

Regulations of Connecticut State Agencies

TITLE 12. Taxation

Agency

Division of Special Revenue

Subject

The Operation of Harness Racing

Inclusive Sections

§§ 12-574-B-1—12-574-B-44

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Sec. 12-574-B1. General provisions

(a) **Application.** The rules and regulations contained herein shall apply to all associations, as defined herein, conducting a harness horse 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) **Registration.** Any horse that is to be eligible to race in Connecticut under these rules must be registered in accordance with the rules of the United States Trotting Association.

(e) **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 harness racing.

Sec. 12-574-B2. Definitions, constructions, interpretations

(a) In applying the rules and regulations as contained herein, including all amendments thereto, the following definitions, 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-early closing event. An event closing in the same year in which it is to be contested in which all entrance and declaration fees received are added to the purse.

(3) Age. The age of a horse shall be determined from the first day of January of the year of foaling, except that for foals born in November and December of any year in which case the age shall be determined from January 1 of the succeeding year.

(4) Appeal. A request for the commission to investigate, consider, and review any decisions or rulings of judges or officials of a meeting. The appeal may deal with placings, penalties, interpretations of the rules or other questions dealing with the conduct of races.

(5) 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 harness race meeting pursuant to the act.

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

(7) Association. An individual, partnership or corporation licensed to conduct a recognized harness meeting pursuant to the act.

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

(9) Claiming race. A claiming race is one in which every horse competing therein may

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be claimed in conformity to the rules.

(10) Classified race. A race regardless of the eligibility of horses with entries being selected on the basis of ability or performance.

(11) Commission. Commission shall mean 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) Conditioned race. An overnight event to which eligibility is determined according to specified qualifications. Such qualifications are provided for in rule (p) of Section 12-574-B29.

(13) Coupled entry. Two or more horses starting in a race when owned or trained by the same person, or trained in the same stable or by the same management. Such horses are coupled as an "entry," and a wager on one shall be a wager on all of them.

(14) Dash. A race decided in a single trial. Dashes may be given in a series of two or three governed by one entry fee for the series, in which event a horse must start in all dashes. Positions may be drawn for each dash. The number of premiums awarded shall not exceed the number of starters in the dash.

(15) 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.

(16) Declaration. Means the naming of a particular horse to a particular race as a starter. Declarations shall be taken not more than three racing days in advance for all races except those for which qualifying dashes are provided.

(17) Disqualification. A person who is barred from acting as an official or from starting or driving a horse in a race, or in the case of a horse, it shall not be allowed to start.

(18) 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.

(19) Early closing race. A race for a definite amount to which entries close at least six weeks preceding the race. The entrance fee may be on the installment plan or otherwise, and all payments are to be non-refundable.

(20) Elimination heats or dashes. Heats or dashes of a race split according to these rules to qualify the contestants for a final heat or dash.

(21) Entry. A horse that has been entered in a race and accepted.

(22) Expulsion. The unconditional exclusion and disqualification from any participation, either directly or indirectly, in the privileges and uses of the course and grounds of the association of a licensee or patron.

(23) Extended pari-mutuel meetings. An extended parimutuel meeting is a meeting, or meetings, at which no agricultural fair is in progress with an annual total of more than ten (10) days duration with pari-mutuel wagering.

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

(25) Futurity. A stake in which the dam of the competing animal is nominated either when in foal or during the year of foaling.

(26) Gender. References in these rules to the male gender shall be deemed to include the female gender unless the circumstances preclude such inclusion.

(27) Green horse. One that has never trotted or paced in a race or against time.

(28) Guaranteed stake. A race for which an association guarantees by its conditions a specified purse, which shall be the limit of its liability. However, if in any such race there should be any surplus from entries and subscriptions over the sum guaranteed, it shall also be paid to the winner, unless by the conditions it is to be paid to other horses in the race.

(29) Handicap. A race in which performance, or a sex allowance is made. Post positions for a handicap may be assigned by the racing secretary. Post positions in a handicap claiming race may be determined by the claiming price.

(30) Heat. One of the two or three installments of a race, the winner being decided by its performance in the several installments.

(31) Inquiry. When the judges suspect that a foul or any other misconduct during a race has occurred, they shall post an inquiry sign at the conclusion of the race and delay the “official” sign until they have reviewed the suspected infraction.

(32) Interference. Any act, which by design or otherwise, and regardless of actual contact, hampers or obstructs any competing horse or horses.

(33) International championship. A race advertised, promoted, or announced as competition among the best horses in the world of any gait or age and comprised of horses from three or more countries with no more than four horses from any one country.

(34) Invitation. A race to which only those horses named by the racing secretary and listed by him with the presiding judge, shall be eligible.

(35) Late closing race. A race for a fixed amount to which nominations or declarations close less than six (6) weeks and more than three (3) days before the race is to be contested.

(36) Length of race and number of heats. Races shall be given at a stated distance in units not shorter than a sixteenth of a mile. The length of a race and the number of heats shall be stated in the conditions. If no distance or number of heats are specified, all races shall be a single mile dash.

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

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

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

(38) Maiden. A stallion, mare or gelding that has never won a heat or race at the gait at which it is entered to start and for which a purse is offered. Races or purse money awarded to a horse after the “official” sign has been posted shall not be considered winning performance or affect status as a maiden.

(39) Match. A race between two horses the property of two different owners on terms

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agreed upon by them.

(40) Matinee. A program of races conducted upon a racetrack which concludes by 7:00 P.M. prevailing time.

(41) Matinee race. A race with no entrance fee and where the premiums, if any, are other than money.

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

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

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

(45) Night performance. A program of races conducted upon a racetrack which begins at 7:00 P.M. prevailing time or later.

(46) Nomination. The naming of a horse or in the event of a futurity, the naming of foal in utero, to a certain race or series of races, eligibility of which is conditioned on the payment of a fee at the time of naming and the payment of subsequent sustaining fees and/or starting fees.

(47) Objection. A complaint by a driver of any foul drying or other misconduct during the race. The judges at the conclusion of the race shall post an “objection” sign and shall delay the “official” sign until they have considered the complaint.

(48) Overnight event. A race for which the entries close seventy-two (72) hours (exclusive of Sundays), or less, before 9:00 A.M. of the day on which such race is to be run.

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

(50) Paddock. An enclosure to which horses scheduled to compete in a race program are confined prior to racing under the supervision of a paddock judge.

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

(52) Post position. The position drawn by or assigned to the horse.

(53) 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. In no event shall the overnight sheet be construed to be the program.

(54) Protest. An objection, properly sworn to, charging that a horse is ineligible to race, alleging improper entry or declaration, or citing any act of an owner, driver, trainer or official.

(55) Purse. The money or other prize for which entries in a race are competing.

(56) Race. Race is a heat or a dash.

(57) 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

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association by the commission to conduct harness racing.

(58) Record. The fastest time made by a horse in a race which he won, or in a performance against time.

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

(60) Scoring. Preliminary practice starts taken by the horses in a race after the post parade and before they are called by the starter to line up for the start.

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

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

(63) Stake. A race which will be contested in a year subsequent to its closing in which the money given by the association conducting the same is added to the money contributed by the nominators, all of which, except deductions for the cost of promotion, breeders or nominators awards, belongs to the winner or winners. In any event, all of the money contributed in nominating, sustaining, and starting payments must be paid to the winner or winners.

(64) 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.

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

(66) 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 drivers, and others employed in or about the track, judges' boxes, photo-finish and film patrol plants, pari-mutuel offices, facilities and equipment, totalisator and public address system.

(67) Two in three. In a two in three race, a horse must win two heats to be entitled to first money.

(68) Walk over. When only horses of the same interest start, it constitutes a walk over. In a "stake race", a walk over is entitled to all the stake money and forfeits unless otherwise provided in the published conditions. To claim the purse, the entry must start and go once over the course, unless this requirement is waived by the presiding judge.

(69) Winner. The winner shall be the horse whose nose reaches the wire first. If there is a dead heat for first, both horses shall be considered winners. Where two horses are tied in the summary, the winner of the longer dash or heat shall be entitled to the trophy. Where the dashes or heats are of the same distances and the horses are tied in the summary, the winner of the faster dash or heat shall be entitled to the trophy. Where the dashes or heats are of the same distance and the horses are tied in the summary and the time, both horses shall be considered winners.

(70) Year. Shall mean a calendar year.

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

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(72) 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-B3. 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 harness 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 harness 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 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

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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 harness 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-B4. 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 harness racing section.

(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 harness 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-B5. Executive director

(a) **Appointment.** The commission shall appoint an executive director of the state racing

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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 of the status of the racing division.

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

Sec. 12-574-B6. 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 harness 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 applicants 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.

(6) 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

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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 subsection, 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 harness racing in the State of Connecticut the association must take steps that effect 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 case may be. If the application is made by a corporation, it shall be signed by an officer of the corporation duly authorized by the

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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, photographs.** 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 harness meeting.

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

(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 harness racing plant in that

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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 the commission deems 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 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-B6 (f) 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.

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(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-B6 (c) and 12-574-B6 (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-B7. Requirements of association

(a) **Purses.**

(1) As a minimum standard, an association shall allocate the following percentages of the parimutuel 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

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 five (5) finishers in each race, unless fewer than five (5) 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 (Sunday 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 judges.

(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

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to the start of a meeting and shall be based upon the 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.

(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 the 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 track size approved by the commission.

(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.** 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.

(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 (7) day period preceding the admission date.

(B) The horse was free of any evidence of infectious, contagious or transmissible disease

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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 has 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 diseases the horse shall be promptly removed from the grounds and the stall in which he had been stabled and the area immediately surrounding it must be sprayed with a disinfectant, as prescribed by the association veterinarian.

(m) **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.

(n) **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-B8. 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.** 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.

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(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.** An 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) **Floodlights—patrol system.** Associations shall install and maintain floodlights 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.** 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 presiding judge two prints of every photo finish, and the judges 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 the state results prior to the opening of an association's facility, the association shall install such pari-mutuel equipment at the 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 record shall be in a 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 judges 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 custody of the association for the period of one year, however, 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 years from the date of the race. These photographic records shall be under the control of the judges 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 rule.

(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 track 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

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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) **Driver room facilities.** An association shall make such sanitary arrangements for baths, toilets, etc., for the use of drivers, including separate facilities for males and females, as may be required by the commission, the same to be conveniently located on the grounds.

(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 required 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 and timers shall be maintained 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 harness 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.

(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

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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-B9. Occupational licenses

(a) **Officials and participants must be licensed.** Associations conducting harness meetings shall not permit any official, owner, trainer, driver, stable employee, farrier, agent, 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 harness 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. 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. Pursuant to this section, see section 12-574-B29, "owners, drivers, trainers and grooms".

(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

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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 by 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 harness 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 participation of such person will not be consistent with the public interest, convenience or necessity, and with the best interests of harness 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 of 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 duly licensed, except that any person with the consent of the presiding judge may so act pending action on his application duly filed and with the exceptions specified in these rules. 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 their possession subject to the examination by the

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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 presiding judge of such discharge or resignation. The failure to so notify the presiding judge shall subject the owner or trainer to a fine or suspension or both.

(k) **Corporations, partnerships.**

(1) No license as an owner shall be 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 in 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.

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

(3) The stockholders or members or 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 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.

(4) Any transfer of stock of such corporation or change in the officers or directors shall be reported in writing to the presiding judge at the track within forty-eight (48) hours of such change. The presiding judge 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 farrier 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

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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.

Sec. 12-574-B10. 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 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 drivers 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

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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 person or employee is permitted to have in their possession any radio transmitter or any transmitting device while present at any track during any racing programs unless specifically approved by the commission.

Sec. 12-574-B11. 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:

- (A) Balance sheet.
- (B) Profit and loss statement.
- (C) Statement application of funds.
- (D) Daily distribution of pari-mutuel handle schedule.
- (E) Daily admission, 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) Depreciation 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) Legal 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-B12. 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 performance shall be entered in the “outsbook” 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 “outsbook” 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 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

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(e) **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.

(h) **Money retained in regular operating account.** All money representing the amount due on outstanding unredeemed mutuel 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-B13. 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 judges upon drivers, 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-B14. Pari-mutuel operations

(a) **Mutuel manager.** The association shall appoint a mutuel manager who shall be licensed by the commission. The mutual manager is held responsible for the correctness of all payoff prices posted on the board. Before the mutuel department of any racetrack posts the payout 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 the enclosure of an association, hut not elsewhere, the sale

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

(g) **Heat as race.** For the purposes of pari-mutuel wagering, every heat shall be a separate and distinct race.

(h) **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.

(i) **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 waiver 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.

(j) **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 representative, shall be final and conclusive.

(k) **Notification of entries.** The manager of the parimutuel department shall be properly and timely advised by the presiding judge prior to the beginning of the wagering on each race of the entries that will compete in the race and any driver changes from those listed in the official program.

(l) **Payments; minimum payments.** Payments due on all wagers shall be made in

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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 (¢) of any multiple of ten (10) cents (¢) 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 pari-mutuel 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.

(m) **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.

(n) **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.

(o) **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.

(p) **Selected by numbers.** Selections are to be made by program numbers. Large numbers appearing on the tickets are program numbers of the horses.

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

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

(s) **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, mutual cashiers’ windows shall remain open until all patrons in line have been afforded the opportunity to cash in their winning tickets.

(t) **Denomination of tickets.** Pari-mutuel tickets shall be sold only in denominations approved by the commission.

(u) **Entries.**

(1) When two or more horses run in a race, and are coupled because of common ties, they are called an “entry” and a wager on one of them shall be a wager on all of them.

(2) If two or more horses in a race are coupled on the same mutual ticket, there shall be no refund unless all the horses so coupled are excused before off-time.

(v) **Win, place, show pool requirement.** At horse tracks, in all races, 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 pari-mutuel tickets shall be sold accordingly.

(w) **Scratches.**

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(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 and the entry 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.

(3) If a horse race is marred by jams or spills while a race is being run, and three or more horses finish, the judges shall declare the race finished, but if less than three horses finish, the judges 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 judges shall declare that the race be “no race” and monies shall be refunded.

(x) 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 judges after wagering begins on that race, all money wagered on that race shall be refunded.

(y) Machines locked. All pari-mutuel machines shall be locked by electrical control. Each association shall provide and maintain in the judges’ stand an electrical device which shall directly control the locking of all parimutuel machines. The machines shall be locked by the presiding judge. The machines shall be locked as soon as the word “go” shall be given either by record or by voice of the starter. The machines shall be unlocked at least twenty (20) minutes before the next race by the mutuel manager, unless permission is granted from the presiding judge 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”.

(z) 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 designated that it will aggregate the total amounts and the amounts on each horse or entry 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 clubhouse.

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(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.

(aa) **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 board 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.

(bb) **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.

(cc) **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.

(dd) **Adjustment of underpayments caused by error.**

(1) Each licensee shall pay to the state of Connecticut by the close of the next banking day all monies accruing from underpayments 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 error, the commission shall be furnished a detailed statement thereof in writing, signed by the manager of the mutuel department.

(ee) **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, or entry. 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, or entry, shall immediately be posted for the inspection of the public on a bulletin board at, or adjacent to, the mutuel 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

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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.

(ff) **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 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 judges, 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 suspension, races may be run without betting at the discretion of the mutual manager and the judges.

(gg) **Calculations and 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 printout 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.

(hh) **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.

(ii) **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.

(jj) **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.

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(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 coupled as an entry run first and second, the place pool shall be distributed the same as in a win pool.

(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 third equally to the wagers on the horses finishing in the dead heat for third.

(C) When two horses 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 entry, and the remaining one-third to the wagers on the other horse.

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

(E) When three horses 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.

(7) In any race in which no horse finishes, all money wagered on the race shall be refunded upon presentation and surrender of pari-mutuel tickets sold thereon.

(kk) **Official results.**

(1) At the end of each race the judges 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.

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(2) 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 or announced by the public address system.

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

(l) **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-B15. Daily double

(a) **Rules governing.** At tracks which have 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, exacta, 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) **Selected by numbers.** Selections are to be made of one horse for each of two (2) races in the daily double by program number. Large numbers appearing on the tickets are program numbers of the horses.

(h) **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, clubhouse and bleachers after the result of the first race is declared “official” and before the 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.

(i) **Calculation, distribution of pools.** The daily double pool shall be calculated and

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distributed as follows: the net pool divided by the amount wagered on the winning combinations determines the payoff per dollar bet.

(j) 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 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.

(k) 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.

(l) 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 judges before the running of the first race, 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 parimutuel tickets sold thereon.

(2) Should any horse in the second race of the daily double be scratched or excused by the judges after the running of the first race of the daily double, 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 in the second race, no money shall be refunded.

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

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

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

Sec. 12-574-B16. 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/wagerings 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-B17 to 12-574-B20 shall govern. No other form of multiple wagering shall be permitted.

Sec. 12-574-B17. 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-B16 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 sales 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. 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.** Coupled entries are prohibited in quinella races.

(k) **Scratched or excused horses.** Should any horse entered in a quinella race be scratched or excused by the judges after wagering has commenced, all tickets including

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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 horses 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-B18. 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-B16 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 combinations 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. Large numbers appearing on the tickets are program numbers of the horses.

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(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 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.** Coupled entries are prohibited in exacta races.

(m) **Scratched or excused horse.** Should any horse entered in an exacta race be scratched or excused by the judges after wagering has commenced, 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.** Sales 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-B19. 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-B16 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) **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.

(f) **Selected by numbers.** Selections are to be made by program numbers. Large numbers

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appearing on the tickets are program numbers of the horses.

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

(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.** Coupled entries 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 a trifecta race be scratched or excused by the judges after wagering has commenced, 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-B20. 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-B16 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.

(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. 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

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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.** Coupled entries 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 judges after wagering has commenced, 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) **Permitted sales.** Sale of superfecta tickets other than through pari-mutuel machines shall be deemed illegal and is prohibited.

Sec. 12-574-B21. Violations of rules and regulations

(a) **Liability.** Any person or association licensed by the commission violating any of these rules and regulations shall be liable to the 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 \$5,000.00 for each violation and/or forfeiture of purse.

(3) Suspension from one or more activities at one or more tracks.

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(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 judges 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 judges 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-B22. Race officials

(a) **Designation of officials.** The officials of a harness race meeting shall include the following:

(1) Presiding judge, also known as the commission judge.

(2) Two associate judges.

(3) Patrol judges, not less than two.

(4) Paddock judge.

(5) Finish wire judge.

(6) Starter.

(7) Clerk of the course.

(8) Racing secretary.

(9) Timer.

(10) Veterinarians.

(11) Program director.

(12) Announcer.

(13) Charter.

(b) **Required presence of officials in a race or performance against time.** In every race or performance against time, there shall be a presiding judge and two associate judges in the judges’ stand.

(c) **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 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. No race official will be considered for approval by the commission unless he

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has been licensed by the United States trotting association.

(2) All officials enumerated 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.

(d) **Dual positions.** 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 due to emergencies, a full written report of the circumstances must be filed with the commission requesting approval of such action.

(e) **Wagering or interest by officials.** No racing official shall place wagers, direct or indirect, upon the outcome of any harness horse race conducted at a track at which he works or officiates, or have or maintain any interest, direct or indirect, in a horse participating at any licensed meeting where he works or officiates.

(f) **Wagering or interest by certain track employees.** No employee of a licensed harness racetrack whose duties allow access to information pertaining to the classification of horses shall place wagers upon the outcome of any harness horse race conducted at the track where he is employed, shall he directly or indirectly, be the owner of any horse racing at such meeting, nor shall he participate financially, directly or indirectly, in the purchase or sale of any horse racing at such meeting.

(g) **Compensation.** All officials, except the presiding judge and the commission veterinarian(s), enumerated in this section shall be compensated by the association conducting the meeting.

(h) **Removal of official.** Any official may be fined, suspended, or his license may be denied or revoked at any time for incompetency, failure to follow or enforce the rules, or any conduct detrimental to the sport. No race official shall on any day upon which he is required to officiate, drink alcoholic beverages within four (4) hours prior to the time he should begin performing his duties as an official. Officials, when directed by the commission, shall submit to a breath analyzer test and if the results thereof show a reading of more than .05 percent alcohol in the blood, a report shall be made to the commission. Such disqualification shall be reported to the presiding judge who shall appoint a substitute.

(i) **Admission to judges' stand.** Only the judges, the clerk of the course, the starter and timers, announcer, officials and directors of the United States trotting association and the commission or its authorized representatives shall be allowed in the judges' stand during a race.

(j) **Presiding judge.** The presiding judge shall be appointed and licensed by the commission and shall be principal representative of the commission at all harness race meetings. He shall have supervision over all race officials, licensees, and employees or appointees of the commission. He shall supervise the licensing of all those persons required to be licensed by the commission and supervise the security provisions of all associations.

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He shall supervise the conduct of the racing, the parimutuel operations, and the testing of horses. His authority is extended to cover all powers and duties of the commission, subject to review by the commission. He shall have the authority to conduct inquiries and in connection therewith to recommend to the commission the issuance of subpoenas to compel the attendance of witnesses and the production of all relevant and material reports, books, papers, documents, correspondence, and other evidence. He shall have the power to administer oaths and examine witnesses and shall submit a report of all proceedings thereon. He shall at all times have access to all parts of the course, plant and grounds, including the parimutuel department. The compensation of the presiding judge shall be fixed and paid by the commission. The commission, in its discretion, may appoint such assistants or deputies to the presiding judge as it may deem necessary, who shall have the same authority as the presiding judge in his absence but such assistants or deputies shall be junior in authority to the presiding judge at all times. The presiding judge shall enforce the rules and regulations of the commission and shall render daily reports of the activities and conduct of such race meetings to the commission. The presiding judge shall have supervision and ultimate authority over all other licensed race officials. He shall, in writing, notify the commission of all violations of any rules by an association, its officers or other race officials, giving detailed information thereof. A copy of such notice shall be sent by him to the United States trotting association. He shall be responsible for maintenance of the records of the meeting and he shall take charge of the declaration box. He shall establish and maintain post time. In addition, he shall supervise:

- (1) The maintenance of the judges' books, the steward's list and the accident reports and daily reports to the commission.
- (2) The preparation, delivery and posting of all notices, of penalties, rulings and decisions.
- (3) The procedures prescribed by these rules with respect to investigations and hearings.
- (4) The drivers' meetings prescribed by these rules.
- (5) The handling of entries and declarations to start and the application of preferences to race.
- (6) All announcements over the public address system pertaining to the race program.
- (7) The admittance of persons to the judges' stand subject to the direction of the commission.
- (8) The coupling of horses accepted for entry where it is necessary to protect the public interest.
- (9) The declaration as provided for under section 12-574-B34 of these rules.

(k) **Powers of judges.** Presiding judge and associate judges shall have the authority to:

- (1) In cases in which the judges determine that a serious offense may have been committed, the judges shall immediately place offending persons on suspension and make in writing a report to the commission. In cases in which the judges determine that minor violations have occurred, the judges may impose a sentence not to exceed ten (10) days and/or a fine.

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- (2) Determine all questions of fact relating to the race.
- (3) Decide any difference between parties to the race or any contingent matter which shall arise which is not otherwise provided for in the rules.
- (4) Declare pools and bets “off” in case of fraud, or to declare any horse a nonstarter and to direct the refund of all wagers made thereon, from which no appeal will be allowed. All pools and bets shall follow the decision of the judges. Such decisions in respect to pools and bets shall be made at the conclusion of the race upon the observations of the judges and upon such other facts as an immediate investigation will develop. A reversal or change of decision after the official placing at the conclusion of a heat or dash shall not affect the distribution of the betting pools made upon such official placing. When pools and bets are declared “off” for fraud, the guilty parties shall be penalized.
- (5) Control the horses, drivers, trainers, grooms and assistants and punish any person engaged in any portion of the racing program who shall fail to obey their orders or the rules.
- (6) Investigate every apparent or possible interference or rule violation and examine under oath all parties connected with a race as to any violation of rules or complaint. Any person required to appear before the judges for a hearing or examination who shall fail to appear after due notice in writing shall be penalized according to these rules.
- (7) Consider complaints of foul from the patrol judges or drivers in the race and no others.
- (8) Make such decision in the public interest required by extraordinary circumstances not covered by these rules.
- (I) **Duties of judges.** It shall be the duty of the judges to:
 - (1) Exclude from the race any horse that in their opinion is improperly equipped, dangerous, unmanageable, or unfit to race. When a driver or owner reports to the presiding judge that his horse is unfit to race, ill or otherwise physically incapable of racing, the presiding judge shall call for an examination of the horse by the association veterinarian and the association veterinarian shall examine such horse and submit an oral report of his findings to the presiding judge immediately, followed by a written report within twenty-four (24) hours to the presiding judge.
 - (2) Investigate any apparent or possible interference or other violation of section 12-574-B40 whether or not a complaint has been made by a driver.
 - (3) Investigate any act of cruelty, seen by them or reported to them, toward a race horse during a meeting at which they officiate. If the judges find that such an act has been committed, offenders shall be penalized according to the rules.
 - (4) In case of an accident, the judges shall fill out a complete accident report and mail the report to the United States trotting association immediately thereafter.
 - (5) Observe the performance of the drivers and the horses closely to ascertain if there are any violations of these rules.
 - (6) Grant a hearing when practicable at a designated time in accordance with the commission rules concerning “Rules of Practice and Hearing Procedures” before a penalty may be imposed. All three judges should be present if possible, and at least the presiding

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judge and one associate judge must be present at all hearings. The judges may inflict the penalties prescribed by these rules. All penalties shall be recorded pursuant to these rules.

(7) Declare a dash or heat of a race “no contest” or cancel the remainder of the program in the event of a power failure during the progress of a race.

(m) **Procedures of judges.** It shall be the procedure of the judges to:

(1) Be in the judges’ stand fifteen (15) minutes before the first race and at all times when the horses are upon the track, and remain in the judges’ stand for ten (10) minutes after the last race.

(2) Observe the preliminary warming up of horses and scoring; noting the behavior of horses, possible lameness, irregularities in equipment, possible misconduct of drivers, unusual changes in odds and any unusual incidents pertaining to horses or drivers participating in races.

(3) Give appropriate notice to the drivers at least ten (10) minutes before a race. Any driver failing to obey this summons may be penalized and his horse may be ruled out of the race by the judges.

(4) Be responsible for locking the pari-mutuel machines immediately upon the horses reaching the official starting point. The presiding judge shall designate the post time for each race and the horses will be called at such time as to preclude excessive delay after the completion of scoring.

(5) Maintain communication with the patrol judges by telephonic and/or radio devices from the time the starter picks up the horses until the finish of the race. A written record is to be made of every break, violation of rules or incident reported by the patrol judges. At least one judge shall observe the drivers throughout the stretch specifically noting any change in course, interference, improper use of whips, breaks, and failure to contest the race to the finish. An electronic recording shall be made and preserved of all communications between the patrol judges and the judges’ stand at all extended pari-mutuel meetings.

(6) Be in continuous communication with each other in cases where the commission requires one of them to ride in the starting gate behind the horses for the purpose of patrolling the race. In such case, the judge assigned to the starting gate shall maintain continuous communication with a judge assigned to the judges’ stand and perform all duties described in rule (n) of this section.

(7) Cause to have the objection and/or inquiry sign posted on the odds board in the case of a complaint or possible rule violation, and immediately notify the announcer of the objection and of the horse or horses involved as soon as the judges have made a decision, the objection sign shall be removed, the correct placing displayed, and the “official” sign flashed. In all instances, the judges shall post the order of finish and the official sign as soon as they have made their decision.

(8) Display the photo sign if the order of finish among the contending horses is less than a half-length or a contending horse is on a break at the finish. The judges shall examine the photo and after a decision is made, a copy or copies shall be made, checked by the presiding

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judge, and posted for public inspection. In the event of failure of photo finish equipment and/or service, or if a distorted, deceptive or otherwise inadequate picture is developed, the judges shall decide the order of finish and such decision shall be final.

(9) Sign the judges' book after each race, verifying the correctness of the record by the clerk of the course.

(n) Duties of the patrol judges.

(1) The patrol judges shall observe all activity on the racetrack at all times during the racing program. There shall be not less than two patrol judges except in cases where a patrol judge is stationed in the starting gate. They shall immediately report to the presiding judge:

(A) Any action on the track which could improperly affect the result of the race.

(B) Every violation of the racing rules.

(C) Every violation of the rules of decorum.

(D) The lameness or unfitness of any horse.

(E) Any lack of proper racing equipment.

(2) The patrol judges shall:

(A) Be in constant telephonic or radio communication with the judges during the course of every race and shall immediately advise the judges of every rule violation, improper act or unusual happening which occurs at their stations.

(B) Submit individual daily reports of their observations of the racing to the presiding judge.

(C) When directed by the presiding judge, attend hearings or inquiries on violations and testify thereat under oath.

(o) Absence of officials.

(1) Deputy and temporary judges.

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

(B) Deputy judges may also be licensed as an official who is employed by the association but must have a license to act as a deputy judge.

(2) Emergency substitute.

(A) When vacancies occur among the officials, other than the judges, and the association has not notified the judges prior to the time fixed for the first race of the day that it has been

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filled, the judges shall fill such vacancy immediately, said appointment to stand for the day only.

(B) Should the vacancy occur after the racing for the day has started, the judges 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 judges of their action one hour before the time fixed for the first race.

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

(3) Notice of such appointments shall be given immediately to the United States trotting association.

(p) Starter.

(1) The starter must hold a starter's license for the current year issued by the United States trotting association. The starter shall be under the jurisdiction of the presiding judge at all times.

(2) The starter shall be in the starting gate fifteen (15) minutes before the first race. He shall have control over the horses and subject to the commission rules concerning "Rules of Practice and Hearing Procedures", have authority to penalize drivers with the approval of the presiding judge, for any violation of the rules from the formation of the parade until the word "go" is given. He shall report violations of the rules, giving detailed information. He shall notify the judges and the drivers of penalties imposed by him. The starter shall submit daily the tape from the device disclosing the speed of the gate for each race to the presiding judge. An assistant starter, approved and licensed by the commission, may be employed when an association, with the approval of the commission, deems it necessary.

(q) Duties of the clerk of the course. The clerk of the course shall:

(1) Maintain all official race summaries, records, suspensions and fines; shall prepare and serve all notices relating thereto and provide daily copies thereof to the commission, the association, and to the United States trotting association.

(2) At the request of the judges assist in drawing positions.

(3) Keep the judges' book and record legibly therein:

(A) All horses entered and their eligibility numbers.

(B) Names of owners and drivers and drivers' license numbers.

(C) A record of each heat, giving the position of the horse at the finish.

(D) Drawn or ruled out horses.

(E) Time in minutes, seconds and fifths of seconds.

(4) Check eligibility certificates before the race, and after the race enter all information provided for thereon, including the horse's position in the race as it was charted.

(5) Record all protests, fines, penalties and appeals forms provided by the presiding judge, and see that the judges' book is properly signed.

(6) Forward the judges' book from all extended parimutuel meetings the day following each racing day.

(7) Notify owners and drivers of penalties assessed by the officials and post a copy of

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such notice in the racing secretary's office.

(8) Upon request, assist judges in placing horses.

(9) After the race, return the eligibility certificate to the race secretary or his representative.

(10) Check all drivers' licenses and advise program director of fines and suspensions listed thereon and whether such license is a limited one.

(r) **Duties of timers.** At each race or performance against time there shall be at least one timer in the judges' or timers' stand. He shall sign the judges' book for each race or performance against time verifying the correctness of the record. All times shall be announced and recorded in fifths of seconds. An electronic timing device, approved by the commission, must be used. If, at any time, the electronic timing device should fail, the decision of the timer as to the time of the heat or dash shall be official. The timer shall be in the stand fifteen (15) minutes before the first heat or dash is to be contested. He shall start his watch when the first horse leaves the point from which the distance of the race is measured. The time of the leading horse at the quarter, half, three-quarters, and the finish shall be taken. If odd distances are raced, the fractions shall be noted accordingly.

(s) **Duties of the paddock judge.** Under the direction and supervision of the presiding judge, the paddock judge shall have complete charge of all paddock activities as outlined in rule (k) of section 12-574-B23. The paddock judge shall:

(1) See that the horses in the race are on the track for post parades in accordance with the schedule given to him by the presiding judge.

(2) Inspect horses for changes in equipment, broken or faulty equipment, head numbers and saddle pads.

(3) Supervise paddock gate men.

(4) Check horses and drivers in and out of the gate.

(5) Direct the activities of the paddock blacksmith.

(6) Immediately notify the presiding judge of anything that could in any incident change, delay or otherwise affect the racing program.

(7) See that only properly authorized persons are permitted in the paddock.

(8) Supervise the identification of horses in the race.

(9) Notify the presiding judge of any change of racing equipment or shoes before the race.

(10) Inspect and supervise the maintenance of all emergency equipment kept in the paddock.

(11) Notify judges of the reason for any horse returning to the paddock after having entered the track for the post parade and before the start of the race.

(12) Notify judges of all trainers and grooms who leave the paddock in an emergency.

(13) Supervise and maintain cleanliness of paddock.

(14) Supervise the conduct of all persons in the paddock.

(15) The paddock judge will report any cruelty to any horse that he observes to the presiding judge.

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(t) **Program director.** Each association shall designate a program director. It shall be the responsibility of the program director to furnish the public complete and accurate past performance information as required by rule (b) of section 12-574-B25.

(u) **Duties of race secretary.** The race secretary of each association must be licensed and approved by the commission and it shall be the duty of the race secretary to:

(1) Receive and keep safe the eligibility certificates of all horses competing at the racetrack or stabled on the grounds owned or cared for by the association and to return same to the owner of a horse or his representative upon their departure from the grounds.

(2) Be familiar with the age, class, and competitive ability of all horses racing at the track.

(3) Classify and reclassify horses in accordance with the rules.

(4) Twist horses in the classes for which they qualify and to cause such lists to be kept current and to be properly displayed in the room in which the declaration box is located for examination by horsemen and others.

(5) Write conditions and to schedule the daily racing programs to be presented at the racetrack and to post same not less than eighteen (18) hours before declarations close.

(6) Provide for the listing of horses in the daily program; to examine all entry blanks and declarations; to verify all information set forth therein; to select the horses to start and the also eligible horses from the declarations in accordance with the rules governing these functions.

(7) Examine nominations and declarations in early closing events, late closing, and stake events; verify the eligibility of all declarations and nominations, and to compile lists thereof for publication.

(8) Establish standards for horses. The standards shall be posted at a place in which declarations are made and printed on all conditions and qualifying books.

(v) **Commission veterinarian.**

(1) The commission shall appoint a duly licensed veterinarian at each association track who shall be known as the commission veterinarian. His compensation shall be fixed and paid by the commission.

(2) Association veterinarian. Each association shall employ a duly licensed veterinarian who shall be known as the association veterinarian. The association veterinarian shall be compensated by the association at whose track his services are rendered. It shall be the duty of the association veterinarian to:

(A) Supervise the inspection and examination of every horse when first entered in a race meeting in the state, and to make a report of such examination to the presiding judge of the meeting.

(B) Examine such horses as the presiding judge may request and shall report the findings of such examination to the presiding judge.

(C) Reexamine and approve for release from the steward's list all horses that have been placed thereon for being lame, sick or injured, before they may be declared in to race again.

(D) Observe the training and warming up of the horses stabled at a licensed race meeting

and examine any horse which may appear ill or infirm, and report to the presiding judge.

(E) Observe the horses in the paddock and while warming up for the racing program; investigate into and examine such horses as appear to him, or are reported to him, to be ill or infirm. He shall report his findings to the presiding judge.

(F) Examine horses to be scratched from any race and certify that such horse is unfit to compete before it may be scratched. No horse, having been scratched from a race may enter a later race without the certificate of the association veterinarian that such horse has become fit to race.

(w) **Charter.** The charting of races shall be done only by a charter licensed by the United States trotting association. The charter shall be responsible for providing a complete and accurate chart.

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(a) **Display of license.** During the course of its race meetings, each association shall display the license issued by the commission for the current year.

(b) **Judges' stand.** The judges' stand shall be so located and constructed as to afford to the officials thereupon an unobstructed view of the entire track and no obstruction shall be permitted upon the track or the center field which shall obscure the judges' vision of any portion of the track during the race.

(c) **Bona fide contests.** All races shall be bona fide contests with the winner receiving the largest share of the purse and the balance of the purse distribution made according to the order of finish. No arrangement for equal distribution of the purse money among the contestants is permitted.

(d) **Default in payment of purses.**

(1) Any association or officer that defaults in the payment of a purse that has been raced for, shall, together with its officers, be penalized. No deduction, voluntary or involuntary, may be made from any purse or stake or futurity other than for payments to be made to the owners, nominators, or breeders of money winning horses and organizational or promotion expenses stipulated for stakes and futurities.

(2) Other than a stake or futurity as covered in rule (d) (1) of this section, no association may enter into any agreement with any organization requiring a deduction from the purse payable to owners of money winning horses, unless such agreement provides that a deduction may be made only from those owners entitled to winnings who have expressly consented to the deduction.

(e) **Claims for unpaid purses.** A claim for an unpaid purse must be filed within sixty (60) days of the date of the race.

(f) **Indemnity by the association.** If, at a meeting of an association, a race is run which has been promoted by another party or parties, and the promoters thereof default in the payment of the amount raced for, the same liability shall attach to the association as if the race had been offered by such association.

(g) **Dishonored checks.** Where an association pays any purse by check, which upon presentation is dishonored, the matter shall immediately be referred to the commission.

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(h) **Racing for less than advertised purse.** When any association advertises minimum purses and conducts any race for less than said advertised minimum without the prior approval of the commission, such association shall be assessed the difference between the advertised minimum and the lesser purse for which such race was conducted and the proceeds of such assessment shall be distributed among the money winning horses in proportion to their respective winnings.

(i) **Stall applications.** All stall applications shall be submitted to the presiding judge for approval prior to issuance or publication, and said application must contain the names of applicants approved for admission to the grounds, and all parties involved in the ownership or training of said horses, prior to their notification.

(j) **Awards.** Except as herein stated, no association shall advertise to pay or pay any awards other than to the owners, nominators, or breeders of money winning horses except that awards may be made to drivers of horses.

(k) **Paddock.**

(1) Horses must be in the paddock at the time prescribed by the presiding judge, but in any event not less than one hour prior to post time of the race in which the horse is to compete. Except for warm-up trips, no horse shall leave the paddock until called to the post.

(2) The persons entitled to admission to the paddock are as follows:

(A) Owners of horses competing on the date of the race and whose horses are in the paddock, subject to the provisions of rule (k) (3) of this section.

(B) Trainers, drivers, grooms and caretakers of horses competing on the day of the race and whose horses are in the paddock.

(C) Officials whose duties require their presence in the paddock.

(D) Such other persons as are authorized by the commission.

(3) Once admitted to the paddock, no driver, trainer, groom or caretaker shall leave the same, other than to warm-up said horse until such race, or races for which he was admitted is run. In the event of an emergency, trainers or grooms may leave the paddock, but only with the permission of the paddock judge in which case the paddock judge shall maintain a written record thereof. Such record shall be delivered to the presiding judge.

(4) No person except an owner, who has another horse racing in a later race, or an official, may return to the paddock until all races of that program shall have been completed.

(5) No more than two members of a registered stable shall be entitled to admission to the paddock on any racing day, except by permission of the paddock judge. If the driver of any horse is a member of a registered stable, he is excluded from this rule.

(6) During racing hours each association shall provide the services of a blacksmith within the paddock.

(7) During racing hours, each association shall provide suitable extra equipment as may be necessary for the conduct of racing to prevent unnecessary delay.

(8) The paddock shall be under the supervision of paddock judge at all times.

(9) Inspector and identifier. Every association shall employ an equipment inspector in the paddock who shall be responsible for maintaining a list of all equipment worn, including

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shoes, hopple-length, the tattoo number and such other identification methods that the commission shall require, for each horse racing at the meeting. Prior to each time a horse races, the equipment inspector shall identify the horse and shall compare the equipment actually being used on the horse with the approved equipment listed. Any discrepancies shall be reported immediately to the presiding judge. Where there is a major equipment change, the presiding judge shall have the public informed of such changes.

(10) The association shall provide the paddock judge with a list of its personnel eligible for admission to the paddock. The association shall keep a list of all persons entering and leaving the paddock on a form approved by the commission.

(11) Code of conduct while in the paddock:

(A) An owner shall not engage in conversation with a driver or trainer who is not employed by him for the owner's horse programmed to race the same day. A driver or trainer shall refuse to engage in conversation with any owner whom he is not representing in a race the same day.

(B) A driver or trainer shall not mark a program for anyone including his own owner.

(C) Owners, drivers and trainers shall so conduct themselves as to avoid creating any appearance or suggestion that would reflect adversely on the integrity of the race.

(12) **Recording conversation.** All telephone conversations into and from the paddock shall be recorded from the time pari-mutuel sales are begun until the last horse has left the paddock.

(13) **Test for alcoholic consumption.** Each track shall provide a device approved by the commission in the paddock capable of measuring the presence of alcohol by weight within the blood. The use of such device shall be under the supervision of the presiding judge and tests shall be administered to such licensees and officials at such times as directed by the presiding judge. Refusal to take such test shall constitute a violation of this section. The presence of .05 percent alcohol in the blood by weight as indicated by said device shall constitute alcoholic impairment. A licensee who is alcoholically impaired or who refuses to be tested shall not be permitted to perform his duties and may be fined or suspended. An official is alcoholically impaired or refuses to be tested shall not be assigned his duties and a report thereof shall be made immediately to the commission.

(l) **Photo finish, head number, saddle pads, starting gate.** At all associations, a photo finish, head numbers, saddle pads and a starting gate must be used.

(1) Photo finish equipment and/or service shall be of a type and quality approved by the commission.

(2) The judges shall determine the order of finish of every race run at association tracks with the aid of a photo finish service and/or equipment.

(m) **Interference with race officials.** No association shall interfere with the proper performance of the duties of any official.

(n) **Post parade from paddock.** Fifteen (15) minutes before the post time for a race, the paddock judge shall cause all horses entered in such race to be formed in a parade line. Such horses shall be attended by their drivers, unless specifically excused by the paddock

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judge. All horses in a race shall parade from the paddock upon the track and before the grandstand not later than five (5) minutes before post time. A horse failing to parade without being excused by the judges may be scratched from the race or its driver or trainer penalized. Drivers shall not engage in conversations during the post parade.

(o) **Statement of driver insurance.** Each association shall prominently display, in the racing secretary's office, a statement giving the name of the company with whom they carry driver insurance.

Sec. 12-574-B24. 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 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 of a drug, 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 judges. 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 judges 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 judges.

(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

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the racing condition of a horse in a race, shall, at the time of such prescribing or use, deliver to the judge 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 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 judges. 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 be scratched from the race.

(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 judges that any horse 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 finding of unsoundness of a horse to the judges.

(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 judges any decision to place a horse's name on the "veterinarians list."

(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 recur.

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

(7) The "veterinarians 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. They may order their removal and replacement if they see fit to do so. Should there be any circumstances in their use that indicates fraud, it shall be reported to the judges, who after an investigation, shall report all the facts to the commission for such action as it deems appropriate.

Sec. 12-574-B25. Identification of horses

(a) **Records.** No horse will be permitted to race at an association track without an eligibility certificate, issued for the current year by the United States trotting association and approved by the commission. Horses must race in the name of a bona fide owner or lessee.

(b) **Program information.**

(1) A printed program shall be available to the public at all meetings where purses are offered. All programs shall furnish the following information or such other information as the commission may determine from time to time:

- (A) Horse's name and sex.
- (B) Color and age.
- (C) Sire and dam.
- (D) Owner's name.
- (E) Driver's name and colors.
- (F) Trainer's name.
- (G) Type of race and horses.

In claiming races, the price for which the horse is entered to be claimed shall be indicated. If claimed, later programs shall indicate it.

(H) At least the last six (6) performances and accurate chart lines. (See rule (d)(4) of section 12-574-B34). An accurate chart line shall include: date of race, place, size of track if other than half-mile, symbol for free-legged pacers, track condition, type of race, distance, the fractional time of the leading horse including race time, post position, position at $\frac{1}{4}$, $\frac{1}{2}$, $\frac{3}{4}$, stretch with lengths behind the leader, finish with lengths behind the leader, individual time of the horse, closing dollar odds, name of the driver, names of the horses placed first, second, and third by the judges. The standard symbol for breaks and park-outs shall be used where appropriate.

(I) Information indicating drivers racing with a provisional license.

(J) Information indicating pacers that are racing without hobbles.

(K) Summary of starts in purse races, best win time and earnings for the current and preceding year. For purpose of the summary, a horse's best win may be earned in either a purse or nonpurse race. It shall not, however, be earned in a time trial.

(L) On a separate page, the date of the association's annual license, the names of the commission members, the names of the officers and directors of the association and the names of the racing officials for the meeting.

(M) The speed ratings of every pari-mutuel harness racetrack.

(N) The commission rules covering the starting of horses and the breaking of horses.

(O) An explanation of qualifying races and official workouts.

(P) An explanation of the pari-mutuel daily double and multiple betting rules.

(Q) Information when a horse has not raced either in the current or preceding year at the gait he is entered for on the program, which shall contain the following:

Summary of his last year of racing at said gait which shall include his mark for that year,

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number of starts, number of times finishing first, second and third and money won; such information must be given even though he has competed in a qualifying event and will be continued until he has two starts in the current year.

(R) In the event that a trainer entrusts the training of a horse to an assistant trainer, the latter shall be listed as “trainer”, and the former as “stable trainer”.

(S) An official chart of the latest preceding night’s results available.

(i) Such charts shall indicate the average weather temperature for the racing program, and other factual information which may be deemed necessary by the commission from time to time.

(ii) Failure to furnish reliable program information may subject the association and/or program director to the penalties provided by these rules.

(iii) Owners, drivers, or others providing misleading or inaccurate information on a horse’s performance, or of attempting to have misleading information given on a program may be penalized.

(iv) Where non-betting races are to be held on the same day immediately before or after the regularly scheduled races and such races are scheduled before the programs are printed, the association shall make available to the public printed program information in the same manner and form as in the case of scheduled races where purses are offered.

(c) **Examination of horse or records.** Any association official, representative of this commission, representative of the United States trotting association, owner or driver, may call for information concerning the identity and eligibility of any horse on the grounds of an association and may demand an opportunity to examine such horse or his eligibility certificate with a view to establishing the horse’s identity or eligibility. No owner or party controlling such horse shall refuse to afford such information, or to allow such examination, or fail to give satisfactory identification.

(d) **Examination without cause or to embarrass.** No person shall demand the identification of a horse without cause or merely with the intent to embarrass a race.

(e) **Unlicensed charting.** No official, clerk or person shall enter a chart line on an eligibility certificate when the race has not been charted by a licensed charter.

(f) **Withholding eligibility certificate.** No eligibility certificate shall be withheld from the owner of a horse after proper demand has been made for its return.

(g) **Owners’ and/or trainers’ reports on ownership and control of horses.** Within seventy-two (72) hours after arrival at an association track, every owner and/or trainer shall file a list in the race secretary’s office, naming all horses under his ownership or control at such racetrack and a copy shall be filed with the presiding judge of such meeting. Upon the change of ownership or control of any horse as listed, the owner or trainer shall file immediately an amended statement with the race secretary, and a copy shall be filed with the presiding judge of such meeting.

(h) **Tattoo.** No horse shall be permitted to start in an extended pari-mutuel meeting that has not been tattooed, unless the permission of the presiding judge is obtained and arrangements are made to have the horse tattooed.

Sec. 12-574-B26. Drugs and medication

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

(1) If the judges 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 character as could affect the racing condition of the horse in such race, such judges 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 judges 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 judge. The presiding judge 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 that said horse is a part, until the judges 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 rule, the eligibility of other horses which ran in such race and which have started in a subsequent race before announcement of such disqualification shall not in any way be affected.

(e) Report use of drugs. Whichever 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 narcotics of the department of 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 invoked therein, the commission shall

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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 (h) of section 12-574-B40 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 these sections.

(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 judges 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 judges. Every association is required to use all reasonable efforts to prevent the violation of this rule. Every association, the commission and the judges, 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 judges shall find that any person has

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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 judges for the possession of a hypodermic syringe, hypodermic needle or other device as herein described shall be limited in duration as the judges 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 judges of a meeting in any other state or country shall have any validity in the state of Connecticut.

Sec. 12-574-B27. 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 commissioner, the judges, 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 paddock 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 judges 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 combination in any daily double, perfecta, quinella, trifecta and superfecta race shall be tested pursuant to this rule.

(e) **General testing.** The commission veterinarian or his assistants may also, when so

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directed by the judges, 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. Willful 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 judges 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, driver 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 of 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-B28. Owners, drivers, trainers and grooms

(a) **Application for driver's license.** Every driver at a race meeting shall be required to obtain a license from the commission. Such license shall be presented to the clerk of the course before driving.

(b) **Qualification for a driver's license.**

(1) In order to be licensed by this commission, a driver must have a current United States trotting association license, either provisional (p), restricted (v), or full drivers (a). In cases where drivers are provisional (p), it shall be noted on the program. In addition to any other requirements mentioned herein, a driver shall be required to submit evidence of an annual eye examination.

(2) In the event any person is involved in an accident on the track, the commission may, at any time in their discretion, require an examination.

(3) All penalties imposed on any driver will be recorded on the reverse side of both his United States trotting association and commission driver's license by the presiding judge.

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(c) **Trainer's license.** A trainer to be licensed must submit a current United States trotting association trainer's license. All other requirements will be in accordance with the United States trotting association rules for a trainer's license.

(d) **Grooms, application for license.** An applicant for a license as a groom must satisfy the commission that he possesses the necessary qualifications, both mental and physical, to perform the duties required. Elements to be considered, among others, shall be character, reputation, temperament, experience, knowledge of the rules of racing and of the duties of a groom.

(e) **Suspension or revocation of drivers', trainers', or grooms' licenses.** The license of any driver, trainer or groom may be suspended, revoked, or a money fine may be imposed, at any time for:

- (1) Failure to obey the instructions of a racing official.
- (2) Failure to drive in a race when programmed, unless excused by the presiding judge.
- (3) Consumption of intoxicating beverages within four (4) hours of the first post time of the program on which he is carded to drive.
- (4) Appearing in the paddock in an unfit condition to perform his duties.
- (5) Fighting.
- (6) Assault upon any other person.
- (7) Offensive or profane language.
- (8) Smoking while on the racetrack in silks and during actual racing hours.
- (9) Warming up a horse without silks at any time after the admission gates are open.
- (10) Disturbing the peace.
- (11) Refusal to take a breath analyzer test when directed by the presiding judge.
- (12) Refusal, when requested by the commission, to submit evidence of his ability to perform the duties for which he is licensed, and/or to submit to a physical examination.
- (13) Failure to participate in post parade, unless specifically excused by the presiding judge.
- (14) Any other act or conduct detrimental to the sport.
- (15) Violation of any rule of the commission.
- (16) Falsifying or misrepresenting answers on the application for license.
- (17) Taking a foot out of the stirrup at any time the sulky is on the race course.
- (18) Suspension or revocation of a driver's or trainer's license by the United States trotting association.

(f) **Reinstatement of license of drivers, trainers and grooms.** A license may be reinstated by the commission, in its discretion, upon application and upon such terms as the commission may prescribe.

(g) **Required time drivers should be present in paddock prior to race.** Drivers shall be in the paddock at least one hour before post time for the races in which they are scheduled to drive.

(h) **Breath analyzer test.** Drivers, trainers and grooms shall submit to a breath analyzer test as pursuant to rule (k) (13) of section 12-574-B23.

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(i) **Colors.** To be properly attired, drivers must wear registered colors and white driving pants.

(1) No driver or trainer shall be allowed to drive in any race or public performance, or to otherwise appear on the racetrack during racing program unless wearing his own or his owner's registered colors. No driver may appear in colors registered in the name of another, without the special permission of the presiding judge.

(2) No driver shall be permitted to start in a race or other public performance unless in the opinion of the judges he is properly attired.

(3) When drivers are participating in races in inclement weather, they shall wear rain suits of their registered colors, or rain suits made of a transparent material through which their colors may be distinguished. Those drivers not complying with these requirements must race in their regular colors.

(4) No driver wearing colors shall appear at a betting window, grandstand or clubhouse, or at a bar in a restaurant dispensing alcoholic beverages.

(j) **Safety helmets.** No driver will be permitted to drive in a race unless he is wearing a protective safety helmet of a type satisfactory to the commission and constructed with a hard shell and containing adequate padding and an adequate chin strap in place.

(k) **Drivers' meeting.** Before the first race at any meeting is contested the racing officials and drivers shall meet at a time and place to be designated by the presiding judge. Notice of the time and place of such meeting shall be published on the bulletin board in the office of the race secretary at least forty-eight (48) hours prior to the meeting, and shall be announced over the public address system one (1) hour prior to the meeting.

(1) The officials will announce any special rules affecting the race meeting and shall explain any of the special rules as shall be requested. These special rules shall be posted on the bulletin board in the office of the race secretary at the conclusion of such meeting as specified in rule (k) of this section. It is the driver's responsibility to be familiar with these special rules. Any driver failing to attend such meeting as specified in rule (k) of this section, after being duly notified, may be penalized.

(2) No driver shall be permitted to drive unless he has attended such meetings as specified in rule (k) of this section, or has met with the officials. It shall be the driver's duty to request a meeting with the presiding judge or an associate judge if he has not attended such meeting as specified in rule (k) of this section. Upon such request, it shall be incumbent upon the presiding judge or an associate judge to explain these special rules.

(l) **Removal and substitution of drivers.** If the judges believe a driver is unfit or incompetent to drive, or if he refuses to comply with the direction of the judges, or is reckless or unmannerly in his conduct, he may be removed and penalized and another driver may be substituted at any time. Compensation of such substitute driver may be fixed at the discretion of the judges.

(m) **Owners. Application for license.** Every owner desiring to enter a harness horse at a race meeting shall be required to obtain a license from the commission. Such application shall be on forms provided by the commission.

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(n) **Qualifications for owner's license.** Every applicant for a license as an owner in addition to any other requirements mentioned herein shall:

- (1) Be at least eighteen (18) years of age.
- (2) Submit evidence of good moral character.
- (3) Furnish a completed application form.
- (4) Where a horse is owned jointly by two or more parties, all parties must comply with rule (n), (1), (2) and (3) of this section.

(5) Where a horse is owned in whole or in part by a corporation, all officers and directors must comply with rule (n), (1), (2) and (3) of this section. In addition, all shareholders must comply with rule (n), (1), (2) and (3) of this section, unless such requirements are expressly waived by the commission.

(6) No corporation or partnership or registered stable of more than ten (10) persons formed after April 1, 1962, shall be allowed either to race or to lease horses for racing purposes except as provided in rule (k) (1) of section 12-574-B9.

(o) **Suspension or revocation of owners' licenses.** The license of any owner may be suspended, revoked, or a money fine may be imposed for:

- (1) Failure to obey the instructions of a racing official.
- (2) Failure to race his horse when programmed, unless excused by the presiding judge.
- (3) Misconduct or acts detrimental to the sport.
- (4) Violation of any rule of the commission.
- (5) Falsifying or misrepresenting answers on an application for an owner's license.

(p) **Reinstatement of owner's license.** A license may be reinstated by the commission, in its discretion, upon application and upon such terms as the commission may prescribe.

(q) **Trainer's duty regarding racing of horses.** A trainer is responsible for the timely attendance of his horse or horses when they are being raced, and he shall attend his horse in the paddock to supervise the preparation of such horse when it is programmed to race.

(r) **Absence of trainer, notice, substitute trainer.** If any licensed trainer is to be absent from the track where employed, the presiding judge shall be immediately notified in writing and at that time a licensed substitute trainer, acceptable to the presiding judge, shall be appointed to assume responsibility for the horse or horses racing during the absence of the regular trainer. The name of the substitute trainer shall appear on the program if possible. The presiding judge shall be advised immediately when the regular trainer is present and resumes his duties.

(s) **Stable roster requirements.** Each employer of grooms at a racetrack is required to submit to the commission office, a stable roster stating the name of each employee and license number. He shall inform the commission immediately of any changes. If any employer does not comply with this requirement, a fine may be imposed against him.

(t) **Ownership of horses, prohibited.** An association including any individual owner, corporate owner and officers, directors and stockholders thereof shall not be permitted to race any horse owned by them at the track operated by that association.

Sec. 12-574-B29. Eligibility and classification

(a) **Registration of ownership.** All horses shall be registered in current ownership either as standard or non-standard with the United States trotting association and the owner or owners shall upon request of the commission or its authorized representatives, produce a valid registration certificate issued by the United States trotting association.

(b) **Issuance of eligibility certificate.**

(1) An eligibility certificate shall be issued only to an active member of the United States trotting association in good standing and shall not be issued to an owner or horse under penalty except as provided in United States trotting association rules and regulations.

(2) Eligibility certificates of corporations shall likewise be obtained in accordance with rules of the United States trotting association.

(c) **Classified races.** (1) Classification by racing secretary. The racing secretary, according to his judgment, shall assign horses eligible for classification by gait to not more than the following classes based upon ability as demonstrated by past performances: ffa (free-for-all), jfa (junior-free-for-all), aa, a, b, c, d, and where feasible, into not more than three subclasses designated by number within classes aa, a, b, c, and d. Such assignment shall be made when a horse is first accepted for racing at the track and all such assignments and changes thereof shall be posted in the declaration room.

(d) **Sale or lease of horse, endorsements.** When a horse is sold or leased after an eligibility certificate is issued for the current year, the seller or his authorized agent in writing shall endorse the eligibility certificate to the new owner or lessee who may use it, providing that he immediately sends the registration certificate for transfer or a copy of the lease to the United States trotting association. If the eligibility certificate is not endorsed to him, the new owner or lessee must apply to the United States trotting association for an eligibility certificate.

(e) **Information where horses are raced at Canadian tracks.** Owners of horses who have raced at Canadian tracks not in membership with the United States trotting association shall, prior to declaration, furnish the race secretary either an eligibility certificate issued by the United States trotting association or a Canadian eligibility certificate which has been validated by the United States trotting association. In either instance, the eligibility certificate shall be completely filled out for the current year.

(f) **Tampering with eligibility certificates.** No person shall tamper with eligibility certificates. Any winnings may be forfeited and the offending party may be fined and/or suspended if found in violation of this rule.

(g) **Corrections on eligibility certificates.** Corrections on said certificates may be made only by one of the judges, the commission or a representative of the United States trotting association. Persons making corrections shall sign their initials and date thereon.

(h) **Eligibility certificates from foreign countries other than Canada.** No eligibility certificate will be considered valid on a horse coming from a country other than Canada unless the following information, certified by the United States trotting association or governing body of that country from which the horse comes is furnished:

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(1) The number of starts during the preceding year, together with the number of firsts, seconds and thirds for each horse, and the total amount of money won during the period.

(2) The number of races in which the horse has started during the current year, together with the number of firsts, seconds and thirds for each horse and the money won during this period.

(3) A detailed list of the last six starts giving the date, place, track condition, post position or handicap, if it was a handicap race, distance of the race, his position at the finish, the time of the race, the driver's name, and the first three horses in the race.

(i) **Loss or destruction of eligibility certificate.** In the event of loss or destruction of an eligibility certificate, a replacement certificate must be secured from the United States trotting association.

(j) **Telephonic declarations.** No horse shall be declared to race except as hereinafter stated without first having an eligibility certificate placed on file with the race secretary. Telephonic declarations may be sent and accepted in accordance with rule (a) of section 12-574-B34 of these rules, without penalty provided the declarer furnishes adequate program information, but the eligibility certificate must be presented when the horse arrives at the track and before he races. The racing secretary shall check each certificate and certify to the judges as to the eligibility of all the horses.

(k) **Eligibility.** For purposes of eligibility, a racing season or racing years shall be the calendar year. In recording winnings, gross winnings will be used and odd cents will be dropped and disregarded.

(l) **Date eligibility determined.** Horses must be eligible when entries close, but winnings on the closing date of eligibility shall not be considered.

(m) **Conflicting conditions.** In the event there are conflicting published conditions and neither is withdrawn, the more favorable to the nominator shall govern.

(n) **Standard for overnight events.** The race secretary shall prescribe standards to determine whether a horse is qualified to race in overnight events at a meeting.

(o) **Posting of overnight conditions.** Condition books containing at least three (3) days racing program shall be available to horsemen at least twenty-four (24) hours prior to taking declarations on races contained therein. Conditions for overnight events must be posted at least eighteen (18) hours before entries close. Substituted conditioned races may be used only when regularly scheduled races fail to fill.

(p) **Types of races to be offered.** In presenting a program of racing, the race secretary shall use exclusively the following types of races:

- (1) Stakes and futurities.
- (2) Early closing and late closing events.
- (3) Conditioned races.
- (4) Classified races.
- (5) Claiming races.

(6) Preferred races limited to the fastest horses at the meeting. These may be free-for-all races, junior free-for-all or invitationals. Horses to be used in such races shall be posted in

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the race secretary's office and listed with the presiding judge. Horses so listed shall not be eligible for conditioned overnight races unless the conditions specifically include horses on the preferred list. Twelve (12) such races may be conducted during a six (6) day period of racing at tracks distributing more than \$100,000 in overnight purses during such period and not more than ten (10) such races shall be conducted at other tracks during a six (6) day period of racing, provided that at least two (2) of these races are for three-year-olds, four-year-olds, or combined three and four-year-olds. At tracks which race less than five (5) days per week, not more than ten (10) such races may be conducted during a six (6) day period. Purses offered for such races shall be at least fifteen (15) percent (%) higher than the highest purse offered for a condition race programmed the same racing week. No two-year-old or three-year-old will be eligible to be placed on the preferred or invitational list to race against older horses until it has won seven (7) races unless requested by the owner or authorized agent. The owner or authorized agent may withdraw such request at his discretion.

(q) **Limitation on conditions.** Conditions shall not be written in such a way that any horse is deprived of an opportunity to race in normal preference cycle. Where the word "preferred" is used in a condition it shall not supersede date preference. Not more than three (3) "also eligible" conditions shall be used in writing the conditions of any overnight event.

(r) **Preference.** Preference shall be given in all overnight events according to a horse's last previous purse race during the current year. The preference date on a horse that has drawn to race and been scratched is the date of the race from which he was scratched. When a horse is racing for the first time in the current year, the date of the first declaration shall be considered its last race date, and preference applied accordingly.

(s) **Dashes and heats.** Any dash or any heat shall be considered as a separate race for the purposes of conditioned racing.

(t) **Named races.** Named races are not permitted except for preferred races for the fastest horses at a meeting as set forth in rule (p) (6) of this section, and invitational two or three-year-old races with a purse at least fifteen (15) percent (%) higher than the highest purse offered for a conditioned race programmed the same racing week.

(u) **Selection or drawing of horses.** For all overnight events, starters and "also eligibles" shall be drawn by lot from those properly declared in, except that a race secretary must establish a preference system for races as provided for in rule (e) of section 12-574-B34. However, where necessary to fill a card, not more than one (1) race per day may be divided into not more than two (2) divisions after preference has been applied and the divisions may be selected by the race secretary.

(v) **Posting requirements.** Names of all horses shall be posted by gait with the following information:

- (1) Lifetime winnings.
- (2) Season's winnings.
- (3) Winnings at the meeting.
- (4) Wins during the season.
- (5) Age, gait and sex.

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(6) Previous year's earnings.

(7) Date of last win.

There shall be a separate posting of two, three and four-year-olds.

(w) **Rejection of declaration.**

(1) The race secretary may reject the declaration on any horse whose eligibility certificate was not in his possession on the date the condition book is published.

(2) The race secretary may reject the declaration on any horse whose past performance indicates that he would be below the competitive level of other horses declared, provided the rejection does not result in a race being cancelled. Before doing so, and before post positions for the race have been drawn, the owner or trainer of such horse or horses shall be duly advised of the action about to be taken.

(x) **Substitute and divided races.** Substitute races may be provided for each day's program and shall be so designated. A substitute race or a race divided into two (2) divisions shall be used if regularly scheduled races fail to fill. The practice of carrying races to the next day's program should be avoided.

(y) **Opportunities to race.** A fair and reasonable racing opportunity shall be afforded both trotters and pacers in reasonable proportion from those available and qualified to race. Not more than fifty (50) percent (%) of any week's racing program shall be claiming races.

(z) **Qualifying races.** A horse winning a qualifying race shall not be deprived by reason of such performance of his right to start in an event limited to maidens.

(aa) **Horses prohibited from racing.** No employee or officer engaged in the active management of an association or a member of his immediate family shall race, or permit, or cause to be raced, any horse in which he has any interest, either direct or indirect, at any meeting conducted by that association.

Sec. 12-574-B30. Claiming races

(a) **Claiming procedures are as follows:**

(1) Who may claim. An owner who has declared a horse programmed to start in a purse race at that meeting. An authorized agent may claim for a qualified owner provided such authorization is in writing.

(2) No person shall claim his own horse, directly or indirectly, nor shall he claim a horse trained or driven by him or shall he claim more than one (1) horse in a race.

(3) No qualified owner or his agent shall claim a horse for another person. The judges may require any person making a claim for a horse to execute an affidavit stating that he is claiming said horse for his own account or as authorized agent and not for any other person.

(4) Any entry in a claiming race cannot declare for a subsequent race until after the claiming race has been contested.

(5) The owner must have to his credit with the association offering the race an amount equivalent to the specified claiming price plus the existing Connecticut sales tax and requisite fees for transfer of registration.

(6) Any horse still officially programmed to start after designated scratch time is eligible to be claimed, even though said horse is scratched and does not start. The option to claim

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said horse shall rest with the successful claimant.

(7) No horse claimed shall start at any other track until thirty (30) days have elapsed or the meeting has closed, whichever occurs first. The racing secretary may waive this rule at his discretion.

(8) The claiming price shall be printed on the program, and all claims shall be for the amount so designated. Should more than one claim be filed for the same horse, the successful claimant shall be determined by lot by the judges.

(9) All claims shall be in writing on forms and in envelopes provided by the association, sealed and deposited at least fifteen (15) minutes before post time of the race in a locked box provided for this purpose by the clerk of the course.

(10) The association shall provide an automatic time clock which shall be used to stamp the time the claim is filed in the box upon the envelope containing the claim.

(11) The claim box shall be opened and the claims, if any, examined by the judges. The association shall provide for an agent who shall deliver the claim box to the judges' stand. The association auditor, or his agent, shall be prepared to state whether the claimant has to his credit, with the association, the amount equivalent to the specified claiming price.

(12) A horse claimed, with his halter, shall be delivered immediately by the original owner or his agent to the successful claimant upon authorization by the presiding judge. Any tampering with the shoeing on any horse so claimed shall be considered a violation of this rule. Every horse claimed shall race in the interest and for the account of the owner who declares it in the race, but title to the claimed horse shall be vested in the successful claimant from the word "go", and said successful claimant shall become the owner of the horse, whether it be alive or dead, sound or unsound, or injured during the race or after it.

(13) The current registration certificate of all horses entered in claiming races must be on file with the racing secretary together with a separate claiming authorization form signed by the registered owner or owners and indicating the minimum amount for which the horse may be entered to be claimed. To facilitate transfer of claimed horses the presiding judge may sign the transfer providing that he then send the registration certificate and claiming authorization to the United States trotting association registrar for transfer.

(14) A horse claimed shall not remain in the same stable or under the care or management of its original owner or trainer or anyone connected therewith until thirty (30) days have elapsed unless it is subsequently claimed out of another race.

(15) No person shall offer, or enter into an agreement, to claim or not to claim, or attempt to prevent another person from claiming, any horse in a claiming race.

(16) No person shall refuse to deliver a horse legally claimed out of a claiming race.

(17) No person shall enter a horse against which there is a mortgage, bill of sale, or lien of any kind, unless the written consent of the holder of the lien shall be filed with the clerk of the course of the association conducting such claiming race.

(18) Whenever possible, claiming races shall be written to separate horses five (5) years old and up from young horses, and to separate males from females. If sexes are mixed, mares shall be given a price allowance.

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(19) If a horse is claimed, it shall not start in another claiming race until thirty (30) days have elapsed unless such horse is entered for a claiming price equal to or greater than the price at which it was claimed. The day following the date at which it was claimed shall be the first day.

(20) No person shall sell or otherwise transfer ownership of a horse accepted as an entry or an also eligible in a claiming race, until such claiming race has been completed.

(b) **Blood sample required where horse is claimed.** If claimant indicates on the claiming form that he desires a blood sample, a licensed veterinarian shall take a blood sample identified as being from the claimed horse. The sample shall be forwarded within twenty-four (24) hours to a laboratory approved by the commission to be tested for equine infectious anemia (coggins test).

(1) Coggins test. Pending the receipt of the result of a coggins test, the following procedure shall apply:

(A) The claimed horse shall remain upon the grounds of the association.

(B) The monies paid for the claimed horse shall be held by the association.

(C) The cost of the test is to be borne by the claimant if a negative test result, and by the original owner if a positive test result.

(D) If a positive coggins test:

(i) The ownership of the claimed horse shall revert to the original owner.

(ii) The claim monies shall be returned to the claimant.

(iii) Any subsequent purses earned by said claimed horse, pending the receipt of the result of the coggins test, shall go to the claimant.

Sec. 12-574-B31. Stakes and futurities

(a) **Stake and futurity sponsors.** All stake and futurity sponsors shall:

(1) Filing conditions. Annually file a copy of their conditions for approval with the commission, and with the United States trotting association.

(2) Bond. Maintain a performance bond in the amount of the fund until such time as the race is contested. A copy of said bond shall be furnished to the commission and the United States trotting association.

(3) Nomination list. Furnish a list of the nominations within thirty (30) days after the closing of such nominations to the commission and the United States trotting association.

(4) Financial statement. Furnish the commission and the United States trotting association an annual financial statement of each stake and futurity and, within thirty (30) days following the day of the race, submit to the commission and the United States trotting association a final financial statement.

(5) List of eligibles. Furnish within twenty (20) days following the last payment before the starting fee the complete list of all horses remaining eligible to the following: Owners of all eligible horses, the commission and the United States trotting association; together with a list of any nominations transferred or substituted if such is permitted by the conditions, and such other requirements as prescribed by the United States trotting association.

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(6) Nominating and sustaining payment dates. Set the nominating date and dates for all sustaining payments except the starting fee on the fifteenth (15th) day of the month. No sustaining payment for the two-year-olds' races shall fall due prior to January 15th of the year to be raced.

(7) Notice of place and date of race. Announce the place and date of the stake or futurity as soon as racing dates for the year are allocated by the commission and before taking sustaining payments. The commission must approve changes in announced dates.

(8) Forms. All nominations and entry forms, list of nominators and lists of eligibles shall be on a standard 8½ x 11" paper. Such lists shall designate the owners alphabetically.

(9) Estimated purse. No estimated purse shall be advertised or published which is in excess of the actual purse paid or distributed during the previous year unless increased by guaranteed added money.

(10) Sponsor's contribution. No stake or futurity shall be approved for extended pari-mutuel meetings if the added money is not at least thirty (30) percent (%) of the purse.

(b) **Failure to make payments.** Failure to make any payment required by the conditions shall constitute an automatic withdrawal from the event.

(c) **Failure to fill.** All stake and futurity sponsors shall notify all nominators, the commission and the United States trotting association within twenty (20) days following the last payment before the starting fee if the stake or futurity does not fill.

(d) **Refund of nomination fees for futurities.** In the event that a mare nominated to a futurity proves to be barren or fails to have a live foal the nominator may receive a return of his payment, providing such return is called for in the conditions of the futurity.

Sec. 12-574-B32. Entries

(a) **Form of entry.** All entries must:

(1) Be made in writing on forms approved by the commission.

(2) Be signed by the owner or his authorized agent in writing, except as provided in rule (a) of section 12-574-B34, of these rules.

(3) Furnish the name, commission license number and address of the owner and the agent, or the lessee, or the registered stable name.

(4) Furnish the name, color, sex, age, sire and dam of the horse.

(5) Name the event or events in which the horse is to be entered.

(6) Entries in overnight events must also comply with the provisions of rule (a) of section 12-574-B34, of these rules.

(7) Furnish the name, commission license number and registered racing colors of the driver.

(8) Furnish the name and commission license number of the trainer.

(9) State if pacer is free legged or hopped.

(b) **Entries and sustaining payments in early closing events, late closing events, stakes and futurities.** All entries or payments not actually received at the hour of closing shall be ineligible, except entries and payments by letter bearing a postmark not later than the following day (omitting Sunday) or entries notified by telegraph. Where a telegram is

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used, it must actually be received at the office of sending at or before the hour of closing. Such telegrams must state the color, sex, and name of the horse, the class to be entered, name and residence of the owner and the party making the entry. Whenever an entry or payment becomes due on a Sunday or a legal holiday that falls on Saturday, such entry or payment is to be due on the following Monday and if made by mail, must be postmarked on or before the following Tuesday. If an entry or payment falls on a Monday that is a legal holiday, such entry or payment is due on Tuesday, and if made by mail, must be postmarked on or before the following Wednesday.

(c) **Void entries.** All entries and payments not governed by published conditions shall be void. Proposed deviation from such published conditions is prohibited. No nominator shall be allowed privileges not in accordance with published conditions of the race or which are in conflict with these rules.

(d) **Nominator's guarantee.** A nominator is required to guarantee the identity and eligibility of his entries and declarations and if given incorrectly, he shall be deemed guilty of a violation of these rules. A person obtaining a purse or money through fraud or error shall surrender or pay the same to the association conducting the meeting and such purse or money shall be awarded to the party justly entitled to the same. Where, however, any horse is ineligible as a result of an error of the race secretary, the association shall reimburse the owner for the resultant loss of winnings.

(e) **Transfer to eligible event.** A horse entered in an event to which it is ineligible may be transferred to any event to which it is eligible at the same gait.

(f) **Withholding of purse.** An association shall be warranted in withholding the premium or purse of any horse without a formal protest if it shall receive information that the entry or declaration of any horse was fraudulent or that the horse was ineligible. Such premium shall be withheld by the association pending a decision of the commission concerning such fraud or ineligibility.

(g) **Death.** All engagements shall be void upon the decease of either owner or horse, prior to the starting of the race, so far as they shall affect the deceased party or horse, except when assumed by the estate or where the proprietorship is in more than one person, and any survive.

(h) **Early closing events and late closing races.**

(1) Place and date. The sponsor shall state the place and date the event will be raced and no change in date, program events or conditions can be made after the nominations have been taken.

(2) File conditions. An entry blank shall be filed with the commission and the United States trotting association.

(3) Payments on the fifteenth (15th) of the month. All nominations and payments other than starting fees in early closing events shall be advertised to fall on the fifteenth (15th) day of the month.

(4) List of nominations. A complete list of nominations to any early closing or late closing race event shall be published within twenty (20) days after the date of closing and

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mailed to each nominator, the commission and the United States trotting association.

(5) Failure to fill. If the event does not fill, each nominator, the commission and the United States trotting association shall be notified within ten (10) days and refund of nomination fees shall accompany the notice to the nominators.

(6) Transfer provisions. Change of gait. Unless an association submits its early closing conditions to the commission and to the United States trotting association at least thirty (30) days prior to the first publication and has such conditions approved by the commission, the following provisions will govern transfers in the event of a change of gait:

(A) If conditions published for early closing events allow transfer for change of gait, such transfer shall be to the slowest class for which the horse is eligible at the adopted gait.

(B) Eligibility is to be determined at time of closing of entries and the race to which transfer may be made must be the one nearest the date of the event originally entered.

(C) Two-year-olds, three-year-olds, or four-year-olds entered in classes for their age may only transfer to classes for the same age group at the adopted gait to the race nearest the date of the event originally entered. Entry fees shall be adjusted.

(i) **Withdrawals.** Where subsequent payments are required, a complete list of those withdrawn or declared out shall be made within fifteen (15) days after payment was due and the list filed with the commission and the United States trotting association and mailed to every nominator.

(j) **Trust funds.** All fees paid in added money events, early closing events, stakes and futurities shall be segregated and held as trust funds until the event is contested. Proof of such segregation by bank letter or bank statement shall be submitted to the commission, if requested.

(k) **Stabling.** Horses nominated and eligible to start in early or late closing events, stakes or futurities shall be provided stable space on the grounds of the association, the day before, the day of and the day after such race.

(l) **Limitations on conditions.** Conditions of early closing or late closing events that will eliminate horses nominated or add horses that have not been nominated by reason of the performance of such horses at an earlier meeting held the same season are invalid. Early closing events and late closing events shall not have more than two also eligible conditions.

(m) **Proportion of entry fees to purse.** When entry fees exceed eighty-five percent (85%) of the advertised purse value, such excess entry fees shall be added to the purse. Where the race is split into divisions, each division shall have a purse value of not less than seventy-five percent (75%) of the adjusted advertised purse. However, entry fees in excess of the amount prescribed above may be used toward the amount that must be added. In all cases the sponsor shall add at least fifteen percent (15%) of the entry fees to the advertised purse.

Sec. 12-574-B33. Entries and starters required, split races

(a) **Entries to be specified in overnight events.** An association must specify how many entries are required for overnight events and after the condition is fulfilled, the event must be contested except when declared off as provided for in section 12-574-B35 of these rules.

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(b) **When race must be contested.** In early closing events or late closing events, if five (5) or more separate interests are declared in to start, the race must be contested except when declared off as provided in section 12-574-B35 of these rules. Stakes and futurities must be raced if one or more horses are declared in to start except when declared off as provided in section 12-574-B35 of these rules.

(c) **Entrance monies.** In an early closing event, if less horses are declared in than are required to start and all declarers are immediately so notified, the horse or horses declared in and ready to race shall be entitled to all of the entrance money and forfeits from each horse named.

(d) **Elimination heats or two divisions.**

(1) In any race where the number of horses declared in to start exceeds twelve (12), the race may at the option of the association be raced in elimination heats or divisions. The association exercising such option, however, must do so before positions are drawn. In the event a stake or futurity is split into divisions, the added money for each division shall be at least twenty percent (20%) of all nomination, sustaining and starting fees paid into such stake or futurity.

(2) Where the race is an early closing or a late closing event, the race may be divided by lot and at least fifty percent (50%) added to the advertised purse and raced in two divisions; each division racing for one-half of the total increased purse as above provided. If three or more divisions are necessary, the track shall add an amount sufficient to allow each division to race for at least seventy-five percent (75%) of the purse originally advertised.

(3) In an added money early closing event or stake, the race may be divided and raced in divisions and each division raced for an equal share of the total purse if the advertised conditions so provide; provided, however, extended meetings shall add an additional amount so that each division will race for seventy-five percent (75%) of the advertised added money. These provisions shall apply to any stake with a value of \$20,000 or less.

(e) **Elimination plans.**

(1) Unless the conditions provide otherwise, whenever elimination heats are required or specified in the published conditions, such race shall be raced in the following manner unless conducted under another rule of this section. The field shall be divided by lot and the first division shall race a qualifying dash for thirty percent (30%) of the purse, the second division shall race a qualifying dash for thirty percent (30%) of the purse and the horses so qualified shall race in the main event for forty percent (40%) of the purse. The winner of the main event shall be the race winner.

(2) In the event there are more horses declared to start than can be accommodated by the two elimination dashes, there shall be added sufficient elimination dashes to satisfy the excess. The percentage of the purse raced for in each elimination dash shall be determined by dividing the number of elimination dashes into sixty (60). The main event shall race for forty percent (40%) of the purse. In the event there are three (3) or more qualifying dashes, not more than three (3) horses shall qualify for the final from each qualifying dash.

(3) If there are two (2) elimination heats, the first four (4) finishers in each division

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qualify for the final; if there are more than two (2) divisions, not more than three (3) horses from each division will qualify for the final.

(4) The judges shall draw the positions in which the horses are to start in the main event, i.e., they shall draw positions to determine which of the two dash winners shall have the pole and which one shall have the second position; which of the two horses that have been second shall start in third position and which in fourth, etc. All elimination dashes and the concluding heat must be programmed to be raced upon the same day or night unless special provisions for earlier elimination dashes are set forth in the conditions. In the event there are three separate heat or dash winners, and they alone come back in order to determine the race winner according to the conditions, they will take post positions according to the order of their finish in the previous heat or dash.

(f) **Overnight events.** No more than eight (8) horses shall be allowed to start in overnight events upon which there is pari-mutuel wagering except with the approval of the commission. No horse shall be entered in more than one event on the same program except where the conditions of the race provide that it shall be contested in two or more heats or dashes. Trailers may be permitted whenever nine (9) or more horses are allowed to start under this rule.

Sec. 12-574-B34. Declaration to start and drawing horses

(a) **Declaration.**

(1) Unless otherwise specified in the conditions, approval of which must be granted by the commission, the declaration time for all races shall be 9:00 A.M., prevailing time. The association shall provide a locked box with an aperture through which declarations shall be deposited. At the time specified, the presiding judge who shall be in charge thereof, shall unlock the box, assort the declarations found therein, and immediately draw the positions in the presence of such owners or their representatives as may appear.

(2) Prior to the opening of the declaration box, when futurities, stakes, early closing or late closing events are programmed, the presiding judge shall communicate with the race secretary to ascertain if any declarations by mail, telegraph or otherwise are in the office of the race secretary and not deposited in the box. If there are such declarations, the presiding judge shall see that they are declared and drawn in the proper event. However, in a race of a duration of more than one dash or heat, the judges may draw positions from the stands for succeeding dashes or heats.

(3) Declarations by mail or telegraph or telephone actually received and evidence of which is deposited in the box before the time specified to declare in, shall be drawn in the same manner as the others. Such drawing shall be final. When an association requires a horse to be declared at a stated time, failure to declare as required shall be considered a withdrawal from the event.

(4) After a declaration to start has been made, no horses shall be drawn except by permission of the judges.

(5) To avoid conflicts and misunderstandings, when the time of declaration of any race is stated in days or hours prior to the day of the race, it shall be construed to exclude Sunday.

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(b) **Entry box and drawing of horses.** No owner or agent for a horse with a declaration in the entry box shall be denied the privilege of being present. Under the supervision of the presiding judge, all entries shall be listed, the eligibility verified, preference ascertained, starters selected and post positions drawn. If it is necessary to reopen any race, public announcement shall be made at least twice and the box reopened for entries to a definite time.

(c) **Error in declaration.** Where a horse properly declared, other than by telephone, is omitted from the race by error of the association, the horse may be added to the race but given the outside post position; provided, however, that the error is discovered prior to the publication of the official program and said program disclosed such position.

(d) **Qualifying races.** Declarations for overnight events shall be governed by the following:

(1) Within two weeks of being declared in, a horse that has not raced previously at the gait chosen must go a qualifying race under the supervision of the presiding judge or an associate judge. No horse shall be permitted to race who does not have at least one charted line by a licensed charter at the gait chosen. In order to provide complete and accurate chart information on time and beaten lengths, a standard photo finish camera shall be in use.

(2) A horse that does not show a charted line for the previous year must go a qualifying race as set forth in rule (d) (1) of this section.

(3) Any horse that fails to race or enter into a race within thirty (30) days must go a qualifying race as set forth in rule (d) (1) of this section. Horses entered and in to go in race or races which are cancelled due to no fault of their own, shall be considered to have raced in that race.

(4) When a horse has raced at a charted meeting during the current year and then goes to meetings where races are not charted, the information from the uncharted races may be summarized, including each start, and consolidated in favor of charted lines. The consolidated line shall carry date, place, time, driver, finish, track conditions and distance, if race is not at one mile.

(5) The judges may require any horse that has been on the steward's list to go a qualifying race. If a horse has raced in individual time not meeting the qualifying standards for that class of horse, he may be required to go a qualifying race.

(6) The judges may permit a horse to qualify by means of a timed workout consistent with the demonstrated form and ability of the horse.

(7) To enable a horse to qualify, qualifying races should be held at least one full week prior to the opening of any meeting and shall be scheduled at least twice a week. Qualifying races shall also be scheduled twice a week during the meeting.

(e) **Entries.**

(1) When the starters in a race include two (2) or more horses owned or trained by the same person, or trained in the same stable or by the same management, they shall be coupled as an "entry" and a wager on one horse in the "entry" shall be a wager on all horses in the entry. Provided, however, that when a trainer enters two (2) or more horses in a stake, early

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closing, futurity, free-for-all or other special event under bona fide separate ownership, such horses may, at the request of the association and with the approval of the commission, be permitted to race as separate entries. The association must make its request to the commission through the presiding judge. If the race is split in two or more divisions, horses in an “entry” shall be seeded in separate divisions insofar as possible, but the divisions in which they compete and their post positions shall be drawn by lot. The above provisions also shall apply to elimination heats.

(2) No driver shall drive a horse in a race in which there shall start another horse which he in any way represents or handles or in which he has an interest unless the horses are coupled as an entry.

(f) **Also eligible.** Not more than two horses may be drawn as also eligible for a race and their positions shall be drawn along with the starters in the race. In the event one or more horses are excused by the judges, the also eligible horse or horses shall race and take the post position drawn by the horse it replaces, except in handicap races. In handicap races the also eligible horse shall take the place of the horse that it replaces in the event that the handicap is the same. In the event the handicap is different, the also eligible horse shall take the position on the outside of horses with similar handicaps. No horse may be added to a race as an also eligible unless the horse was drawn as such at the time declarations closed. No horse may be barred from a race to which it is otherwise eligible by reason of its preference due to the feet that it has been drawn as an also eligible. A horse moved into the race from the also eligible list cannot be drawn except by permission of the judges, but the owner or trainer of such a horse shall be notified that the horse is to race and it shall be posted at the race secretary’s office. Horses on the also eligible list shall be considered the same as those drawn in to go. All horses on the also eligible list and not moved in to race by the designated scratch time shall be released.

(g) **Preference.** Preference shall be given in all overnight events according to a horse’s last previous purse race during the current year. The preference date on a horse that has drawn to race and then scratched is the date of the race from which he was scratched.

(1) When a horse is racing for the first time in the current year, the date of the first declaration shall be considered its last race date and preference applied accordingly.

(2) Where the word “preferred” is used in a condition, it shall not supersede date preference.

(h) **Steward’s list.** A horse may be placed on the “steward’s list” if:

- (1) It is dangerous.
- (2) Unmanageable.
- (3) Sick.
- (4) Lamé.
- (5) Unable to qualify.
- (6) Otherwise unfit.

(i) **Horse on “steward’s list”.** The horse must be placed on the “steward’s list” by the presiding judge and declarations on such horse shall be refused.

(j) **Notification of owners and trainers concerning horse on “steward’s list”.** Owners and trainers shall be notified in writing of such action and the reason for such action.

(k) **Eligibility certificate posted by clerk of the course concerning horse on “steward’s list”.** The clerk of the course shall make a note on the eligibility certificate of such horse showing the date the horse was placed on the “steward’s list”, the reason therefor, and the date of removal if the horse has been removed. If a horse is placed on the “steward’s list” due to sickness or lameness, he shall only be removed from the list by the association veterinarian.

(l) **Driver information.** Declarations shall state who will drive the horse and the driver’s colors. Drivers may be changed until designated scratch time, but the presiding judge must be notified thereof. No driver shall be changed thereafter except by permission of the judges, and only then for good cause. When a nominator starts two or more horses, the judges shall approve or disapprove the second and third drivers.

Sec. 12-574-B35. Postponement

(a) **Reasons for postponement, rescheduling races.** In case of unfavorable weather, or other unavoidable cause, the association, with the approval of the commission or its appointed representative, may postpone the races. When a racing program is postponed, the races scheduled shall be rescheduled as follows:

(1) Early closing, late closing races, stakes and futurities shall be postponed to the next racing day.

(2) If there is no time remaining in the scheduled race meeting and it cannot be extended to permit the race to be programmed, the entrance money and forfeits shall be divided equally among the nominators who have horses on the grounds declared in and eligible to start.

(3) Unless conditions prescribe to the contrary, stakes and futurities shall not be transferred to another meeting without the unanimous consent of the association and of all those having horses eligible to the event.

(4) Overnight races may be postponed and carried over not more than two (2) racing days.

(b) **Rain checks.** In the event of cancellation of any program after the completion of fifty percent (50%) or more of the races scheduled to be run on such program, no rain checks or other similar forms of deferred admissions shall be issued or if issued on admittance, no rain checks will be validated. In the event of cancellation of any program before the completion of fifty percent (50%) or more of the races scheduled to be run on such program, rain checks or other similar forms of deferred free admissions shall be issued but no rain check or other form of deferred free admission shall be valid beyond the close of the meeting at which it is issued.

Sec. 12-574-B36. Starting

(a) **Starting gate.**

(1) Starter’s control. The starter, under the direction, supervision and control of the

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presiding judge shall have control of the horses from the formation of the parade until he gives the word “go”. The starter shall be in direct communication with the judges.

(2) Scoring. After the preliminary warming up scores or score, the starter shall notify the drivers to come to the starting gate. During or before the parade, the drivers must be informed as to the number of scores permitted.

(3) Horses brought to starting gate. The horses shall be brought to the starting gate as near one-quarter of a mile before the start as the track will permit.

(4) Speed of gate. Allowing sufficient time so that the speed of the gate can be increased gradually, the following minimum speeds will be maintained:

(A) For the first $\frac{1}{8}$ mile, not less than eleven (11) miles per hour.

(B) For the next $\frac{1}{16}$ of a mile, not less than eighteen (18) miles per hour.

(C) From that point to the starting point, the speed will be gradually increased to maximum speed.

(5) Starting point. The starting point will be a point marked on the inside rail at a distance of not less than 200 feet from the first turn. The starter shall give the word “go” at the starting point.

(6) Speed reached. When a speed has been reached in the course of a start, there shall be no decrease except in the case of a recall.

(7) Recall notice. In case of a recall, a light plainly visible to the driver shall be flashed and a recall sounded. The starting gate shall proceed, however, out of the path of the horses.

(8) No recall after “go”. There shall be no recall after the word “go” has been given. Any horse, regardless of his position or an accident shall be deemed a starter from the time he entered into the starter’s control unless dismissed by the starter.

(9) Breaking horse. The starter shall endeavor to get all horses away in position and on a gait, but no recall shall be had for a breaking horse except as provided in rule (a) (10) (E) of this section.

(10) Recall, reasons for. The starter may sound a recall only for the following reasons:

(A) A horse scores ahead of the gate.

(B) There is interference.

(C) A horse has broken equipment.

(D) A horse falls before the word “go” is given.

(E) When a horse fails to come to the gate before the gate reaches the pole $\frac{1}{16}$ of a mile before the start, the field may be turned.

The term “failure to come to the gate” shall be interpreted to mean that the horse stops, turns and goes in a direction opposite from that of the starting gate, or is hopelessly outdistanced, or on a break.

(11) Penalties. Penalties may be imposed against any driver by the starter, with the approval of the presiding judge, for:

(A) Delaying the start.

(B) Failing to obey the starter’s instructions.

(C) Rushing ahead of the inside or outside wing of the gate.

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- (D) Coming to the starting gate out of position.
- (E) Crossing over before reaching the starting point.
- (F) Interference with another driver during the start.
- (G) Failing to come up into position.
- (12) Riding in the gate. No persons shall be allowed to ride in the starting gate except the starter and his driver or operator, and a patrol judge, unless permission has been granted by the commission.
- (13) Loudspeaker. Use of a mechanical loudspeaker for any purpose other than to give instructions to drivers is prohibited. The volume shall be no higher than necessary to carry the voice of the starter to the drivers.
- (14) Verification of speed. The starter shall, at the end of each race day, submit to the presiding judge the tape from the automatic device used on the gate which discloses the speed of the gate during each race.
- (b) **Number of scores.** Horses shall be permitted to take one or two scores before going to the post and upon completion of the scores, the horses shall be gathered by the starter and immediately moved into their positions behind the gate. Horses shall not be held in excess of two minutes after post time except when delayed by an emergency.
- (c) **Vacancy in a tier.** In the event there are two tiers of horses, the withdrawing of a horse that has drawn or earned a position in the front tier shall not affect the position of the horses that have drawn or earned positions in the second tier. Whenever a horse is drawn from any tier, horses on the outside move in to fill up the vacancy.
- (d) **When race starts.** The horse shall be deemed to have started when the word “go” is given by the starter and all the horses must go the course except in the event of an accident in which case the judges may deem it impossible to go the course.
- (e) **Drivers mounted at finish.** Drivers must be mounted at the finish of the race or the horse shall be placed as not finishing.
- (f) **Unmanageable horses.** If in the opinion of the judges or the starter a horse is unmanageable or liable to cause accidents or injury to any other horse or to any driver, such horse may be sent to the barn. When this action is taken, the starter shall notify the judges who shall in turn notify the public.
- (g) **Placing bad acting horses on outside positions.** The starter may place a bad acting horse on the outside at his discretion but such action may be taken only when there is sufficient time for the starter to notify the judges. When so notified, the judges shall, prior to the sale of tickets on such horse, notify the public. If tickets have been sold, the bad acting horse must be scratched in accordance with the provisions of rule (f) of this section.
- (h) **Starting gate arms, screens or shields.** The arms of all starting gates shall be provided with a screen or a shield in front of the position for each horse and such arms shall be perpendicular to the rail.
- (i) **Starting gate and automatic timing device required.** Every association shall utilize a mobile starting gate of a type and quality approved by the commission. Every association shall furthermore maintain a stand-by mobile starting gate similarly approved. The starting

gate shall be equipped with an automatic timing device, approved by the commission, recording and disclosing upon tapes the speed of the starting gate at all times.

(j) **Operation of starting gate.** The association may employ additional persons to assist the starter in the performance of his duties and such personnel shall be licensed and approved by the commission.

(k) **Positions in winning heat.** The horse winning a heat shall take the pole position in the succeeding heat, and all others shall take their positions in the order they were placed in the last heat. When two or more horses shall have made a dead heat, their positions shall be settled by lot.

(l) **Refunds of entry money.** No refunds of entry money can be made for any purposes once the entered horse is in the control of the starter.

Sec. 12-574-B37. Placing, conditions and purse

(a) Placing and money distribution.

(1) Unless otherwise provided in the conditions, all purses shall be distributed on the dash basis with the money awarded according to a horse's position in each separate dash or heat of the race.

(A) Purse money distribution in overnight events shall be limited to five monies.

(2) Dashes. Unless otherwise specified in the conditions, the money distribution in dashes shall be 45 percent, 25 percent, 15 percent, 10 percent, and 5 percent. In early closing races, late closing races or added money events, if there are less than five (5) starters, the remaining premium shall go to the race winner unless the conditions call for a different distribution. In overnight events if there are less than five (5) starters the premium for the positions for which there are no starters may be retained by the track.

(A) If there be any premium or premiums for which horses have started but were unable to finish, due to an accident, all unoffending horses who did not finish will share equally in such premium or premiums.

(B) If there be any premium or premiums for which horses have started but were unable to finish and the situation is not covered by rule (a) (2) (A) of this section, such premium shall be paid to the winner.

(3) Every heat a race. The purse shall be distributed as in dash races with nothing set aside for the race winner.

(4) Placing system. If the placing system is specified in the conditions, the purse shall be distributed according to the standing of the horses in the summary. In order to share in the purse distribution, each horse must complete the race and compete in each heat to which he is eligible. A horse must win two heats to be declared the race winner and such horse shall stand first in the summary. In deciding the rank of the horses other than the race winner, a horse that has been placed first in one heat shall be ranked better than any other horse that has been placed second any number of heats; a horse that has been placed second in one heat shall be ranked better than any other horse that has been placed third in any number of heats, etc.; e.g., a horse finishing 3-6 would be ranked ahead of another horse finishing 4-4. A horse finishing in a dead heat would be ranked below another horse finishing in the

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same position and not in a dead heat. If there be any premium for which no horse has maintained a position, it shall go to the race winner, but the number of premiums awarded need not exceed the number of horses that started in the race. Unless otherwise specified in the conditions, the money shall be divided 50 percent, 25 percent, 15 percent, and 10 percent.

(5) Two in three. In a two in three race, a horse must win two heats to win the race, and there shall be 10 percent set aside for the race winner. The purse shall be divided and awarded according to the finish in each of the first two or three heats, as the case may be. If the race is unfinished at the end of the third heat, all but the heat winners or horses making a dead heat for first shall be ruled out. The fourth heat when required, shall be raced for the 10 percent set aside for the winner. If there be any third or fourth premiums, etc., for which no horse has maintained a specific place, the premium therefor shall go to the winner of that heat, but the number of premiums distributed need not exceed the number of horses starting in the race. In a two-year-old race, if there are two heat winners and they have made a dead heat in the third heat, the race shall be declared finished and the colt standing best in the summary shall be awarded the 10 percent if the two heat winners make a dead heat and stand the same in the summary, the 10 percent shall be divided equally between them.

(b) **Computation and payment of purses.** Any association which has an agreement with the horsemen to pay purses of an established percentage of the association's share of the revenue obtained from the money wagered, shall each week post a statement of the previous week's handle, the proposed allotment to horsemen and the amount of purses paid. Such posting shall be on the bulletin board in the entry room.

(c) **Delivering of winnings to owners.** Winnings from horses shall not be delivered to any owner until the owner has first been duly licensed by the commission for the current season.

(d) **Deductions.** All purses contested for shall be distributed according to the conditions of the race. No deduction, voluntary or involuntary, may be made from any purse or stake or futurity other than for payments to be made to owners, nominators or breeders of money winning horses and organization or promotion expense stipulated for stakes and futurities.

(e) **Special awards.** Except for awards to be made to drivers of horses breaking or equaling track or world records, or to leading drivers at a race meeting, no association shall advertise to pay or pay any awards other than to the owners, nominators or breeders of money winning horses.

Sec. 12-574-B38. Time and records

(a) **Electric timer, manual timer.** In every race or performance against time, the time of each heat or dash shall be taken by an approved electric timing device and placed in the record in minutes, seconds and fifths of seconds and on the decision of each heat the time thereof shall be publicly announced or posted. In addition to the approved electric timing device, one manual timer shall be employed. No unofficial timing shall be announced or admitted to the record. If at any time the automatic timing device should fail, the decision of the manual timer as to the time of such heat or dash shall be official. If the manual timer

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fails to act, no time shall be announced or recorded for that heat or dash.

(b) **Error in announcement of time.** In any case of alleged error in the record, announcement or publication of the time made by a horse, the time so questioned shall not be changed to favor said horse or owner, except upon the sworn statement of the judges and timers who officiated in the race, and then only with the approval of the commission.

(c) **Certificate as to track measurement.** In order that the performance thereon may be recognized and/or published as official, every association shall forthwith cause to be filed with the commission and the United States trotting association the certificate of a duly licensed civil engineer or land surveyor that he has measured the said track from wire to wire three feet out from the pole or inside hub rail thereof and certifying in linear feet the result of such measurement. Each track shall be measured and recertified in the event of any changes or relocation of the hub rail.

(d) **Leading horse timed.** The leading horse shall be timed and his time only shall be announced. No horse shall obtain a win race record by reason of the disqualification of another horse unless a horse is declared a winner by reason of the disqualification of a breaking horse on which he was lapped.

(e) **Time in dead heat.** In case of a dead heat, the time shall constitute a record for the horses making the dead heat and both shall be considered winners.

(f) **Time taken from starting point.** The time shall be taken from the first horse leaving the starting point from which the distance of the race is measured, until the winner reaches the wire.

(g) **Fraudulent misrepresentation of time.** Any person who shall be guilty of fraudulent misrepresentation of time or the alteration of the record thereof in any public race or performance against time shall be penalized and the time declared not a record.

(h) **Time performance.** A record can be made only in a public race or performance against time. In a performance against time, the United States trotting association rules and regulations shall apply.

Sec. 12-574-B39. Racing, farm, corporate or stable names

(a) **Registration.** A racing, farm corporate or stable name may be used by the owners or lessees of horses if currently registered with the United States trotting association and registered with the commission upon payment of any applicable fee. The names of all persons connected in the stable or operating thereunder shall be listed in such registry.

(b) **Limitations.** Not more than one stable may be registered under the same name. The commission may prohibit the use of any name which is misleading to the public or unbecoming to the sport.

(c) **Liabilities.** All persons listed in a registered stable shall be liable for entry fees and all penalties against horses raced under such stable name. If one of the persons listed under such stable name is suspended, all the horses in such stable shall be included in such suspension.

(d) **Leases.** The lessee of a horse shall file with the United States trotting association a copy of the leasing arrangement which shall contain the name of the horse, the name and

address of the owner, the name and address of the lessee, the stable name, if any, of either party, and the terms of the lease. Any horse on lease must race in the name of the lessee.

Sec. 12-574-B40. Racing and track rules

(a) **Driving procedures.** Although a leading horse is entitled to any part of the track except after selecting his position in the home stretch, neither the driver of the first horse nor any other driver in the race shall:

(1) Change either to the right or left during any part of the race when another horse is so near him that in altering his position he compels the horse behind him to shorten his stride, or causes the driver of such other horse to pull him out of his stride.

(2) Jostle, strike, hook wheels, or interfere with another horse or driver.

(3) Cross sharply in front of a horse or cross over in front of a field of horses in a reckless manner, endangering other drivers.

(4) Swerve in and out or pull up quickly.

(5) Crowd a horse or driver by “putting a wheel under him”.

(6) “Carry a horse out” or “sit down in front of him”, take up abruptly in front of other horses so as to cause confusion or interference among the trailing horses, or do any other act which constitutes what is popularly known as helping.

(7) Let a horse pass inside needlessly.

(8) Commit any act which shall impede the progress of another horse or cause him to “break”.

(9) Change course after selecting a position in the home stretch and swerve in or out, or bear in or out, in such manner as to interfere with another horse or cause him to change course or take back.

(10) Drive in a careless or reckless manner.

(11) Fail to set or maintain a pace comparable to the class in which they are racing. Failure to do so by going an excessively slow quarter or any other distance that changes the normal pattern, overall timing, or general outcome of the race will be considered a violation of this rule and the judges may impose a penalty which can be a fine, suspension, or both.

(12) Laying off a normal pace and leaving a hole when it is well within the horse’s capacity to keep the hole closed.

(b) **Complaints by drivers, judges stand.** All complaints by drivers of any foul driving or other misconduct during the heat shall be made at the termination of the heat, unless the driver is prevented from doing so by accident or injury. At the conclusion of each heat or dash, every driver shall return to a point designated by the presiding judge to be dismissed by the judges. Any driver desiring to enter a claim of foul or another complaint of violation of the rules must indicate to a judge his desire to enter such a claim or complaint and forthwith upon dismounting shall proceed to the telephone or judges stand where and when such complaint shall be immediately considered. In cases of injury to either horse or driver or broken equipment, the driver may approach the nearest official on foot and indicate his desire to enter a claim of foul. Otherwise he must make the claim before dismounting. The judges shall not cause the official sign to be displayed until such complaint shall have been

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entered and considered. After being dismissed by the judge, all drivers must return to the paddock and remain there until the race is made official.

(c) **Violations involving entries, complaints, penalties.** If any of the above violations are committed by a person driving a horse coupled as an entry in the betting, the judges may set both horses back, if, in their opinion, the violation may have affected the finish of the race. Otherwise, penalties may be applied individually to the drivers of any entry.

(d) **Placing offending horse.** In case of interference, collision, or violation of any of the rules, the offending horse may be placed behind all the unoffending horses in that heat or dash, and in the event such collision or interference prevents any horse from finishing the heat or dash, the offending horse may be disqualified from receiving any winnings and the driver may be penalized.

(e) **Fraudulent or unsatisfactory driving.**

(1) Every heat in a race must be contested by every horse in the race and every horse must be driven to the finish.

(2) If the judges find that a horse is being driven, or has been driven, with design to prevent his winning a heat or dash or is being raced in an inconsistent manner, in order to perpetuate or aid a fraud, it shall be considered a violation, and the driver and anyone in consort with him may immediately be placed on suspension and a report shall be made to the commission.

(3) In the event a drive is unsatisfactory due to lack of effort, or carelessness and the judges believe that there is no fraud, or gross carelessness or a deliberate inconsistent drive, they may impose a penalty or a suspension not to exceed 10 days and/or a fine. However, if after further review they do suspect a violation of rule (e) (2) of this section, they shall immediately report the matter to the commission.

(f) **Failure to finish.** If for any cause other than being interfered with, broken equipment or unavoidable accident, a horse fails to finish after starting a heat or dash, that horse shall be ruled out.

(g) **Whips.** Drivers will be allowed whips not to exceed 4 feet, 8 inches, plus a snapper not longer than 8 inches.

(h) **Use of goading devices, etc.** The possession or use of a goading device, chain or mechanical devices or appliances, other than the ordinary whip or crop upon any horse in a race shall constitute a violation of this rule. The brutal use of a whip or crop, kicking a horse with a foot, striking a horse with a whip under the seat of the sulky or indiscriminate use of a whip or crop shall be considered a violation.

(i) **Hopples.** No horse shall wear hopples in a race unless he starts in the hopples in the first heat or dash and having so started he shall continue to wear them to the finish of the race. Any person found guilty of removing or altering a horse's hopples during a race, or between races, for the purpose of fraud, shall be penalized. Any horse that habitually wears hopples shall not be permitted to start in a race without them except by the permission of the judges. Any horse habitually racing free legged shall not be permitted to wear hopples in a race except with the permission of the judges. Removing, altering or adding hopples

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without permission of the judges shall be considered a violation.

(j) **Head poles.** No horse shall be permitted to wear a head pole protruding more than ten (10) inches beyond his nose.

(k) **Breaking.**

(1) When any horse or horses break from their gait in trotting or pacing, their drivers shall at once, where clearance exists, take such horse to the outside and pull it to its gait.

(2) The following shall be considered violations of rule (k) of this section:

(A) Failure to properly attempt to pull the horse to its gait.

(B) Failure to take to the outside where clearance exists.

(C) Failure to lose ground by the break.

(3) If there has been no failure on the part of the driver in complying with rule (k) (2) (A), (B), and (C) of this section, the horse shall not be set back unless a contending horse on his gait is lapped on the hindquarter of the breaking horse at the finish.

(4) The judges may set any horse back one or more places if in their judgment any of the above violations have been committed, and the driver may be penalized.

(l) **Fraudulent breaking.** If a driver causes or allows his horse to break for the purpose of fraudulently losing a heat or clash, he shall be penalized.

(m) **Calling and noting breaks.** To assist in determining the matters contained in rules (k) and (l) of this section, it shall be the duty of one of the judges to call out every break made and the clerk of the course shall at once note the break and character of it in writing.

(n) **Time between heats and dashes.** The time between heats or dashes for any distance up to and including a mile shall be not less than twenty-five minutes; for any distance between one and two miles, thirty minutes.

(o) **Right of the track.** Horses called for a race shall have the exclusive right of the track and all other horses shall vacate the track at once, unless permitted to remain by the judges.

(p) **Accidents.** In the case of accidents, only so much time shall be allowed before continuing as the judges may deem necessary and proper.

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

(r) **Spayed mare.** The fact that a mare has been spayed must be noted on the registration certificate, the eligibility certificate and any program when such mare races. It shall be the owner's responsibility to report the fact that the mare has been spayed to the United States trotting association and return its paper for correction. A list of spayed mares shall be posted by the racing secretary on the bulletin board in the entry room.

Sec. 12-574-B41. Decorum

(a) **Conduct.** All licensees of the commission are required to conduct themselves in a forthright, gentlemanly manner at all times while on or near the premises of a licensed harness racetrack during the operation of a licensed harness race meeting.

(b) **Profanity.** No licensee of the commission shall use improper language or otherwise abuse any official, appointee, representative or employee of the commission, or any person acting under the orders or rules of the commission.

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(c) **Assault.** If any owner, driver, trainer or attendant of a horse, or any other licensee connected with the operation of a licensed harness race meeting at any time during said meeting, either on or off the grounds of a licensed racetrack shall commit an assault or battery, or attempt an assault or battery or threaten to do bodily harm to any person or persons connected in any way with such race meeting, he shall be subjected to the penalties prescribed by these rules.

(d) **Bonus.** No owner, trainer or driver or their agent shall demand of a licensed harness racetrack a bonus of money or other special award or consideration as a condition for starting a horse already entered to race.

(e) **Wagers by horsemen.** No owner, trainer, driver, agent, employee or attendant of a horse shall bet or cause any other person to bet on his behalf on any other horse in a race in which there shall start a horse owned, trained or driven by him, or which he in anyway represents or handles or in which he has an interest. No such person shall participate in exacta, quinella, trifecta or superfecta wagering on a race in which such horse starts.

(f) **Divided interest.** No driver shall drive a horse in a race in which there shall start another horse which he in any way represents or handles or in which he has an interest unless coupled as an entry.

(g) **Misconduct and association with undesirables.**

(1) The commission may impose the penalties as prescribed by these rules if it finds that any licensee or other person subject to the jurisdiction of the commission:

(A) Is associating, consorting or negotiating with bookmakers, touts or other persons of similar pursuits, or;

(B) Is associating, consorting or negotiating with persons who have been convicted of a crime, or;

(C) Is guilty of any fraud or has attempted any fraud or misrepresentation in connection with racing, breeding or otherwise, or;

(D) Has violated any law, rule or regulation with respect to racing in any jurisdiction, or;

(E) Has violated any rule, regulation or order of the commission;

(F) The experience, character or general fitness of any person is such that his or their participation in harness racing or related activities would be inconsistent with the public interest, convenience or necessity or with the best interests of racing generally.

(2) Where any licensee or person subject to the jurisdiction of the commission shall be approached with an offer or promise of a bribe or with a request or a suggestion for a bribe or for any improper, corrupt or fraudulent act or practice in relation to a race or racing or with a suggestion that any race be conducted otherwise than in accordance with the rules and regulations of this commission, it shall be the duty of such licensees or person to report such suggestion, offer, promise or bribe immediately to the commission. Failure to so report shall subject such person or persons to the penalties prescribed by law and/or these rules.

(3) **Duty to give evidence.** It shall be the duty of each licensee to report promptly when requested or ordered to do so by an official of the commission in furtherance of an

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investigation or hearing and to testify under oath concerning any facts within his knowledge and produce any books, records, written matter or other evidence within his possession or control relevant to such matter, pursuant to the commission rules concerning “Rules of Practice and Hearing Procedure”.

(4) False testimony. Where an oath is administered by a judge, representative of the commission, or any other person legally authorized to administer oaths and the party knowingly swears false or withholds information pertinent to an investigation conducted under these rules, he shall be penalized.

(h) **Undesirable persons.** Any person whether a licensee or patron whose conduct is deemed detrimental to the best interest of racing or who is deemed an undesirable person may be expelled from the track. In this regard the track, on its own initiative, or upon request of the commission or its representatives, shall take immediate steps by whatever means are reasonably required to expel such person. Acts deemed undesirable shall consist of, but not limited by, the following:

- (1) Bookmaking or other illegal wagering or gambling;
- (2) Touting;
- (3) Creating or continuing a public disturbance;
- (4) Disorderly conduct;
- (5) Associating with undesirables;
- (6) Transmitting information to points outside the track;

(7) Failure to appear when directed to do so by any official of the commission in furtherance of an investigation or hearing and to testify under oath concerning any facts within his knowledge and produce any books, records, written matter or other evidence within his possession or control relevant to such matter.

(8) In addition a person who has been convicted of a crime involving moral turpitude, or who has been convicted of bookmaking or other form of illegal gambling; or who has been adjudged by any court, state commission, or other governing body guilty of any fraud in connection with racing, or any athletic contest shall be deemed an undesirable person and shall be subject to expulsion as provided in this section.

(i) **Prohibited acts.**

(1) No licensee or any other person shall commit any act or conspire to commit any act which, though not specified in this section, constitutes conduct detrimental to the best interests of racing or is in its nature fraudulent or corrupt or injurious to the public interest. Any such act or attempt or conspiracy shall constitute a violation of the section and shall subject the licensee or such other persons to the penalties prescribed by these rules.

(2) No owner, trainer, driver or groom of a horse shall threaten or join with others in threatening not to race, or not to enter or declare in because of the entry of a certain horse or horses or a particular stable or the presence of such horses or stable on the grounds of a licensed track.

(j) **Conspiracy.** No persons shall conspire, combine and confederate together in any manner, regardless of where the said persons may be located, for the purpose of violating

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any of these rules nor shall they commit any act in furtherance of the said purpose and plan.

(k) Financial responsibility.

(1) No licensee shall accumulate unpaid obligations or default in obligations, or issue drafts or checks that are dishonored or payment refused, or otherwise display financial irresponsibility reflecting on the track or the sport.

(2) Prior to leaving the grounds of the association each owner, trainer or such other person responsible for a horse shall give to the officer in charge of security duly executed releases from such vendors whom he has transacted business with during the race meeting.

Sec. 12-574-B42. Fines, suspensions, expulsions and appeals

(a) **Suspension pending payment of fine.** All persons who shall have been fined under these rules shall be suspended until said fine shall have been paid in full, or other arrangements have been made with the commission.

(b) **Notice of penalty.** Written or printed notice of all fines and other penalties imposed by the judges or starter shall be delivered to the person penalized, notice shall be posted immediately at the office of the association, and notice shall be forwarded immediately to the commission and the United States trotting association by the presiding judge or clerk of the course.

(c) **Disposition of fine.** All fines which are collected shall be reported and paid to the state of Connecticut by the close of the next banking day.

(d) **Suspension for less than ten days, completing engagement.** Where the penalty is for a driving violation and does not exceed in time a period of ten racing days, the driver may complete the engagement of all horses declared in before the penalty becomes effective. Such driver may drive in stakes, futurities, early closing, and feature races, during a suspension of ten days or less, but the suspension will be extended one day for each date he drives in such a race. All suspensions shall apply to racing days.

(e) **Meaning of suspension or revocation.** Whenever the penalty of suspension or revocation is imposed, it shall mean unconditional exclusion and disqualification from time of receipt of written notice from any participation, either directly or indirectly, in the privileges and uses of the course and grounds of an association during the progress of a race meeting unless otherwise specifically limited when such penalty is imposed. A suspension, revocation or denial of a license or expulsion of either a husband or wife may apply in each instance to both the husband and wife. The penalty becomes effective when notice is given unless otherwise specified.

(f) **Competition by horse owned or controlled by a person under penalty.** No horse shall have the right to compete while owned or controlled wholly or in part by a suspended, expelled, disqualified or excluded person. An entry made by or for a person or of a horse suspended, expelled or disqualified, shall be held liable for the entrance fee thus contracted without the right to compete unless the penalty is removed. No suspended, disqualified or excluded person shall drive, nor shall a suspended or disqualified horse perform in a race.

(g) **Association permitting suspended person or disqualified horse to compete.** No association shall permit a suspended, disqualified or excluded person to drive in a race, or

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a suspended, or disqualified horse to start in a race or a performance against time.

(h) **Fraudulent transfer of horse.** The fraudulent transfer of a horse by any person or persons under suspension in order to circumvent said suspension, shall constitute a violation.

(i) **Notice of exclusion.** Whenever a person is excluded from a track by an association, the commission shall be notified. The commission, in turn, shall notify all other associations in the state and shall notify the United States trotting association.

(j) **Employment or retention of excluded person.** No expelled, suspended, disqualified or excluded person shall act as an officer of an association. An association shall not, after receiving notice of such penalty, employ or retain in its employ an expelled, suspended, disqualified or excluded person at or on the track during the progress of a race meeting.

(k) **Stay of enforcement.** In certain circumstances, described below, the commission may grant a stay to any person licensed 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 presiding judge. The presiding judge 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 (3) 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.

(l) **Penalties by other jurisdictions.**

(1) All penalties imposed by the United States trotting association or the racing commissions of the various states shall be recognized and enforced by the commission.

(2) When the commission receives notice of a penalty imposed by another racing commission or by the United States trotting association and an appeal has been taken from the imposition of such penalty and a stay has been granted, no recognition or enforcement shall be effective until a final decision has been rendered.

(m) **Dishonored checks.** Any person who pays an entry, a fine or other claim to the commission or any entry, claim or fine to an association or racing official by a draft, check, order or other paper which upon presentation is pretested, payment refused or otherwise dishonored, may by order of the commission, be subject to a fine not exceeding the amount of said draft, check or order, and the winnings of the horse or horses declared illegal and said persons and horses suspended until the dishonored amount and fine are paid and the illegal winnings returned.

(n) **Appeal to commission from rulings of officials.**

(1) All decisions and rulings of the judges or other race officials of any race may be

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appealed to the commission within ten (10) days after notice of such decision or ruling. The appeal may be taken upon any question in the conduct of a race, interpretation of the rules, decisions relative to the outcome of a race, application of penalties or other action affecting owners, drivers or horses, but it must be based on a specific charge which, if true, would warrant modification or reversal of the decision.

(2) In order to take an appeal under rule (n) of this section, a driver must first make complaint, claim or objection as required in rule (b) of section 12-574-B40 of these rules.

(3) All appeals shall be in writing and sworn to before a notary public or the commission.

(o) **Modification of penalty.** The commission may vacate, modify or increase any penalty imposed by the judges. In the event an appellant fails to appear at the hearing on his appeal without good cause, he may be penalized.

Sec. 12-574-B43. Protests

(a) **Protests.** Protests may be made only by an owner, manager, trainer or driver of one of the contending horses at any time before the winnings are paid. Protests shall be reduced to writing and sworn to, before a judge of the meeting or a notary public and shall contain at least one specific charge which, if true, could prevent the horse from winning or competing in the race.

(b) **Testimony under oath.** The judges shall, in every case of protest, demand that the driver and the owner or owners, if present, immediately testify under oath and in case of their refusal to do so, the horse shall not be allowed to start or continue in the race, but shall be ruled out, with a forfeit of entrance money.

(c) **Continuing race under protest.** Unless the judges find satisfactory evidence to warrant excluding the horse, they shall allow him to start or continue in the race under protest, and the premium, if any is won by that horse, shall be held by the association until the commission shall have determined the merits of the protest.

(d) **False protests, failure to protest.** Any person found guilty of protesting falsely and without cause or merely with intent to embarrass a race or who does not file a protest notwithstanding that he has knowledge which would warrant the filing thereof, shall be penalized hereunder.

(e) **Distribution of pools.** Nothing herein contained shall affect the distribution of the pari-mutuel pools when such distribution is made upon the official placing at the conclusion of the heat or dash.

(f) **Purse held in trust where appeal or protest filed.** In case of an appeal or protest, the purse money affected shall be deposited with the association in a trust fund pending the decision of the appeal.

(g) **Refusal to accept protest or act as witness.** No judge may refuse to accept a protest or appeal or act as a witness for a person seeking to swear to a protest or appeal.

Sec. 12-574-B44. 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

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the director of securities 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.

(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.

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(3) No one shall be permitted to enter in or about the stables or stable enclosures who does not have in his possession a license issued by the commission as owner, trainer, stable employee, farrier 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 from wagering.** 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 judges, shall be ejected promptly from the premises of the association.