

1 PUBLIC PROTECTION CABINET

2 Kentucky Horse Racing Commission

3 (New Administrative Regulation)

4 810 KAR 5:001. Definitions.

5 RELATES TO: 810 KAR Chapter 5

6 STATUTORY AUTHORITY: KRS 230.215, 230.260(8)

7 NECESSITY, FUNCTION, AND CONFORMITY: KRS 230.215(2) grants the commission the  
8 authority to regulate conditions under which thoroughbred racing shall be conducted in  
9 Kentucky. KRS 230.260(8) grants the commission the authority to prescribe necessary and  
10 reasonable administrative regulations and conditions under which horse racing at a horse race  
11 meeting shall be conducted in this state. This administrative regulation defines the terms used  
12 in 810 KAR Chapter 5.

13 Section 1. Definitions.

14 (1) "Added money" means the amount of money, exclusive of trophy, added into a stakes  
15 race by an association, a sponsor, a state-bred program, or other fund, and which is in addition  
16 to stakes fees paid by subscribers.

17 (2) "Age" means the number of years since a horse was foaled, reckoned as if the horse  
18 was foaled on January 1 of the year in which the horse was foaled.

19 (3) "Also eligible" means in standardbred racing:

1 (a) An eligible horse, properly entered, which is not drawn for inclusion in a race, but  
2 which becomes eligible according to preference or lot if another horse is scratched prior to the  
3 scratch time deadline; or

4 (b) The next preferred nonqualifier for the finals, or consolation from a set of  
5 elimination trials, which becomes eligible if a finalist is scratched by the judges for a rule  
6 violation, or is otherwise eligible if written race conditions permit.

7 (4) "Appeal" means a request for the commission to investigate, consider, and review any  
8 decision or ruling of a steward or judge or official of a meeting.

9 (5) "ARCI" means the Association of Racing Commissioners International.

10 (6) "Association" is defined by KRS 230.210(1).

11 (7) "Claiming race" means a race in which ownership of a horse participating in the race  
12 may be transferred in conformity with 810 KAR 5:030.

13 (8) "Closing" means the time published by the association after which entries for a race  
14 will not be accepted by the racing secretary.

15 (9) "Coggins test" means a blood test used to determine if a horse is positive for Equine  
16 Infectious Anemia.

17 (10) "Commission" means:

18 (a) The Kentucky Horse Racing Commission (formerly known as the Kentucky Horse Racing  
19 Authority and defined in KRS 230.210(2)) if used in the context of the administrative agency  
20 governing horse racing and pari-mutuel wagering; and

21 (b) The amount an association is authorized to withhold from a pari-mutuel wager  
22 pursuant to KRS 230.3615, if used in the context of pari-mutuel wagering.

1 (11) "Condition race" means an overnight race in which eligibility is determined according  
2 to specified conditions, which may include the following:

3 (a) Age;

4 (b) Sex;

5 (c) Earnings;

6 (d) Number of starts; or

7 (e) Positions of finishes.

8 (12) "Conditions" means qualifications that determine a horse's eligibility to be entered in  
9 a race.

10 (13) "Coupled entry" means two (2) or more horses in a race that are treated as a single  
11 betting interest for pari-mutuel wagering purposes.

12 (14) "Dash" means in standardbred racing a race in a single trial or in a series of two (2) or  
13 three (3) races governed by one (1) entry fee for the series, in which a horse starts in all dashes  
14 with positions drawn for each dash and the number of purse distributions or payouts awarded  
15 does exceed the number of starters in the dash.

16 (15) "Day" means any twenty-four (24) hour period beginning at 12:01 a.m. and ending at  
17 midnight.

18 (16) "Declaration" means in standardbred racing the naming of a particular horse as a  
19 starter in a particular race.

20 (17) "Disqualification" means a ruling of the stewards, judges, or the commission revising  
21 the order of finish of a race.

22 (18) "Draw" means the process of determining post positions by lot.

1 (19) "Driver" means in standardbred racing a person who is licensed to drive a horse in a  
2 race.

3 (20) "Early closing race" means in standardbred racing a race for a definite amount of  
4 money in which entries close at least six (6) weeks prior to the race.

5 (21) "Electronic eligilby" means a computer-generated eligibility certificate that records a  
6 horse's racing statistics.

7 (22) "Elimination heat" means in standardbred racing an individual heat of a race in which  
8 the contestants qualify for a final heat.

9 (23) "Entry" means the act of nominating a horse for a race in conformance with Title 810  
10 KAR.

11 (24) "Extended pari-mutuel meeting" means in standardbred racing a meeting or series of  
12 meetings, at which no agriculture fair is in progress, with an annual total of more than six (6)  
13 days duration and during which pari-mutuel wagering is permitted.

14 (25) "Field" or "mutuel field" means a single betting interest involving more than one (1)  
15 horse which is not a mutuel entry.

16 (26) "Forfeit" means money due by a licensee because of an error, fault, neglect of duty,  
17 breach of contract, or alternative ruling of the stewards, judges, or the commission.

18 (27) "Foul" means any action by any jockey or driver that tends to hinder another jockey  
19 or any horse in the proper running of the race.

20 (28) "Futurity" means in standardbred racing a stake in which the dam of the competing  
21 animal is nominated either when in foal or during the year of foaling.

1 (29) "Handicap" means in standardbred racing a race in which allowances are made  
2 according to a horse's :

3 (a) Age;

4 (b) Sex;

5 (c) Claiming price; or

6 (d) Performance.

7 (30) "Horse" means any equine irrespective of age or sex designation and registered for  
8 racing with the applicable breed registry.

9 (31) "Ineligible" means a horse or person not qualified under Title 810 KAR or conditions  
10 of a race to participate in a specified racing activity.

11 (32) "In harness" means, in standardbred racing, that the performance will be to a sulky.

12 (33) "Judge" means a duly appointed racing official with powers and duties specified in  
13 810 KAR 2:050 serving at a current meeting in the Commonwealth.

14 (34) "Late closing race" means in standardbred racing a race for a fixed amount of money  
15 in which entries close less than six (6) weeks but not more than three (3) days before the race is  
16 to be contested.

17 (35) "Lessee" means a licensed owner whose interest in a horse is a leasehold.

18 (36) "Licensed premises" means the location and physical plant described in response to  
19 question R of the "Commonwealth of Kentucky Initial/Renewal Application for License to  
20 Conduct Live Horse Racing, Simulcasting, and Pari-Mutuel Wagering" filed for racing to be  
21 conducted in the following year. Licensed premises may also include real property of an

1 association, if the association receives approval from the commission for a new location at  
2 which live racing will be conducted.

3 (37) "Licensee" means an individual, firm, association, partnership, corporation, trustee,  
4 or legal representative that has been duly issued a currently valid license to participate in racing  
5 in the Commonwealth.

6 (38) "Meeting" means the entire period of consecutive days, exclusive of dark days,  
7 granted by the commission to a licensed association for the conduct of live horse racing. A  
8 meeting shall begin at 10 a.m. of the first racing day and extend through a period ending one  
9 (1) hour after the last scheduled race of the last day.

10 (39) "Month" means calendar month.

11 (40) "Mutuel entry" means a single betting interest involving two (2) or more horses  
12 entered in the same race and joined for pari-mutuel purposes because of common ties as to  
13 ownership or training so that a wager on one (1) horse joined in a mutuel entry is a wager on all  
14 horses joined in the same mutuel entry.

15 (41) "Nomination" means a subscription or entry of a horse in a stakes or early closing  
16 race.

17 (42) "Nominator" means the person in whose name a horse is entered for a stakes race.

18 (43) "Objection" means a verbal claim of foul in a race lodged by the horse's jockey,  
19 driver, trainer, or owner before the race is declared official.

20 (44) "Official time" means the elapsed time from the moment the first horse crosses the  
21 timing beam until the first horse crosses the finish line.

1 (45) "Overnight race" means a contest for which entries close at a time set by the racing  
2 secretary.

3 (46) "Owner" means any person who holds, in whole or in part, any right, title, or interest  
4 in a horse, or any lessee of a horse, who has been duly issued a currently valid owner's license  
5 as a person responsible for the horse.

6 (47) "Pari-mutuel wagering," "mutuel wagering", or "pari-mutuel system of wagering"  
7 each means a system or method of wagering approved by the commission in which patrons are  
8 wagering among themselves and not against the association and amounts wagered are placed  
9 in one or more designated wagering pools and the net pool is returned to the winning patrons.

10 (48) "Patron" means an individual present at a track or a simulcast facility who observes  
11 or wagers on a live or historical horse race.

12 (49) "Post" means the starting point of a race.

13 (50) "Post position" means the relative place assigned to each horse, numbered from the  
14 inner rail across the track at the starting line, from which each horse is to start a race.

15 (51) "Post time" means the advertised moment scheduled for the arrival of all horses at  
16 the starting point for a race.

17 (52) "Protest" means a written objection charging that a horse is ineligible to race, alleging  
18 improper entry procedures, or citing any act of an owner, trainer, driver, or official prohibited  
19 by rules which, if true, would exclude that horse or driver from racing.

20 (53) "Purse" means the gross cash portion of the prize for which a race is run.

1 (54) "Purse race" means any race for which entries close at a time designated by the  
2 racing secretary, and for which owners of horses entered are not required by its conditions to  
3 contribute money toward its purse.

4 (55) "Race" means a running contest between horses, ridden by jockeys or driven by  
5 drivers at a recognized meeting, during regular racing hours, for a prize.

6 (56) "Race day" means any period of twenty-four (24) hours beginning at 12:01 a.m. and  
7 ending at midnight in which live racing is conducted by an association.

8 (57) "Racing official" means a racing commission member, commission staff, as duties  
9 require, and all association racing department employees, as duties require.

10 (58) "Registration certificate" means the document, racing permit, or virtual certificate  
11 issued by the appropriate breed registry identifying the horse for racing.

12 (59) "Result" means the part of the official order of finish in a race used to determine the  
13 pari-mutuel payoff of pools.

14 (60) "Rulings" means all determinations, decisions, or orders of the stewards or of the  
15 commission duly issued in writing and posted.

16 (61) "Scratch" means the withdrawal of a horse entered for a race after the time of closing  
17 of entries for the race in conformance with Title 810 KAR.

18 (62) "Scratch time" means the time set by the racing secretary as a deadline for horsemen  
19 to indicate their desire to scratch out of a race.

20 (63) "Simulcasting" is defined by KRS 230.210(11).



1           (72) "Year" means twelve (12) consecutive months beginning with January and ending  
2   with December.

1 (64) "Stable name" means in standardbred racing a name used other than the actual legal  
2 name of an owner or lessee and which has been registered with the United States Trotting  
3 Association.

4 (65) "Stake" means in standardbred racing a race which will be contested in a year  
5 subsequent to its closing in which the money given by the association conducting the race is  
6 added to the money contributed by the nominators, all of which except deductions for  
7 breeders or nominator's awards belongs to the winner or winners, and in which, except as  
8 provided in 810 KAR 5:050, Section 6, all of the money contributed by the nominators belongs  
9 to the winner or winners.

10 (66) "Stakes" mean all fees paid by subscribers to an added-money or stakes race for  
11 nominating, eligibility, entrance, or starting, as may be required by the conditions of the race,  
12 with the fees to be included in the purse.

13 (67) "Starter" means either:

14 (a) An official who dispatches the horses from the starting gate; or

15 (b) A horse in a race when the starting gate doors open in front of it at the moment the  
16 starter dispatches the horses for the race.

17 (68) "Subscription" means nomination or entry of a horse in a stakes race.

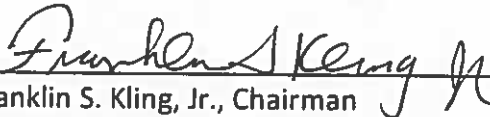
18 (69) "Sulky" means a dual-wheel racing vehicle with dual shafts not exceeding the height  
19 of the horse's withers.

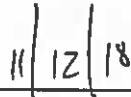
20 (70) "Suspended" means withdrawal by the steward or commission of racing privileges.


21 (71) "USTA" means the United States Trotting Association.

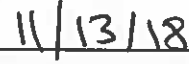
810 KAR 5:001

READ AND APPROVED:

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

  
\_\_\_\_\_  
Date

  
\_\_\_\_\_  
K. Gail Russell, Acting Secretary  
Public Protection Cabinet

  
\_\_\_\_\_  
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](mailto:John.Forgy@ky.gov)

## REGULATORY IMPACT ANALYSIS AND TIERING STATEMENT

Regulation No.: 810 KAR 5:001  
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 definitions for terms used in 810 KAR Chapter 5.

(b) The necessity of this administrative regulation: This administrative regulation is necessary to ensure that various terms used in 810 KAR Chapter 5 are defined properly and precisely.

(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 regulation sets forth defined terms that are used in the regulations in 810 KAR Chapter 5.

(d) How this administrative regulation currently assists or will assist in the effective administration of the statutes: This administrative regulation fulfills the Commission's statutory mandate to prescribe the conditions under which horse racing is conducted in the Commonwealth by defining terms used in 810 KAR Chapter 5.

(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 licensed race tracks and all individual licensed participants in horse racing are potentially affected by this administrative

regulation's establishment of definitions 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: Licensed racing associations and individual participants in horse racing will be required to adhere to the requirements and rules set forth in the regulations in Title 810 KAR pertaining to horse racing. This administrative regulation defines terms that appear in 810 KAR Chapter 5.

(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 administrative 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 significant funding will be necessary to implement and enforce this administrative regulation. Any minimal costs will be funded from the budget of the Commission.

(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 amended regulation will apply to all similarly situated entities in an equal manner.**

FISCAL NOTE ON STATE OR LOCAL GOVERNMENT

Regulation No.: 810 KAR 5:001  
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, 230.260.

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? No funds will be required to administer this regulation for the first year.

(d) How much will it cost to administer this program for subsequent years? No funds will be required 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