible to start in races exclusively for horses foaled in Connecticut, each horse must be registered with the thoroughbred breeders' association of Connecticut. To qualify for such registration, the said horse must have been dropped by a mare in the state of Connecticut. A horse is bred where it is foaled. The breeder is the owner of the dam at the time of foaling. The thoroughbred breeders' association of Connecticut shall make rules for the registration of horses foaled in Connecticut. Said rules shall be approved by the commission on special revenue. Any owner or breeder may appeal from the refusal of the thoroughbred breeders' association of Connecticut to register a horse under this rule to the commission on special revenue, and the decision of the commission shall be final.

Sec. 12-574-A50. Produce races

(a) **Entry for produce race.** In making an entry for a produce race, the produce is entered by specifying the dam and the sire or sires.

(b) **When entry is void.** If the produce of a mare is dropped before the first of January, or if there is no produce, or if the produce is dead when dropped, or if twins are dropped, the entry of such mare is void.

(c) **Allowance.** In produce races, allowances for the produce of untried horses must be claimed before the time of closing and are not lost by subsequent winnings.

Sec. 12-574-A51. Claiming races

(a) **Who may make claim.**

(1) In claiming races any horse may be claimed for its entered price by any owner licensed for racing at that meeting, who has nominated a starter up to or including the race in which the claim is made or by his authorized agent, but for the account only of the owner making the claim, or for whom the claim was made by the agent; provided, however, that no person shall claim his own horse or cause his horse to be claimed directly or indirectly for his own account.

(2) Where the owner is a partnership, all members of the partnership shall be bound by this section.

(b) **Minimum price for claim.** The minimum price for which a horse may be entered in a claiming race shall be \$3,000.00 but in no case shall it be entered for less than the value of the purse to the winner.

(c) **Conditions for starting claimed horse.**

(1) For a period of thirty (30) days after the claim, a claimed horse shall not start in a race in which the determining eligibility price is less than twenty-five (25) percent more than the price at which it was claimed. The day claimed shall not count, but the following calendar day shall be the first day and the horse shall be entitled to enter whenever necessary so the horse may start on the thirty-first (31st) calendar day following the claim for any claiming price. This provision shall not apply to starter handicaps in which the weight to be carried is assigned by the handicapper.

(2) If a horse is claimed, it shall not be sold or transferred to anyone wholly or in part,

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A51

except in a claiming race, for a period of thirty (30) days from date of claim, nor shall it, unless reclaimed, remain in the same stable or under the control or management of its former owner or trainer for a like period, nor shall it race elsewhere until after the close of the meeting at which it was claimed, except by special permission of the stewards at said meeting.

(d) **Requirements for claim, determination by stewards.** All claims shall be in writing and filed at least fifteen (15) minutes before post time. All claims shall be on a form supplied by the association and shall be properly signed and enclosed in an envelope provided for the purpose by the racing secretary. The envelope shall have no identification mark on it, but it shall be marked with the number of the race. It shall be sealed and stamped by a time clock and deposited in a locked box provided for this purpose by the racing secretary. No money shall accompany the claim. Each person desiring to make a claim, unless he shall have such amount to his credit with the association, must first deposit with the association the whole amount of the claim in cash, and any prevailing Connecticut taxes, for which a receipt will be given. All claims shall be passed upon by the stewards, and the person determined at the closing time for claiming to have the right of claim shall become the owner of the horse when the start is effected, whether it be alive or dead, sound or unsound or injured before or during the race or after it. If more than one person should enter a claim for the same horse, the disposition of the horse shall be decided by lot by the stewards. An owner shall not be informed that a claim has been made until after the race has been run, and any horse so claimed shall then be taken to the paddock for delivery to the claimant.

(e) **Limitations on claims.**

(1) No person shall claim more than one horse in a race.

(2) No authorized agent, although representing more than one owner, shall submit more than one claim in any one race.

(3) When a stable consists of horses owned by more than one person, trained by the same trainer, not more than one claim may be entered on behalf of such stable in any one race.

(f) **Person for whom horse runs.** Each horse shall run for the account of the person in whose name it starts.

(g) **Claim irrevocable when lodged.** When a claim has been lodged with the racing secretary, it is irrevocable, and is at the risk of the claimant.

(h) **In case of dead heat.** In case of a dead heat, each of the dividing horses is the winner for the purpose of this part.

(i) **Collusive claiming punished.**

(1) Should the stewards be of the opinion that any person is claiming a horse collusively for the benefit of another interest or in order to evade the provision of any sections of this chapter, they may require him to make an affidavit that he is not so doing, and if upon proof it is ascertained that he made a false affidavit, he shall be referred to the commission for further action.

(2) Should the stewards within twenty-four (24) hours after the running of a race be of the opinion that the lease or the entry of a horse was not made in good faith but was made

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A52

Division of Special Revenue

for the purpose of obtaining the privilege of entering a claim, then in each case they may disallow or cancel any such claim and order the return of a horse that may have been delivered and refer the case to the commission for further action.

(j) **Delivery on written order.** No horse shall be delivered except on a written order from the racing secretary.

(k) **Refusal to deliver.** Any person refusing to deliver a claimed horse shall be suspended and his case referred to the commission. The horse is disqualified until he is delivered to the purchaser.

(l) **Intimidation, collusion.** Any person who shall attempt to prevent another person from claiming any horse in a claiming race, or any owners running in claiming races who may make any agreement for the claiming of each other's horses, may be punished by the stewards or they may refer the matter to the commission for further action.

(m) **Steward's certificate to claim.** When a stable has been eliminated by claiming, the owner so affected, if he has not replenished his stable before the close of the meeting, may obtain a certificate from the stewards of the meeting; and on presentation thereof the owner shall be entitled to claim during the next thirty (30) racing days at any recognized meeting in this state, until he has claimed a horse. Stables eliminated by fire or other hazards may also be permitted to claim under this rule in the discretion of the stewards.

(n) **Program.** The claiming price of each horse in a claiming race shall be printed in the official program, and all claims for said horse shall be for the amount so designated.

Sec. 12-574-A52. Estimated winnings

(a) **Estimating the winnings.**

(1) In estimating the value of a race to the winner, there shall be deducted only the amount of money payable to the owners of the other horses and to other persons out of the stakes and out of the added money.

(2) In estimating foreign winnings, the current rate of exchange at the time of such winnings shall be adopted.

(3) The value of prizes not in money will not be estimated in value of the race to the winner.

(4) In estimating the value of a series of races in which an extra sum of money or prize is won by winning two or more races, the extra sum or prize shall be estimated in the last race by which it was finally won.

(b) **Surplus to winner.** In all races, should there be any surplus from entries or subscriptions over the advertised value, it shall be paid the winner, unless stated by the conditions to go to other horses in the race.

(c) **Winnings defined.**

(1) Winnings during the year shall include all prizes from first of January preceding to the time appointed for the start and shall apply to all races in any country; and winning shall include dividing or walking over.

(2) Winning of a fixed sum is understood to be winning it in one race, unless specified to the contrary.

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A54

(d) **In a walkover.**

(1) In case of a walkover, one-half of the money offered to the winner is given.

(2) When a walkover is the result of arrangement by owners of horses engaged, no portion of the added money nor any other prize shall be given.

(e) **Disposition of money or prize.** Any money or prize which, by the conditions of the race is to go to the horse placed second or in any lower place in the race, shall, if the winner has walked over or no horse has been so placed, be dealt with as follows:

(1) If part of the stake, it shall go to the winner.

(2) If a separate donation from the association or any other source, it shall not be given at all.

(3) If entrance money for the race, it shall go to the association.

(f) **Race not run or void.** If a race never be run or void, all moneys paid by an owner in respect to that race shall be returned.

(g) **When race declared void.** A race may be declared void if no qualified horse covers the course according to rules.

Sec. 12-574-A53. Dead heats, purses

(a) **Dead heat not run off.** When a race results in a dead heat, the dead heat shall not be run off.

(b) **Dead heat for first place.** When two horses run a dead heat for first place, all prizes to which first and second horses would have been entitled shall be divided equally between them; and this applies in dividing prizes whatever the number of horses running a dead heat and whatever places for which the dead heat is run. Each horse shall be deemed a winner and liable to penalty for the amount he shall receive.

(c) **Objection made to winner.** When a dead heat is run for second place and an objection is made to the winner of the race and sustained, the horses which ran the dead heat shall be deemed to have run a dead heat for first place.

(d) **Stewards to settle disputes.** If the dividing owners cannot agree as to which of them is to have a cup or other prize which cannot be divided, the question shall be determined by lot by the stewards.

(e) **Dead heat for a match.** On a dead heat for a match, the match is off.

Sec. 12-574-A54. Penalties and allowances

(a) **Readjustments, when claimed.** Allowances must be claimed at the time of entry and these allowances shall not be abandoned except by the consent of the stewards, who may, before scratch time, make readjustments to the proper weights and allowances in conformity with the conditions of the race. Sex allowances shall not be waived. The stewards may, in their discretion, impose sanctions upon persons who negligently claim improper allowances.

(b) **Extra weight; running second.** No horse shall carry extra weight nor be barred from any race for having run second or in any lower place in a race.

(c) **Exemption from penalties.** When winners of claiming races are exempted from

penalties, the exemption does not apply to races in which any of the horses running are not to be claimed.

(d) **Penalties, allowances, not cumulative.** Penalties and allowances are not cumulative unless so declared by the conditions of the race.

(e) **No allowance for beaten horse.** No horse shall receive allowance of weight or be relieved from extra weight for having been beaten in one or more races; provided that this section shall not prohibit maiden allowances or allowances to horses that have not won within a specified time or that have not won races of a specified value.

(f) **Handicaps.** The handicapper shall append to the weights for every handicap, the day and hour from which winners will be liable to a penalty, and no alteration shall be made after publication except in case of omission through error of the name or weight of a horse duly entered, in which case, by permission of the stewards the omission may be rectified by the handicapper.

Sec. 12-574-A55. Corrupt practices and disqualification of persons

(a) **Corrupt practices.** The following are deemed to be corrupt practices:

(1) Giving, offering or promising, directly or indirectly, a bribe in any form to any person licensed by the commission.

(2) Soliciting, accepting or offering to accept a bribe in any form by a person licensed by the commission.

(3) Failure of a licensee to notify the stewards immediately of an offer, promise, request or suggestion for a bribe or improper or fraudulent practice made to the licensee.

(4) Wilfully entering or causing or permitting to be entered, or to start in a race, a horse which he knows or has reason to believe to be disqualified.

(5) Having any electrical or mechanical device or other appliance designed to increase or decrease the speed of a horse, other than the ordinary whip, on the grounds of an association, whether on the person or in the premises occupied by a person on the grounds.

(6) Offering or receiving money or any other benefit for declaring an entry from a race.

(7) Conspiring or influencing the committing of an intentional foul in a race.

(8) Instructing a jockey to ride so as to commit an intentional foul.

(9) Soliciting bets from the public by any method by any occupational licensee.

(10) Tampering or attempting to tamper with any horse in such a way as to affect its speed in a race, or counselling or aiding such tampering in any way.

(11) Committing or conspiring to commit or assisting in the commission of any improper, corrupt or fraudulent act or practice in relation to racing.

Any violator of this section shall be punished as the stewards may deem proper, including reference to the commission.

(b) **Results of disqualification.**

(1) Persons denied admission to tracks. Anyone who has been ruled off or who has been suspended, whether temporarily for investigation or otherwise, and anyone penalized as in this section provided, by the commission, the stewards or by the highest official regulatory racing body having jurisdiction where the offense occurred, shall be denied admission to

all facilities licensed or operated by the commission until duly reinstated, unless otherwise determined by the commission.

(2) Persons barred from racing. A person whose license has been revoked or has been suspended, whether temporarily for investigation or otherwise, and so long as his exclusion or suspension continues shall not be qualified, whether acting as agent or otherwise, to subscribe for or to enter or to run any horse for any race either in his own name or in that of any other person.

(3) Horses suspended. All horses in the charge of a trainer whose license has been revoked or has been suspended, whether temporarily for investigation or otherwise, shall be automatically suspended from racing during the period of the trainer's exclusion or suspension. Permission may be given by the stewards for the transfer of such horses to another trainer during such period, and upon such approval such horses shall again be eligible to race.

(c) **Horses entered under different name.**

(1) No horse shall be allowed to enter or start if the highest official regulatory racing body having jurisdiction of the offense previously has determined that the horse was knowingly entered or raced under a name other than its own by a person having lawful custody or control of the animal at the time it was so entered or raced.

(2) No horse shall be allowed to enter or start if it has been previously determined by the highest official regulatory racing body having jurisdiction of the offense that a person having lawful custody or control of the animal participated in or assisted in the entry of racing of some other horse under the name of the horse in question.

(3) For the purposes of rule (c) (1) and (2) of this section, the "name" of a horse means the name reflected in the registration certificate or racing permit issued with respect to the horse in question by the jockey club.

Sec. 12-574-A56. Disputes, objections, appeals

(a) **Penalties attach until dispute decided.** When a race is in dispute both the horse that finished first and any horse claiming the race shall be liable to all the penalties attaching to the winner of that race until the matter is decided.

(b) **Appeal from steward's decision.** Every objection shall be decided by the stewards, but their decision shall be subject to appeal in writing to the commission.

(c) **Notice of appeal.** Notice of appeal must be given in writing to the commission within forty-eight (48) hours of the decision being made.

(d) **Who may make objection.** Every objection must be made by the owner, trainer or jockey of some horse engaged in the race or by the officials of the course to the clerk of the scales or to one of the stewards, or an objection may be made by any one of the stewards.

(e) **Objections to be in writing.** All objections except claims of interference during a race must be in writing signed by the objector.

(f) **Leave required to withdraw objection.** An objection cannot be withdrawn without leave of the stewards.

(g) **Liability for costs of inquiry.** All costs and expanses in relation to determining an

Regulations of Connecticut State Agencies

TITLE 12. Taxation

§12-574-A56

Division of Special Revenue

objection or conducting an inquiry shall be paid by such person or persons and in such proportions as the stewards shall direct.

(h) **Deposit may be forfeited.** Before considering an objection, the stewards may require a deposit of \$50.00, which shall be forfeited, if the objection is decided to be frivolous or vexatious, and in such case, it shall be remitted to the state of Connecticut.

(i) **Disqualification of horse before race.** If an objection to a horse engaged in a race be made not less than fifteen (15) minutes before the time set for the race, the stewards may require the qualification to be proved before the race, and in default of such proof being given to their satisfaction, they must declare the horse disqualified.

(j) **Objection to decision of clerk of scales.** An objection to any decision of the clerk of the scales must be made at once.

(k) **Objection to distance of course.** An objection to the distance of a course officially designated must be made not less than fifteen (15) minutes before the race.

(l) **Objection to matters occurring in race.** An objection to a horse on the ground of his not having run the proper course or of the race having been run on a wrong course or of any other matter occurring in the race must be made before the numbers of the horses placed in the race are confirmed officially.

(m) **Time for making other objections.**

(1) An objection on any of the following grounds may be received up to forty-eight (48) hours exclusive of Sunday after the last race of the last day of the meeting:

(A) Of misstatement, omission or error in the entry under which a horse has run; or

(B) That the horse which ran was not the horse nor of the age which he was represented to be at the time of entry; or

(C) That he was not qualified under the conditions of the race or by reason of default; or

(D) That he has run in contravention of the sections relating to partnership or registration.

(2) In any other case an objection must be made within forty-eight (48) hours of the race being run, exclusive of Sunday, save in the case of any fraud or wilful misstatement, where there shall be no limit to the time of objection provided the stewards are satisfied that there has been no unnecessary delay on the part of the objector.

(n) **Stewards determine extent of disqualification.** The stewards are vested with the power to determine the extent of disqualification in case of fouls. They may place the offending horse behind such horses as, in their judgment, it interfered with, or they may place it last, and they may disqualify it from participation in any part of the purse.

(o) **Money held pending determination.** Pending the determination of an objection, any prize which the horse objected to may have won or may win in the race, or any money held by the association holding the meeting, as the price of a horse claimed (if affected by the determination of the objection), shall be withheld until the objection is finally determined.

(p) **Recovery of money distributed.** If by reason of an objection to a horse a race or place is awarded to another horse, the money for such race shall be distributed in accordance with the final placing, and the owner of a horse to which the race or place is finally awarded

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Division of Special Revenue

§12-574-A56

can recover the money from those who wrongfully received it.