

KENTUCKY HORSE RACING AND GAMING CORPORATION
(Amended at ARRS Committee)

810 KAR 3:020. Licensing of racing participants.

RELATES TO: KRS 12.357, ~~13B,~~ 230.215, 230.260, 230.280, 230.290, 230.300, 230.310, 230.320, 230.330, ~~321.441, 321.443, Chapter 335B, Chapter 342~~

STATUTORY AUTHORITY: KRS 12.357, 230.215(2), 230.240(2), 230.260(4), 230.290(2), 230.310(1)

CERTIFICATION STATEMENT: This certifies that this administration regulation complies with the requirements of 2025 RS HB6, Section 8.

NECESSITY, FUNCTION, AND CONFORMITY: KRS 230.215(2) authorizes the Kentucky Horse Racing and Gaming Corporation to promulgate administrative regulations to regulate conditions under which horse racing shall be conducted in Kentucky. KRS 230.310(1) ~~requires the corporation to promulgate~~authorizes ~~administrative regulations establishing and requires the corporation to establish~~ licensing requirements for participation in horse racing. This administrative regulation establishes licensing procedures and requirements for participation in horse racing.

Section 1. Definitions.

(1) "Person" means an individual, proprietorship, firm, partnership, joint venture, joint stock company, syndicate, business, trust, estate, company, corporation, limited liability company, association, club, committee, organization, lessor, lessee, racing stable, farm name, or other group of persons acting in concert.

(2) "Restricted area" means a portion of association grounds to which access is limited to licensees whose occupation or participation requires access, and to those individuals accompanying a licensee as allowed~~permitted~~ by the association, corporation, stewards, or judges.

Section 2. Persons Required to Be Licensed.

(1) A person shall not participate in pari-mutuel racing under the jurisdiction of the corporation without a valid license issued by the corporation.

(2) License categories shall include:

(a) Allied Animal Health Professional Animal Chiropractor;

(b) Allied Animal Health Professional Equine Dental Provider;

(c) Assistant trainer;

(d) Association employee;

~~(b)~~ ~~Assistant trainer~~;

~~(e)~~ ~~Claiming~~;

(f) ~~(d)~~ Corporation employee~~member~~;

(g) ~~(e)~~ Corporation member~~employee~~;

~~(f)~~ ~~Dental technician~~;

~~(h)~~ ~~(g)~~ Driver;

1. Qualifying-fair (QF) license;

2. Provisional (P) license; and

3. Full (A) license;

(i) ~~(h)~~ Driver/trainer;

(j) ~~(i)~~ Equine therapist;

(k) ~~(j)~~ Exercise rider;

(l) ~~(k)~~ Farm manager ~~or agent~~;

(m) ~~(l)~~ Farrier;

(n) ~~(m)~~ Farrier apprentice;

(o) ~~(n)~~ Jockey;

- (p) ~~{(o)}~~ Jockey agent;
- (q) ~~{(p)}~~ Jockey apprentice;
- (r) ~~{(q)}~~ Matinee driver;
- (s) ~~{(r)}~~ Mutuel employee;
- (t) ~~{(s)}~~ Owner;
- ~~{(t)}~~ ~~{Owner (Temporary);}~~
- (u) Owner/assistant trainer;
- (v) Owner/driver~~{trainer}~~;
- (w) Owner_~~(Temporary)~~~~{/trainer/driver}~~;
- (x) Owner/trainer~~{driver}~~;
- (y) Owner/trainer/driver;
- (z) Racing official;
- (aa) ~~{(z)}~~ Special event employee;
- (bb) ~~{(aa)}~~ Stable agent;
- (cc) ~~{(bb)}~~ Stable employee;
- (dd) ~~{(cc)}~~ Steeplechase jockey;
- (ee) ~~{(dd)}~~ Trainer;
- (ff) ~~{(ee)}~~ Vendor;
- (gg) ~~{(ff)}~~ Vendor employee;
- (hh) ~~{(gg)}~~ Veterinarian;
- (ii) ~~{(hh)}~~ Veterinary assistant; and
- (jj) ~~{(ii)}~~ Veterinary technologist or technician.

(3) A person working at a licensed racing association in the Commonwealth shall obtain a valid license issued by the corporation. The president~~{executive director}~~, the chief racing steward, the presiding judge, or their designee may refuse entry or scratch any horse involving any person who, after being requested to obtain a valid license, fails or is unable to obtain a license.

(4)

(a) A person required to be licensed shall submit:

1. A completed written application on the form Licensing Application, 3-020-1, or a multi-jurisdictional license form pursuant to Section 8 of this administrative regulation; or~~{and}~~
2. A written request for a waiver of the requirements of this paragraph and Section 6 of this administrative regulation for a person holding another individual license issued by the Corporation.

(b) A written request for a waiver shall include at least:

1. The name and contact information of the waiver applicant;
2. All horse racing and gaming licenses issued to the waiver applicant; and
3. The waiver applicant's current position and job description.

(c) The Corporation may grant or deny a waiver upon consideration of at least the:

1. Current horse racing and gaming licenses issued to the waiver applicant; and
2. Best interests and integrity of horse racing, pari-mutuel wagering, and sports wagering. ~~{The fee required by Section 6 of this administrative regulation.}~~

(d) ~~{(b)}~~ A temporary license may be obtained by an authorized representative of an owner in accordance with Section 18 of this administrative regulation.

~~{(e)}~~ ~~{A conditional license may be issued by the corporation or its designee.}~~

Section 3. General License Application Requirements for All Applicants.

(1) Any person required to be licensed by Section 2 of this administrative regulation and desiring to participate in horse racing in the Commonwealth may apply to the corporation for a license.

(2)

- (a) An application, or request for a waiver in accordance with Section 2, may be submitted on or after October 1~~November 1~~ of the calendar year preceding the calendar year in which the license is to be in force.
- (b) An application, or request for a waiver in accordance with Section 2, shall be submitted no later than twenty-four (24) hours after an applicant has arrived on association grounds, unless a temporary license is obtained in accordance with Section 18 of this administrative regulation.
- (c) The license application, or request for a waiver in accordance with Section 2, shall be reviewed and, if approved, the license issued by corporation personnel.
- (3) Information provided on or with a license application shall be complete and correct. Material misrepresentation by a license applicant or his or her agent shall result in one (1) or both of the following penalties. An immediate:
- (a) License suspension, revocation, refusal, or denial; ~~or, and/or the~~
- (b) Imposition of a fine by the corporation, ~~for the~~ chief racing steward, or presiding judge.
- (4)
- (a) An applicant for licensing shall be a minimum of sixteen (16) years of age except as provided by paragraph (b) of this subsection. An applicant may be required to submit a certified copy of his or her birth certificate or work permit.
- (b) The corporation may grant an owner's license to a person less than sixteen (16) years of age if the person's parent or legal guardian is licensed by the corporation. An application under this subsection shall be signed by the applicant's parent or legal guardian in the presence of one (1) or more of the stewards or judges.
- (5) An application from a person or other entity consisting of more than one (1) individual person desiring to race horses in the Commonwealth shall, upon request, in addition to designating the person or persons representing the entire ownership of the horses, be accompanied by documents ~~that~~~~which~~ fully disclose the identity, degree, and type of ownership held by all individual persons who own or control a present or reversionary interest in the horses.
- (6) The corporation shall notify an applicant that the license has been issued or denied. If all requirements for licensure are met, a license shall be issued to the license applicant.

Section 4. Additional Licensing Requirements for Standardbred Driver's License.

- (1) A person desiring to drive a harness horse at a race meeting licensed by the corporation shall obtain a license from:
- (a) The corporation; and
- (b) The United States Trotting Association, Standardbred Canada, or appropriate international harness racing governing agency.
- (2) Corporation licenses. A driver's license from the corporation shall be issued in one of the following categories:
- (a) A qualifying-fair (QF) license, which shall be valid for fairs, matinees, qualifying races, and if approved by the presiding judge, nonwagering races at extended pari-mutuel meetings;
- (b) A provisional (P) license, which shall be valid at fairs, matinees, qualifying races, and extended pari-mutuel meetings; or
- (c) A full (A) license, which shall be valid at all race meetings.
- (3) License advancement. An applicant shall initially obtain a qualifying-fair license. Advancement to a provisional license and a full license shall be determined by Rule 17, Sections 1 through 10, of the United States Trotting Association, 2009/2010.
- (4) General qualifications. An applicant for a driver's license shall:
- (a)
1. Be at least sixteen (16) years of age for a (QF) license;

2. Be at least eighteen (18) years of age for a (P) or (A) license; and
 3. Not be denied a driver's license solely on the basis of age if the applicant has previously held any type of license; and
- (b) Submit satisfactory evidence of an eye examination indicating:
1. 20/40 corrected vision in both eyes; or
 2. If one (1) eye is blind, at least 20/30 corrected vision in the other eye.

Section 5. Additional Licensing Requirements for Specific Licenses.

(1) Veterinary personnel.

(a) An application from a person desiring to treat, prescribe for, or attend to any horse on association grounds as a practicing veterinarian shall be accompanied by evidence that the person is currently licensed as a veterinarian by the ~~{Commonwealth of }~~Kentucky Board of Veterinary Examiners.

(b) An application from a person desiring to work on association grounds as a veterinary technologist or veterinary technician shall be accompanied by:

1. Evidence that the person is currently registered as a veterinary technologist or veterinary technician by the ~~{Commonwealth of }~~Kentucky Board of Veterinary Examiners; and
2. A Veterinarian Approval Form, KHRGC 3-020-4, signed by a licensed veterinarian certifying that the applicant is working for the veterinarian as required by KRS ~~321.441~~[321.443].

(c) An application from a veterinary assistant shall be accompanied by a Veterinarian Approval Form, KHRGC 3-020-4, signed by a licensed veterinarian certifying that the applicant works for him or her as required by KRS 321.443.

(d) Equine therapist. An ~~{application from an }~~equine therapist who does not fall into a licensure category,~~{not }~~defined by KRS Chapter 321 shall include with their license application~~{be accompanied by }~~a Veterinarian Approval Form, KHRGC 3-020-4, detailing their specialization and experience, and signed by a licensed veterinarian~~{and the chief state veterinarian }~~attesting to the skill and integrity of the applicant.

(2) Farriers. An application from a person not previously licensed in the capacity of farrier shall submit a diploma or other document signifying successful completion of a farrier course or examination recognized by the American Farrier's Association, or submit a letter of recommendation from a licensed farrier.

(3) Standardbred Licensees.

(a) A standardbred owner, trainer, owner/trainer, driver, driver/trainer, owner/trainer/driver, or owner/driver shall have a valid license issued by the United States Trotting Association, Standardbred Canada, or other appropriate international harness racing governing agency in order to participate in pari-mutuel racing in Kentucky.

(b) Any standardbred horse under lease shall race in the name of the lessee, and a copy of the lease shall be filed with the clerk of the course. A standardbred horse shall not race under lease without an eligibility certificate issued by the United States Trotting Association, Standardbred Canada, or other appropriate international harness racing governing agency in the name of the lessee. Both the lessee and lessor shall be licensed by the corporation prior to post.

(c) If any licensed standardbred trainer is absent from a racing meet for more than six (6) days, the trainer shall appoint and have properly licensed a new trainer of record.

(4) Farm manager or stable agent. An application from a person desiring a license as a farm manager or stable agent shall be accompanied by evidence of that person's position with a farm or stable.

(5) Special event licenses.

~~{(a)}~~ A special event license shall be:

- (a) ~~1.~~ Issued to employees who are employed by an association only for the duration of a special event; and
(b) ~~2.~~ Valid for the days of the event only.
~~(b)~~ ~~[The duration of the license shall not exceed three (3) calendar days.]~~

Section 6. Licensing Fees.

(1) Except as provided by subsection (2) of this section, the following annual fees shall accompany the application and shall not be refundable:

(a) Allied Animal Health Professional:

1. Animal Chiropractor:

- a. For thoroughbreds: \$100;
b. For standardbreds: \$100;
c. For quarter horses: \$50; or
d. For other breeds: \$50; or

2. Equine Dental Provider:

- a. For thoroughbreds: \$100;
b. For standardbreds: \$100;
c. For quarter horses: \$50; or
d. For other breeds: \$50; [Association employee:]

~~1.] [For thoroughbreds: \$25;]~~

~~2.] [For standardbreds: \$25; or]~~

~~3.] [For other horses: \$10;]~~

(b) Assistant trainer:

1. For thoroughbreds: \$150;~~or]~~
2. For standardbreds: \$125;
3. For quarter horses: \$50; or
4. For other breeds[horses]: \$35;

(c) Association employee:

1. For thoroughbreds: \$25;
2. For standardbreds: \$25;
3. For quarter horses: \$25; or
4. For other breeds: \$10;

(d) ~~(e)~~ Claiming: \$150;

~~(d)~~ ~~[Dental technician: \$100;]~~

(e) Driver: \$125;

(f) Driver/trainer: \$125;

(g) Equine therapist:

1. For thoroughbreds: \$50;
2. For standardbreds: \$50;~~or]~~
3. For quarter horses: \$50; or
4. For other breeds[horses]: \$25;

(h) Exercise rider: \$10;

(i) Farm manager~~or agent~~:

1. For thoroughbreds: \$50;
2. For standardbreds: \$50;~~or]~~
3. For quarter horses: \$50; or
4. For other breeds[horses]: \$25;

(j) Farrier:

1. For thoroughbreds: \$100;
2. For standardbreds: \$100;~~or]~~
3. For quarter horses: \$50; or
4. For other breeds[horses]: \$35;

- (k) Farrier apprentice:
1. For thoroughbreds: \$50;
 2. For standardbreds: \$50;~~[or]~~
 3. For quarter horses: \$50; or
 4. For other breeds[horses]: \$25;
- (l) Jockey:
1. For thoroughbreds: \$150;~~[or]~~
 2. For quarter horses: \$50; or
 3. For other breeds[horses]: \$35;
- (m) Jockey agent:
1. For thoroughbreds: \$150;~~[or]~~
 2. For quarter horses: \$50; or
 3. For other breeds[horses]: \$35;
- (n) Jockey apprentice:
1. For thoroughbreds: \$100;~~[or]~~
 2. For quarter horses: \$50; or
 3. For other breeds[horses]: \$35;
- (o) Matinee driver: \$125;
- (p) Mutuel employee:
1. For thoroughbreds: \$50;
 2. For standardbreds: \$50;~~[or]~~
 3. For quarter horses: \$25; or
 4. For other breeds[horses]: \$20;
- (q) Owner:
1. For thoroughbreds: \$150;
 2. For standardbreds: \$125;~~[or]~~
 3. For quarter horses: \$50; or
 4. For other breeds[horses]: \$35;
- (r) ~~[Owner (temporary):]~~
- ~~[1.] [For thoroughbreds: \$150;]~~
 - ~~[2.] [For standardbreds: \$125; or]~~
 - ~~[3.] [For other horses: \$35;]~~
- ~~[(s)]~~ Owner/assistant trainer:
1. For thoroughbreds: \$150;~~[or]~~
 2. For standardbreds: \$125;
 3. For quarter horses: \$50; or
 4. For other breeds[horses]: \$35;
- (s) Owner/driver: \$125;
- (t) Owner (temporary):
1. For thoroughbreds: \$150;
 2. For standardbreds: \$125; or
 3. For other breeds: \$35;
- (u) ~~[(t)]~~ Owner/trainer:
1. For thoroughbreds: \$150;
 2. For standardbreds: \$125;~~[or]~~
 3. For quarter horses: \$50; or
 4. For other breeds[horses]: \$35;
- (v) ~~[(u)]~~ Owner/trainer/driver: \$125;
- ~~[(v)] [Owner/driver: \$125;]~~
- (w) Racing official:
1. For thoroughbreds: \$100;
 2. For standardbreds: \$100;~~[or]~~

- 3. For quarter horses: \$50; or
- 4. For other breeds[horses]: \$35;
- (x) Special event employee: \$10;
- (y) Stable agent: \$50;
- (z) Stable employee: \$10;
 - ~~[1.] [For thoroughbreds: \$10;]~~
 - ~~[2.] [For standardbreds: \$5; or]~~
 - ~~[3.] [For other horses: \$5;]~~
- (aa) Steeplechase jockey: \$150;
- (bb) Trainer:
 - 1. For thoroughbreds: \$150;
 - 2. For standardbreds: \$125;~~[or]~~
 - 3. For quarter horses: \$50; or
 - 4. For other breeds[horses]: \$35;
- (cc) Vendor:
 - 1. For thoroughbreds: \$50;
 - 2. For standardbreds: \$50;~~[or]~~
 - 3. For quarter horses: \$50; or
 - 4. For other breeds[horses]: \$25;
- (dd) Vendor employee: \$25;
- (ee) Veterinarian:
 - 1. For thoroughbreds: \$150;
 - 2. For standardbreds: \$125;~~[or]~~
 - 3. For quarter horses: \$50; or
 - 4. For other breeds[horses]: \$35;
- (ff) Veterinary assistant:
 - 1. For thoroughbreds: \$50;
 - 2. For standardbreds: \$50;~~[or]~~
 - 3. For quarter horses: \$25; or
 - 4. For other breeds[horses]: \$25; or
- (gg) Veterinary technologist or technician:
 - 1. For thoroughbreds: \$50;
 - 2. For standardbreds: \$50;~~[or]~~
 - 3. For quarter horses: \$25; or
 - 4. For other breeds[horses]: \$25.

(2) A military spouse meeting the requirements of KRS 12.357(1) shall not be required to pay the licensure fee if:

- (a) The fee waiver is requested on the Licensing Application form, 3-020-1; and
 - (b) The documentation required by KRS 12.357(2) is submitted with the application.
- (3) A replacement fee for a duplicate license shall be ten (10) dollars, except that this fee shall be waived for the first duplicate license issued during any calendar year.

Section 7. Fingerprinting.

- (1) If requested by the corporation, a license applicant shall ~~submit[furnish]~~ to the corporation a set of fingerprints or submit to fingerprinting prior to issuance of a license.
- (2) If the license applicant has been fingerprinted in the Commonwealth or another racing jurisdiction within the five (5) years preceding the date of the license application, then the corporation may accept the previous fingerprints or require new fingerprints.
- (3) The cost of fingerprinting and fingerprint analysis shall be paid by the license applicant.

Section 8. Multi-state/National Licenses.

(1) In lieu of the corporation license application form, an applicant may submit an ARCI Multi-Jurisdiction Racing License Owner's Application, ~~www.arci.com,~~ www.arci.com, for the National Racing License Application, www.racinglicense.com, or Renewal Application.

(2) The corporation shall accept a multi-state or national license if ~~the license~~ it complies with licensing requirements in this administrative regulation and KRS Chapter 230.

Section 9. Consent to Investigate by License Applicants and Licensees. After an applicant files a license application, the corporation may:

- (1) Investigate the criminal background, employment history, and racing history record of the applicant;
- (2) Engage in research and interviews to determine the applicant's character and qualifications; and
- (3) Verify information provided by the applicant.

Section 10. Search and Seizure.

(1) The corporation or designee may search any location described in KRS 230.260(7).

(2) The corporation or designee may seize any medication, drug, substance, paraphernalia, object, or device in violation or suspected violation of KRS Chapter 230 or KAR Title 810.

(3) A licensee shall:

- (a) Cooperate with the corporation or designee during an investigation; and
- (b) Respond correctly to the best of the licensee's knowledge if questioned by the corporation or designee about a racing matter.

(4) A licensee shall consent to out-of-competition testing in accordance with 810 KAR 8:040.

Section 11. Employer Responsibility.

(1)

(a) An employer shall not employ an unlicensed person for a position that requires a license under KRS 230.300 or 230.310 or this administrative regulation.

(b) If an employer violates subsection (a) of this subsection, the employer may be fined or have his or her license suspended, denied, or revoked as established in ~~be subjected to license suspension, denial, or revocation under~~ KRS Chapter 230 or KAR Title 810.

(2) Every employer shall report in writing to the corporation or its designee, within twenty-four (24) hours, the discharge of any licensed employee, including the employee's name, occupation, and reason for the discharge.

(3) Every employer shall be responsible for ensuring compliance with all applicable employment laws.

(4) The license application of an employee shall be signed by the employer.

(5) A licensed employer shall carry workers' compensation insurance covering his or her employees as required by KRS Chapter 342.

Section 12. Financial Responsibility.

(1) A licensee shall maintain financial responsibility during the period for which the license is issued.

(2) A licensee's failure to satisfy a final judgment rendered against him or her by a Kentucky court, or a domesticated judgment from another jurisdiction, for goods, supplies, services, or fees used in the course of any occupation for which a license is required by this administrative regulation shall constitute a failure to meet the financial responsibility requirements of KRS 230.310(1)(c) and (2)(c).

(3) If the licensee fails to show just cause for his or her failure to satisfy the judgment, then his or her license may be suspended or revoked until the licensee provides written documentation of satisfaction of the judgment.

(4) An applicant for a license may be required to submit evidence of financial responsibility to the corporation if a judgment has been rendered against him or her.

Section 13. Voluntary Withdrawal of License Application.

(1) A license applicant may, with the approval of the license review committee, voluntarily withdraw his or her license application from the license review process.

(2) If the applicant chooses to voluntarily withdraw his or her application, then the withdrawal shall not constitute a denial or suspension of a license and shall be without prejudice.

(3) The stewards or judges shall issue a ruling noting a withdrawal, and the ruling shall be communicated to the Association of Racing Commissioners International.

Section 14. License Review Committee.

(1) The ~~president~~~~executive director~~, chief racing steward, presiding judge, or director of licensing may refer a license application to the license review committee in lieu of denying the application.

(2) The license review committee shall be composed of the ~~president~~~~executive director~~ or designee, the director of licensing or designee, the chief state steward or presiding judge or their designee, and at least one (1) other corporation member or corporation staff member as designated by the ~~president~~~~executive director~~. At least three (3) members of the committee shall participate in any license review committee meeting.

(3) If a referral to the committee is made, then a license shall not be issued until the committee makes a favorable ruling on the license application.

(a) The applicant may be required by the committee to appear personally.

(b) If the committee is unable to make a favorable ruling on the license application, then the committee may give the license applicant the opportunity to voluntarily withdraw his or her license application in accordance with Section 13 of this administrative regulation.

(c) If the license applicant is given the opportunity to withdraw his or her application and does not wish to do so~~voluntarily withdraw his or her application~~, then the committee shall deny the application.

(4) A ~~The~~ denial of a license~~the~~ application may be appealed in accordance with KRS Chapter 13B.

(5) In the alternative, the corporation, the license review committee, or the ~~president~~~~executive director~~ may refer the case directly to the corporation without denial or approval of the application.

Section 15. License Denial, Revocation, or Suspension.

(1) The corporation, ~~president~~~~executive director~~, chief racing steward or presiding judge, or director of licensing may deny a license application, and the corporation or chief state steward or presiding judge may suspend or revoke a license, or otherwise penalize in accordance with KRS 230.320(1) a licensee, or other person participating in horse racing, for any of the following reasons:

(a) The public interest, for the purpose of maintaining proper control over horse racing meetings or pari-mutuel wagering, ~~might~~~~may~~ be adversely affected if the license is issued;

(b) The licensee or applicant has any felony or misdemeanor criminal conviction from any jurisdiction, including having entered into any form of diversionary program, ~~if~~~~within fifteen (15) years preceding the date of submission of a license application,~~ ~~provided~~ all requirements of KRS 335B.010 et seq. are satisfied;

(c) The licensee or applicant has pending criminal charges or is criminally charged during the license period in any jurisdiction;

- (d) The licensee or applicant has had a license issued by the legally constituted racing or gaming corporation of a state, province, or country denied, suspended, or revoked;
- (e) The licensee or applicant has had a license issued by the Commonwealth revoked, suspended, or denied;
- (f) The licensee or applicant has applied for and received a license issued by the corporation at less than sixteen (16) years of age, except as permitted in Section 3(~~4~~)(~~b~~) of this administrative regulation;
- (g) The licensee or applicant has made a material misrepresentation, falsification, or omission of information in an application for a license;
- (h) The licensee or applicant has been ejected~~[, ruled off,]~~ or excluded from racing association grounds in the Commonwealth of Kentucky or a racetrack in any jurisdiction;
- (i) The licensee or applicant has violated or attempted to violate a statute, administrative regulation, or similar rule respecting horse racing in any jurisdiction;
- (j) The licensee or applicant has perpetrated or attempted to perpetrate a fraud or misrepresentation in connection with the racing or breeding of a horse or pari-mutuel wagering;
- (k) The licensee or applicant has caused, attempted to cause, or participated in any way in an attempt to cause the pre-arrangement of a race result, or has failed to report knowledge of this kind of activity immediately to the stewards or judges;
- (l) The licensee or applicant has failed to demonstrate financial responsibility as required~~[demonstrated financial irresponsibility as described]~~ by Section 12 of this administrative regulation;
- (m) The licensee or applicant has knowingly failed to disclose to the corporation complete ownership or beneficial interest in a horse entered to be raced;
- (n) The licensee or applicant has misrepresented or attempted to misrepresent facts in connection with the sale of a horse or other matter pertaining to horse racing or registration of a horse~~[thoroughbred]~~;
- (o) The licensee or applicant has offered, promised, given, accepted, or solicited a bribe in any form, directly or indirectly, to or by a person having any connection with the outcome of a race, or failed to report conduct of this nature immediately to the stewards or judges;
- (p) The licensee or applicant has abandoned, mistreated, abused, neglected, or engaged in an act of cruelty to a horse;
- (q) The licensee or applicant has engaged in conduct that is against the best interest of horse racing~~[,]~~ or compromises the integrity of operations at a track, training facility, or satellite facility;
- (r) The licensee or applicant has knowingly entered, or aided and abetted the entry, of a horse ineligible or unqualified for the race entered;
- (s) The licensee or applicant has possessed on association grounds, without written permission from the corporation or the chief state steward or presiding judge, any appliance or device, other than an ordinary crop~~[whip]~~, which could be used to alter the speed of a horse in a race or workout;
- (t) The licensee or applicant has violated any of the alcohol or substance abuse provisions in KRS Chapter 230 or 810 KAR 2:030;
- (u) The licensee or applicant has failed to comply with a written order or ruling of the corporation, the stewards, or the judges pertaining to a racing matter or investigation;
- (v) The licensee or applicant has failed to answer truthfully questions asked by the corporation or its representatives pertaining to a racing matter;
- (w) The licensee or applicant has failed to return to an association any purse money, trophies, or awards paid in error or ordered redistributed by the corporation;

- (x) The licensee or applicant has participated in or engaged in any conduct of a disorderly nature on association grounds, including:
1. Failure to obey orders from the ~~stewards, stewards' or judges, judges'~~ or other ~~officials/official's orders~~ that are expressly authorized by KAR Title 810;
 2. Failure to race when programmed unless excused by the stewards or judges;
 3. Fighting;
 4. Assaults;
 5. Offensive and profane language;
 6. Smoking on the track while in colors during actual racing hours;
 7. Warming up a horse ~~prior to racing~~ without colors prior to racing; and
 8. Disturbing the peace;
- (y) The licensee or applicant has used profane, abusive, or insulting language to or interfered with a corporation member, employee or agent, or racing official, while these persons ~~were~~are in the course of discharging their duties;
- (z) The licensee or applicant is unqualified to perform the duties for which the license is issued;
- (aa) The licensee or applicant has discontinued or is ineligible for the activity for which the license is to be issued, or for which a previous or existing license was issued;
- (bb) The licensee or applicant has made a material misrepresentation in the process of registering, nominating, entering, or racing a horse as Kentucky owned, Kentucky bred, or Kentucky sired;
- (cc) The licensee or applicant has failed to pay a required fee or fine, or has otherwise failed to comply with KRS Chapter 230 or KAR Title 810;
- (dd) The licensee or applicant has failed to comply with a written directive or ruling of the corporation or the chief state racing steward or presiding judge;
- (ee) The licensee or applicant has failed to advise the corporation of changes in the application information as required by Section 17 of this administrative regulation;
- (ff) The licensee or applicant has failed to comply with the temporary license requirements of Section 18 of this administrative regulation;
- (gg) The licensee or applicant has violated the photo identification badge requirements of Section 21 of this administrative regulation;
- (hh) The licensee or applicant has knowingly aided or abetted any person in violation of KRS Chapter 230, KAR Title 810, or any other statute or administrative regulation pertaining to horse racing;
- (ii) The licensee or applicant has hired an unlicensed person required by KRS 230.300, 230.310, or this administrative regulation to be licensed;
- (jj) The licensee or applicant, being a person other than a licensed veterinarian, has possessed on association grounds:
1. A hypodermic needle, hypodermic syringe, or other device that could be used to administer any substance to a horse, except as permitted by 810 KAR 8:010, Section 3(5); or
 2. A medication, stimulant, sedative, depressant, local anesthetic, or any ~~other foreign~~ substance prohibited by KRS Chapter 230 or KAR Title 810; or
- (kk) The licensee or applicant has manufactured, attempted to manufacture, or possessed a false license photo identification badge.
- (2) A license suspension, revocation, or denial shall be reported in writing to the applicant by the chief steward or presiding judge, and to the ARCI by the Division of Licensing, to ensure that other racing jurisdictions shall be advised of the license suspension, revocation, or denial.
- (3) A licensee or applicant may appeal the suspension, revocation, or denial. Appeals shall be in accordance with KRS 230.320 and Chapter 13B.

Section 16. Reciprocity.

- (1) If a person's license has been denied, suspended, or revoked in another jurisdiction, the corporation may require reinstatement of the license in that jurisdiction before a license is granted by the corporation.
- (2) If a person has been ~~ruled off,~~ excluded, or ejected from a racetrack in Kentucky or in another jurisdiction, the corporation may require reinstatement of the person at that track before a license is granted by the corporation.

Section 17. Changes in Application Information.

- (1) The licensee or applicant shall report changes in any information required for licensing in writing to the corporation.
- (2) Except as established in subsection (3) of this section, any change in information required for licensing shall be submitted in writing upon the ~~Change in Application Information Form~~, KHRGC 3-020-3, signed by the licensee, and filed at the corporation central office, within thirty (30) days of the change~~, unless it is information listed in subsection (3) of this section~~.
- (3) The licensee shall report changes in information in writing within seventy-two (72) hours of the occurrence ~~of~~for these items:
 - (a) Criminal charges;
 - (b) Criminal convictions;
 - (c) License denials and license suspensions of ten (10) days or more;
 - (d) License revocations or fines of \$~~1,000~~500 or more in other jurisdictions;
 - (e) Racing-related disciplinary charges pending in any jurisdiction~~other jurisdictions~~;and
- (f) Withdrawal, with or without prejudice, of a license application by the licensee in any jurisdiction.

Section 18. Temporary Licenses.

- (1)
 - (a) Only an owner shall be~~is~~ eligible for a temporary license.
 - (b) A horse in a trainer's care shall not start in a race unless the owner has a current license or has an application for a temporary license, ~~Temporary Owner's License Application~~, KHRGC 3-020-2, on file with the corporation.
 - (c) A licensed trainer or their designee may apply for a temporary license on behalf of an owner for whom the licensed trainer trains.
 - (d) ~~The corporation may refuse the license if the applicant fails to supply a name, Social Security number, and mailing address for a temporary license.~~
 - ~~(e)~~ A temporary license shall be valid for no more than thirty (30) days from the date of issuance and shall automatically lapse after the 30th day pending completion of all licensing procedures.
 - ~~(e)~~ Upon expiration of the thirty (30) day temporary license, the owner's license shall be suspended or the owner's horses shall be ineligible to race in Kentucky pending completion of all licensing procedures.
 - ~~(f)~~ ~~(g)~~ Completion of all owner licensing procedures prior to the expiration of the temporary license shall extend the owner's license to the end of the calendar year.
 - ~~(g)~~ ~~(h)~~ If a temporary license expires prior to the completion of all owner licensing procedures, the applicant shall pay the~~an additional~~ licensing fee again.
- (2) An owner shall not be eligible to be issued more than one (1) temporary license in any calendar year.
- (3) A temporary license shall not be valid for claiming.

Section 19. Eligibility for Multiple Licenses. More than one (1) license to participate in horse racing may be granted to a person unless~~except if~~ prohibited by Section 20 of this

administrative regulation due to a potential conflict of interest.

Section 20. Conflict of Interest.

(1) The license review committee and the chief state steward or presiding judge or their designees shall deny or refuse to process the license of a person, and the corporation or the chief state steward or presiding judge shall revoke or suspend the license of a licensee, who is determined to have a conflict of interest. A conflict of interest may exist if a spouse, immediate family member, or other person in a similar relationship to the licensee or applicant holds a license that the license review committee or chief state steward or presiding judge finds to be a conflict of interest with the licensee's or applicant's license. A finding of a conflict of interest may be appealed to the corporation pursuant to KRS 230.320 and KRS Chapter 13B.

(2) A racing official who is an owner of either the sire or dam of a horse entered to race shall not act as an official during that race.

(3) A person who is licensed as an owner or trainer, or who has any financial interest in a horse entered in a race, shall not participate in that race as any of the following:

- (a) Racing official;
- (b) Assistant starter;
- (c) Practicing veterinarian for any horse other than the owner's;
- (d) Veterinary technician, veterinary technologist, veterinary assistant, or equine therapist for any horse other than the owner's;
- (e) Officer or managing employee;
- (f) Track maintenance supervisor or employee;
- (g) Outrider;
- (h) Race[]track security employee;
- (i) Farrier;
- (j) Photo finish operator;
- (k) Horsemen's bookkeeper;
- (l) Racing chemist;
- (m) Testing laboratory employee;
- (n) Jockey;
- (o) Apprentice jockey; or
- (p) Jockey agent.

Section 21. License Photo Identification Badges.

(1)

(a) If a licensee desires access to restricted areas of a racing association grounds, then the licensee shall carry on his or her person at all times within the restricted area his or her assigned corporation license (photo identification badge).

(b) A photo identification badge ~~shall be~~^{is} available to a licensee upon presentation of appropriate, valid photo identification by the licensee to corporation personnel at corporation licensing offices.

(2) A person shall present an appropriate license to enter a restricted area.

(3) The stewards or judges or racing association may require visible display of a license in a restricted area.

(4) A license may only be used by the person to whom it is issued, and a licensee shall not allow another person to use his or her badge for any purpose.

(5) Licensee credentials, ~~such as~~ photo identification badges, ~~shall be~~^{are} the property of the corporation and shall be surrendered to the ~~president~~^{executive director}, the stewards or judges, the corporation director of enforcement, or director of licensing, or designee, upon request.

Section 22. Duties of Licensees.

- (1) A licensee shall be knowledgeable of this administrative regulation and, by acceptance of the license, agrees to comply with~~abide by~~ this administrative regulation.
- (2) A licensee shall report to track security or the stewards or judges any knowledge the licensee has that a violation of this administrative regulation has occurred or might~~may~~ occur.
- (3) A licensee shall comply with~~abide by~~ all rulings and decisions of the stewards or judges and the corporation, and all decisions by the stewards or judges and the corporation shall remain in force unless reversed or modified by the corporation or a court of competent jurisdiction upon proper appeal pursuant to KRS 230.330.
- (4) Rulings and decisions of the stewards or judges may be appealed to the corporation, except those made by the stewards or judges as to:
 - (a) Findings of fact as occurred during and incident to the running of a race; and
 - (b) A determination of the extent of disqualification of horses in a race for fouls committed during the race.
- (5) A licensee shall cooperate fully with all investigations and inquiries made by corporation representatives or association security, or both.
- (6) A licensee shall comply with~~obey~~ instructions from corporation representatives or association security, or both.
- (7) All licensees shall immediately report to the corporation any known or suspected irregularities, or any violation of KRS Chapter 230 or KAR Title 810,~~or any wrongdoings by any person,~~ and shall cooperate in any subsequent investigation.

Section 23. Common Law Rights of Associations. The validity of a license shall~~does~~ not preclude or infringe on the common law rights of associations to eject or exclude persons, licensed or unlicensed, from association grounds.

Section 24. Incorporation by Reference.

- (1) The following material is incorporated by reference:
 - (a) "Licensing Application", KHRGC 3-020-1, 02/2022~~10/2025~~;
 - (b) "Temporary Owner's License Application", KHRGC 3-020-2, 11/2018;
 - (c) "Change in Application Information Form", KHRGC 3-020-3, 4/2019;
 - (d) "Veterinarian Approval Form", KHRGC 3-020-4, 4/2019; and
 - (e) "Rule 17, Sections 1 through 10", United States Trotting Association, 2009/2010.
- (2) This material may be inspected, copied, or obtained, subject to applicable copyright law, at the Kentucky Horse Racing and Gaming Corporation~~Commission~~, 4047 Iron Works Parkway, Lexington, Kentucky 40511, Monday through Friday, 8 a.m. to 4:30 p.m. This material is also available at <http://khrc.ky.gov>.

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