

1 PUBLIC PROTECTION CABINET
2 Kentucky Horse Racing Commission
3 (New Administrative Regulation)
4 810 KAR 4:040. Running of the race.

5 RELATES TO: KRS 230.215(2), 230.260(1)

6 STATUTORY AUTHORITY: KRS 230.215(2), 230.260(8)

7 NECESSITY, FUNCTION, AND CONFORMITY: KRS 230.215(2) and 230.260(8) authorize the
8 Kentucky Horse Racing Commission to promulgate administrative regulations prescribing the
9 conditions under which racing shall be conducted in Kentucky. This administrative regulation
10 sets forth the standards and requirements governing the running of a horse race.

11 Section 1. Post Time. Post time for the first race on each racing day shall be approved by
12 the commission. Post time for subsequent races on the same program shall be fixed by the pari-
13 mutuels manager. No race shall start after 11:55 p.m.

14 Section 2. Horses in Paddock Not to be Touched. Only the following persons may touch a
15 horse while in the paddock:

- 16 (1) Licensed owner;
- 17 (2) Licensed trainer;
- 18 (3) Authorized stable personnel;
- 19 (4) Paddock judge;
- 20 (5) Horse identifier;

1 (6) Assigned valet;

2 (7) Steward;

3 (8) Farrier; or

4 (9) Outrider.

5 Section 3. Trainer Responsibility. The trainer shall be responsible for:

6 (1) Arrival in the paddock, at the time prescribed by the paddock judge, of each horse
7 entered;

8 (2) Supervising the saddling of each horse entered; and

9 (3) Providing his or her assistant trainer or another licensed trainer to serve as a substitute
10 if absent from a track where the trainer's horses are participating in races.

11 Section 4. Withdrawal of a Horse. A horse whose starting is mandatory shall run the course,
12 except that the stewards may order the withdrawal of a horse at any time up to the actual start
13 of a race.

14 Section 5. Walkover. If at the time for saddling, only one (1) horse, or horses owned by only
15 one (1) stable, will be weighed out, the horse or horses of single ownership shall be ridden past
16 the stewards' stand, go to the post and then move over the course before determination of the
17 winner.

18 Section 6. Parade to the Post; Time. (1) All horses shall parade and carry their declared
19 weight from the paddock to the starting post. The parade shall pass the stewards' stand. After
20 passing the stewards' stand once, horses may break formation and canter, warm up, or go as
21 they please to the post. With the permission of the stewards, a horse may be excused from
22 parading with the other horses.

1 (2) The parade to the post shall not exceed twelve (12) minutes from the time the field
2 enters upon the track, except in cases of unavoidable delay.

3 (3) If a jockey is thrown on the way to the post:

4 (a) The jockey shall remount at the point at which thrown; or

5 (b) If the jockey is so injured as to require a substitute jockey, the horse shall be returned
6 to the paddock where the horse shall be remounted by a substitute jockey.

7 Section 7. Lead Pony. A horse may be led to the post by a lead pony. Lead ponies may be
8 excluded from the paddock or walking ring, at the discretion of the stewards.

9 Section 8. Control of Horses and Jockeys by Starter. Horses and jockeys shall be under the
10 control of the starter from the moment they enter the track until the race is started.

11 (1) The starter may grant a delay if an injury occurs to any jockey or if a jockey's equipment
12 malfunctions. During the delay, the stewards may require all jockeys to dismount.

13 (2) The starter shall unload the horses in the gate when instructed by the stewards if:

14 (a) A horse breaks through the gate or unseats its jockey after any of the field is loaded in
15 the starting gate; and

16 (b) The horse is not immediately taken in hand by the outrider and brought back for
17 reloading.

18 (3) The starter shall reload the horses in their proper order upon order of the stewards.

19 (4) The starter shall report all causes of delay to the stewards.

20 (5) A person other than the jockey, starter, or assistant starter shall not strike a horse or
21 attempt, by shouting or other means, to assist the horse in getting a start.

1 Section 9. Starting Gate. Races on the flat shall use a starting gate approved by the
2 commission unless exempted by the stewards. Exempted races shall not start until the assistant
3 starter has dropped the flag in answer to the starter.

4 Section 10. Horses Left at Post. (1) If a door at the front of the starting gate fails to open
5 properly and timely when the starter dispatches the field, or if a horse has inadvertently not been
6 loaded in the starting gate when the field is dispatched, thereby causing the horse to be left at
7 the post, the starter shall immediately report the circumstance to the stewards who shall:

8 (a) Immediately post the "inquiry" sign;

9 (b) Advise the public to hold all pari-mutuel tickets; and

10 (c) Determine, after consulting with the starter and viewing the patrol films or video tapes,
11 whether the horse was precluded from obtaining a fair start.

12 (2) If the stewards determine that the horse was precluded from obtaining a fair start, the
13 stewards shall rule the horse a nonstarter and shall order money wagered on the horse deducted
14 from the pari-mutuel pool and refunded to holders of pari-mutuel tickets on the horse, unless
15 the horse ruled a nonstarter is part of a mutuel entry and another horse in the entry is not left at
16 the post, in which case there shall not be a pari-mutuel refund.

17 (3) Stakes fees for a ruled nonstarter shall be refunded to the owner.

18 (4) The starter may, in his or her discretion, place an unruly or fractious horse on the outside
19 of the starting gate and one (1) length behind the starting line. If the horse so stationed outside
20 the starting gate by the starter dwells or refuses to break with the field and is thereby left at the
21 post, there shall not be a refund of pari-mutuel wagers on the horse nor refund of stakes fees
22 paid for the horse.

1 Section 11. Horses Failing to Finish. Any horse that starts in a race but does not cross the
2 finish line or is not ridden across the finish line by the jockey with whom it starts the race shall
3 be declared unplaced and shall receive no portion of the purse money.

4 Section 12. Fouls. A leading horse if clear is entitled to any part of the track. If a leading
5 horse or any other horse in a race swerves or is ridden to either side so as to interfere with,
6 intimidate, or impede any other horse or jockey, or to cause the same result, this action shall be
7 deemed a foul. If a jockey strikes another horse or jockey, it is a foul. If in the opinion of the
8 stewards a foul alters the finish of a race, an offending horse may be disqualified by the stewards.

9 Section 13. Stewards to Determine Foul Riding. A jockey shall make his best effort to control
10 and guide his mount in such a way as not to cause a foul. The stewards shall take cognizance of
11 riding that results in a foul, irrespective of whether an objection is lodged. If in the opinion of the
12 stewards a foul is committed as a result of a jockey not making his best effort to control and guide
13 his mount to avoid a foul, whether intentionally or through carelessness or incompetence, the
14 jockey may be penalized at the discretion of the stewards.

15 Section 14. Horses to be Ridden Out. Every horse in every race shall be ridden so as to win
16 or finish as near as possible to first and demonstrate the best and fastest performance of which
17 it is capable at the time. A horse shall not be eased up without adequate cause, even if it has no
18 apparent chance to earn a portion of the purse money. A jockey who unnecessarily causes a
19 horse to shorten stride may be penalized at the discretion of the stewards. Stewards shall take
20 cognizance of any marked reversal of form of a horse and shall conduct inquiries of the licensed
21 owner, licensed trainer, and all other persons connected with the horse. If the stewards find that
22 the horse was deliberately restrained or impeded in any way or by any means so as not to win or

1 finish as near as possible to first, any person found to have contributed to that circumstance may
2 be penalized at the discretion of the stewards.

3 Section 15. Use of Riding Crops. (1) Although the use of a riding crop is not required, a jockey
4 who uses a riding crop during a race shall do so only in a manner consistent with exerting his or
5 her best efforts to win.

6 (2) In any race in which a jockey will ride without a riding crop, an announcement of that
7 fact shall be made over the public address system.

8 (3) An electrical or mechanical device or other expedient designed to increase or retard the
9 speed of a horse, other than a riding crop approved by the stewards pursuant to 810 KAR 4:010,
10 Section 11 shall not be possessed by anyone, or applied by anyone to a horse at any time at a
11 location under the jurisdiction of the racing commission.

12 (4) A riding crop shall not be used on a two (2) year-old horse in races before April 1 of each
13 year.

14 (5) A riding crop shall only be used for safety, correction and encouragement.

15 (6) A rider who uses a riding crop shall:

16 (a) Show the horse the riding crop and give the horse time to respond before striking the
17 horse;

18 (b) Having used the riding crop, give the horse a chance to respond before using it again;
19 and

20 (c) Use the riding crop in rhythm with the horse's stride.

21 (7) A riding crop shall not be used to strike a horse:

1 (a) On the head, flanks or on any other part of its body other than the shoulders or hind
2 quarters except if necessary to control a horse;

3 (b) During the post parade or after the finish of the race except if necessary to control the
4 horse;

5 (c) Excessively or brutally;

6 (d) Causing welts or breaks in the skin;

7 (e) If the horse is clearly out of the race or has obtained its maximum placing; and

8 (f) Persistently even though the horse is showing no response under the riding crop.

9 (8) A riding crop shall not be used to strike another person.

10 (9) After the race, a horse may be subject to inspection by a racing official or official
11 veterinarian looking for cuts, welts or bruises in the skin. Any adverse findings shall be reported
12 to the stewards.

13 (10) The giving of instructions by any licensee that if obeyed would lead to a violation of
14 this section may result in disciplinary action also being taken against the licensee who gave the
15 instructions.

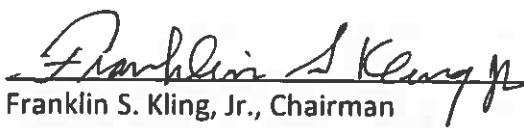
16 Section 16. Other Means of Altering Performance. An electrical or mechanical appliance,
17 other than a riding crop, shall not be used to affect the speed of a horse in a race or workout. A
18 sponge or other object shall not be used to interfere with the respiratory system of a horse. Use
19 or nonuse of ordinary racing equipment shall be consistent and any change of equipment shall
20 be approved by the stewards.

21 Section 17. Official Order of Finish as to Pari-mutuel Payoff. When satisfied that the order
22 of finish is correct and that the race has been properly run in accordance with the rules and

1 administrative regulations of the commission, the stewards shall order that the official order of
2 finish be confirmed and the official sign posted for the race. The decision of the stewards as to
3 the official order of finish for pari-mutuel wagering purposes is final and no subsequent action
4 shall set aside or alter the official order of finish for the purposes of pari-mutuel wagering.

810 KAR 4:040

READ AND APPROVED:



Franklin S. Kling, Jr., Chairman
Kentucky Horse Racing Commission

11/12/18

Date



K. Gail Russell, Acting Secretary
Public Protection Cabinet

11/13/18

Date

PUBLIC HEARING AND PUBLIC COMMENT PERIOD: A public hearing on this administrative regulation shall be held on December 28, 2018 at 10:00 a.m., at the office of the Kentucky Horse Racing Commission, 4063 Iron Works Parkway, Building B, Lexington, Kentucky 40511. Individuals interested in being heard at this hearing shall notify the Kentucky Horse Racing Commission in writing by no later than five (5) working days prior to the hearing of their intent to attend. If no notification of intent to attend the hearing is received by that date, the hearing may be cancelled. This hearing is open to the public. Any person who wishes to be heard will be given an opportunity to comment on the proposed administrative regulation. A transcript of the public hearing will not be made unless a written request for a transcript is made. If you do not wish to be heard at the public hearing, you may submit written comments on the proposed administrative regulation. Written comments shall be accepted through 11:59 p.m., December 31, 2018. Please send written notification of intent to be heard at the public hearing or written comments on the proposed administrative regulation to the contact person below.

CONTACT PERSON: John L. Forgy
General Counsel
Kentucky Horse Racing Commission
4063 Iron Works Parkway, Building B
Lexington, KY 40511
Phone: (859) 246-2040
Facsimile: (859) 246-2039
Email: John.Forgy@ky.gov

REGULATORY IMPACT ANALYSIS AND TIERING STATEMENT

Regulation No.: 810 KAR 4:040
Contact Person: John L. Forgy, General Counsel, Kentucky Horse Racing Commission;
Telephone: (859) 246-2040; Email: John.Forgy@ky.gov

(1) Provide a brief summary of:

(a) What this administrative regulation does: This administrative regulation establishes the rules concerning the running of the race in thoroughbred and other flat racing.

(b) The necessity of this administrative regulation: This administrative regulation is necessary to provide specific rules concerning the running of the race in thoroughbred and other flat racing.

(c) How this administrative regulation conforms to the content of the authorizing statutes: KRS 230.215(2) and 230.260(8) authorize the Commission to promulgate administrative regulations prescribing the conditions under which racing shall be conducted in Kentucky. This administrative regulation prescribes the conditions relating to the running of the race in thoroughbred and other flat racing.

(d) How this administrative regulation currently assists or will assist in the effective administration of the statutes: This administrative regulation sets forth requirements and rules concerning the running of the race in thoroughbred and other flat racing that enhance the integrity of racing.

(2) If this is an amendment to an existing administrative regulation, provide a brief summary of:

(a) How the amendment will change this existing administrative regulation: This is a new administrative regulation.

(b) The necessity of the amendment to this regulation: This is a new administrative regulation.

(c) How the amendment conforms to the content of the authorizing statute: This is a new administrative regulation.

(d) How the amendment will assist in the effective administration of the statutes: This is a new administrative regulation.

(3) List the type and number of individuals, businesses, organizations, or state and local governments affected by this administrative regulation: Kentucky's five licensed thoroughbred

race tracks, and all individual participants in horse racing, are potentially affected by this administrative regulation's establishment of fundamental rules pertaining to the conduct of racing. In the year 2017, the Commission licensed over 22,000 individuals to participate in horse racing. This number is consistent from year to year.

(4) Provide an analysis of how the entities identified in question (3) will be impacted by either the implementation of this administrative regulation, if new, or by the change, if it is an amendment, including:

(a) List the actions that each of the regulated entities identified in question (3) will have to take to comply with this administrative regulation or amendment: Participants in horse racing, and especially owners, trainers and jockeys, will be required to adhere to the requirements and rules set forth in this administrative regulation pertaining to the running of the race in thoroughbred and other flat racing.

(b) In complying with this administrative regulation or amendment, how much will it cost each of the entities identified in question (3): No significant costs are associated with complying with this administrative regulation.

(c) As a result of compliance, what benefits will accrue to the entities identified in question (3)? Participants in racing will benefit from clearly defined rules that enhance the integrity of racing.

(5) Provide an estimate of how much it will cost the administrative body to implement this administrative regulation:

(a) Initially: There is no initial cost to implement this administrative regulation.

(b) On a continuing basis: There is no continuing cost to implement this administrative regulation.

(6) What is the source of the funding to be used for the implementation and enforcement of this administrative regulation: No funding will be necessary to implement and enforce this administrative regulation.

(7) Provide an assessment of whether an increase in fees or funding will be necessary to implement this administrative regulation, if new, or by the change if it is an amendment: No additional fees or funding are necessary to implement this administrative regulation.

(8) State whether or not this administrative regulation establishes any fees or directly or indirectly increases any fees: This administrative regulation does not establish any new fees or increase any current fees to participate.

(9) TIERING: Is tiering applied? (Explain why tiering was or was not used.) Tiering was not applied because this administrative regulation will apply to all similarly situated entities in an equal manner.

FISCAL NOTE ON STATE OR LOCAL GOVERNMENT

Regulation No.: 810 KAR 4:040

Contact Person: John L. Forgy, General Counsel, Kentucky Horse Racing Commission;
Telephone: (859) 246-2040; Email: John.Forgy@ky.gov

1. What units, parts or divisions of state or local government (including cities, counties, fire departments, or school districts) will be impacted by this administrative regulation? The Kentucky Horse Racing Commission will be impacted by this administrative regulation.

2. Identify each state or federal statute or federal regulation that requires or authorizes the action taken by the administrative regulation. KRS 230.215, 230.225, 230.240, 230.260, 230.290, 230.310, 230.320, 230.370.

3. Estimate the effect of this administrative regulation on the expenditures and revenues of a state or local government agency (including cities, counties, fire departments, or school districts) for the first full year the administrative regulation is to be in effect.

(a) How much revenue will this administrative regulation generate for the state or local government (including cities, counties, fire departments, or school districts) for the first year? This administrative regulation will not generate revenue for state or local government for the first year.

(b) How much revenue will this administrative regulation generate for the state or local government (including cities, counties, fire departments, or school districts) for subsequent years? This administrative regulation will not generate revenue for state or local government for subsequent years.

(c) How much will it cost to administer this program for the first year? There will be no cost to administer this regulation for the first year.

(d) How much will it cost to administer this program for subsequent years? There will be no cost to administer this regulation for subsequent years.

Note: If specific dollar estimates cannot be determined, provide a brief narrative to explain the fiscal impact of the administrative regulation.

Revenues (+/-): Neutral.

Expenditures (+/-): Neutral.

Other Explanation: None.