

CHAPTER 3
--- OCCUPATIONAL LICENSEES ---

100's --- WHO MAY/MUST OBTAIN A LICENSE

3.102 - A person shall not participate in pari-mutuel racing under the jurisdiction of the Commission without a valid license issued by the Division. The following occupational (license) categories shall apply: Business; Key; Support; and Registration.

The Commission/Division shall establish appropriate sub-categories within each occupational (license) category to reflect the nature of the activity to be performed.

Persons required to be licensed shall submit a completed application on forms furnished by the Commission/Division prior to commencement of activities permitted by such license.

3.103 - New meet or renewal meet applications must be accompanied by an audited financial statement completed by an independent certified accountant.

3.104 - A licensed parent or legal guardian may employ their child to work within or around the kennel/stable area. The child employed must be licensed and if the child is younger than fourteen (14) years of age, the parent or legal guardian will be held responsible for the proper conduct of that child. A child who is fourteen (14) years of age or older, licensed and has the written approval of their parent or legal guardian may be employed by a person other than their parent or legal guardian.

3.105 – In connection with Section 12-60-202(3)(h), C.R.S., the Division Director shall establish and adjust, if necessary, source market fees, fees for race meets and other licenses issued. The total receipts from all licenses issued shall generate sufficient revenue to meet the total costs of the Division.

200's --- PROCEDURE FOR OBTAINING A LICENSE

3.200 - Any applicant for licensure may be required by the Division to demonstrate knowledge, qualifications and proficiency related to the license for which application is made through an examination approved and administered by the Division or its designee.

3.202 - Application forms shall be completed under the penalty of perjury. The application forms may include questions concerning the following:

:1 - Personal background information;

:2 - Financial information;

:3 - Participation in legal or illegal activities in Colorado or other jurisdictions, including foreign countries;

:4 - Criminal record information;

:5 - Information concerning all pecuniary and equity interests in the applicant; and

:6 - Other information as required.

3.204 - The application forms shall be accompanied and supplemented by such documents and information as may be specified or required. Failure to supply the information requested within five (5) days after the request has been made by the Division constitutes grounds for delaying consideration of the application.

3.206 – An applicant for initial licensure, and a renewal applicant on a cycle of every other renewal thereafter, in the categories of business, key or support shall be fingerprinted. Applicants shall also be fingerprinted if for any reason they have been asked by the Division to submit a new application. These reasons may include, but are not limited to, someone reapplying after more than one (1) year has elapsed since the expiration of the most recent license, if someone has been denied or revoked by an action of the Commission or Division, or when additional information may be needed to proceed with a background investigation.

3.208 - Any applicant for a license may be required to establish age by the presentation of a certified birth certificate.

3.210 - All application forms supplied by the Division shall include a waiver of any right of confidentiality and a provision which allows the information contained in the application to be accessible to law enforcement agents of this or any other state or the government of the United States.

3.212 - The Commission shall establish and post the fees to be charged for the various licenses. All persons shall pay the required fees as part of the requirements for qualification for licensure. Such fees are non-refundable.

300's --- DENIAL, SUSPENSION, RESTRICTION OF LICENSE

3.300 - All licensed persons are held responsible for the safekeeping of their license. A license shall not be transferable and a licensed person shall not allow another to use their license for the purpose of transferring any of the privileges pertaining to it.

3.302 - It is the Commission's and Division's policy to recognize and uphold the rulings of other racing jurisdictions or breed registries which are recognized as official registries by the Commission. Also, the Commission and Division reserve the right to deny the application for a license of any person licensed in another racing jurisdiction.

3.304 - The Commission or Division Director may deny a license to any person who demonstrates untrustworthiness or incompetency in the performance of the duties required of the applicant. The Commission or Division may require and procure any proof deemed necessary with reference to the truthfulness, honesty and competence of any applicant.

3.306 - A person required to be licensed in Colorado must have the license validated for the current meet before being granted the privileges of the racetrack or simulcast facility. To obtain validation

the person must have an animal at the racetrack or show proof of gainful employment at the racetrack or simulcast facility and must complete a validation form. Falsification of the validation form shall constitute grounds for discipline.

3.308 - The Division may issue a temporary license or registration for a period not to exceed ninety (90) days which badge is conditioned upon the Division's investigation and determination on whether to grant or deny an application for licensure. Issuance of a license badge does not constitute approval for licensure. Written notification of either approval or denial will be sent to the applicant within ninety (90) days of application at the address provided to the Division. Until such time as the application has been approved or denied, the applicant is operating under a temporary license. Any temporary license issued by the Division shall expire immediately upon determination by the Division on the license or registration application or within ninety (90) days of application, whichever occurs first. During the time that any temporary license is valid, the holder of such temporary license shall be required to comply with all laws and rules. License applicants who do not want to accept the conditions of a temporary license badge issued pursuant to this rule may request in writing to wait until the Division has completed its investigation and approved the applicant for licensure. A license or registration not issued within ninety (90) days shall require a new application to be filed on a form provided by the Division.

3.310 - Dual licenses will not be issued, if, in the opinion of the Division or the Commission, there is a conflict of interest in holding more than one (1) license.

400's --- DUTIES, OBLIGATIONS, PROHIBITED PRACTICES

3.400 - It is the duty of each licensee to promptly advise in writing the Division of any change in their current mailing address.

3.402 - Any licensee mounted on a horse or stable pony on association grounds, must wear a properly secured safety helmet at all times. The licensee is responsible for providing sufficient evidence that his/her helmet meets one of the following safety standards:

- (a) American Society for Testing and Materials (ASTM 1163);
- (b) UK Standards (EN-1384 and PAS-015); or,
- (c) Australian/New Zealand Standard (AS/NZ 3838).

Any person mounted on a horse or stable pony on the association racing surface, all assistant starters and anyone handling a horse in a starting gate, must wear a safety vest at all times. The safety vest must comply with one of the following minimum standards:

- (a) British Equestrian Trade Association (BETA):2000 Level 1;
- (b) Euro Norm (EN) 13158:2000 Level 1;
- (c) American Society for Testing and Materials (ASTM) F2681-08;

(d) Shoe and Allied Trade Research Association (SATRA) Jockey Vest Document M6 Issue 3; or,

(e) Australian Racing Board (ARB) Standard 1.1998.

And all jockeys shall wear a safety vest of the type approved by the Commission, when they are performing their duties on a horse racetrack.

The Commission adopts as part of Rule 3.402 of the Colorado Racing Commission rules certain industry standards referred to in this Rule 3.402. Such industry standards are published by the American Society for Testing and Materials, British Equestrian Trade Association, Shoe and Allied Trade Research Association (SATRA), or Australian Racing Board (ARB) Standard. These industry standards were promulgated pursuant to the bodies, boards or committees or sub-committees with body protection expertise. This rule incorporates these industry standards as they existed on March 15, 2010. This rule does not include amendments to or later editions of the incorporated industry standards.

Certified copies of the complete text of the material incorporated are maintained at the Colorado Department of Revenue Division of Racings Events, 1881 Pierce Street, Room 108, Lakewood, Colorado 80214-1494, and may be inspected by contacting the Rule Coordinator at that address during normal business hours. The incorporated material may also be examined at any state publications depository library. Certified copies shall be provided at cost upon request.

3.404 - Each licensee, in accepting a license, does consent to a search. Each employee of an association, in accepting employment, and each vendor who is permitted to sell and distribute merchandise about the racetrack or simulcast facility does also consent to a search.

3.406 - Each supervisor, owner and/or trainer shall be held responsible for the licensing of every employee under their supervision and shall make every effort to insure that any of their employees who are discharged surrender their license(s).

3.408 - All licenses shall be issued subject to the provisions of these Rules and the Law.

3.410 - Any licensee is obligated to accept these Rules and the Law on all questions to which they are related.

3.412 - All licensees shall report any criminal actions, rule violations or other suspicious acts involving pari-mutuel wagering by any person immediately to the Division or Division Representative and cooperate in subsequent investigations.

3.414 - All licenses remain the property of the Commission and Division, and shall be returned upon demand of the Commission, Division, or its designee.

3.416 - Every licensee is charged with being financially responsible for services, supplies, or other such obligations that are directly related to the licensee's race-related activities at an approved

Colorado racetrack. If the Division receives sufficient proof of financial irresponsibility concerning race-related matters, it shall take appropriate action within its authority, including fines, suspension of a licensee's license, or recommending the Commission revoke a licensee's license.

1. A financial responsibility complaint against a licensee shall be in writing, signed by the complainant and accompanied by documentation of the services, supplies or fees alleged to be due.
2. The Division shall notify the licensee and the complainant of the time and place when the financial responsibility complaint shall be heard. The complainant must appear at the hearing in order to prosecute the complaint.
3. The complainant shall bear the burden to prove the validity of the licensee's alleged obligations and the degree to which the obligations have not been satisfied.
4. The Division shall consider either 1) a certified judgment from a court of competent jurisdiction or 2) non-sufficient checks or checks written against a closed account, written to the division, racing association, or other licensee as a presumption of the validity of an alleged debt.
5. This rule does not obligate the Division or the Commission to collect debts owned by licensees.

3.418 - All licensed persons desiring to be in a restricted area of any racetrack or simulcast facility shall be required to hold and properly display a current validated license badge issued by the Division at all times while the licensee is in a restricted area. To obtain a license a person may be photographed and fingerprinted. Failure of a licensee to properly display such a license badge may constitute grounds for discipline.

Proper display of the license badge depends on the restricted area: (1) on private, public, or association kennel compounds and stable areas, horse racing strip, and grooms in association uniforms in a greyhound paddock or greyhound racing strip, proper display of a license badge shall mean the badge shall be readily available and displayed upon demand by any Division representative or association official; and (2) in all other restricted areas, proper display of a license badge shall consist of wearing the badge at or above the waist, with the photo of the licensee readily visible to any observer.

The licensee shall not alter, obscure, damage, or deface the badge, including the photographic image of the licensee, and any information contained or represented thereon, in any way.

3.420 - All visitors must obtain a visitor identification badge from a Division or association representative prior to entering a restricted or secure area of the racetrack or simulcast facility except as set forth in CRCR 3.422 and unless otherwise authorized by the Division or Commission. The visitor identification badge must be visibly displayed as described in rule 3.418 at all times while the visitor is in a restricted or secure area. All visitor identification badges shall be returned to the issuing agency upon exiting the premises or upon demand by the Division.

3.422 - All persons upon the premises of a housing kennel facility whether private or public or racetrack stable area must have in their possession a current validated license or be accompanied by a current licensee who shall be responsible.

3.424 - No licensed mutuel department employee or security employee shall willfully wager during working hours. No association general partner, officer, director, or racing official shall wager on any live race conducted at their facility, or on any race where they may have access to wagering information not available to the public.

3.425 - Wagering by those who maintain care and custody of a racing animal, including jockeys and jockey agents is prohibited except as set forth herein. Care and custody of a racing animal shall mean any person having contact with a racing animal seventy-two (72) hours prior to racing for the purpose of preparing, conditioning, treating or medicating the animal for that event.

1. Any person having immediate care and custody of more than one (1) animal entered in a particular race, or in a particular race in which the licensee has an animal entered and the animal has been scratched for any reason, shall not wager either directly or indirectly on that race.
2. Any person may wager on a race in which no animal in his/her immediate care is entered in that race unless excluded from wagering by law or regulation.
3. Any person having immediate care and custody of one (1) animal entered in a particular race may wager either directly or indirectly on that race only under the following conditions:
 - a. Straight pools - if that person uses his/her own animal and the amount wagered on any other animal does not exceed the amount wagered on his/her own animal;
 - b. Multiple pools - if the person having care and custody includes his/her animal in their bet, or if in key wagers, wheels and partial wheels, uses his/her animal in a selected key position; or
 - c. Box wagers - the person having care and custody is allowed to use his/her animal in a box wager in any multiple pool where the number of animals boxed does not exceed the number of positions in the wager.
4. Any licensee found to be in violation of this rule or any part of this rule shall be fined, in addition to those sanctions imposed by these rules, an amount equal to any amount won by the licensee.

3.426 - An owner, trainer, racing official, or other association employee shall not accept directly or indirectly, any bribe, gift, reward, favor or gratuity in any form which is intended to or might influence the results of a race.

3.428 - Any licensed person whose conduct while on the premises of any racetrack or simulcast facility interferes with the orderly and proper conduct of a meet shall be subject to disciplinary action. Such prohibited conduct shall include but not be limited to bookmaking, acting as a runner for a bookmaker, touting, pickpocketing, altering pari-mutuel tickets or offering to cash altered pari-mutuel tickets, attempting to enter into any restricted area of a racetrack or simulcast facility, being intoxicated by the use of alcohol or drugs, or possession of a narcotic or drug which violates state or federal laws. In addition, disciplinary action may be taken against a person who violates guidelines set forth by the Division for misuse of personal medication, candy, food, drink and tobacco in restricted areas in the paddock building during a racing performance or acting in a disorderly manner. Such conduct includes, but is not limited to, using abusive language towards another, making unreasonable noise, fighting, striking or threatening to strike another person, discharging or displaying a firearm, treatment that affects the safety and welfare or an animal as determined by a veterinarian. A licensee who violates the above shall also be subject to immediate summary ejection.

3.430 - A licensee shall not obstruct or interfere with or use abusive insulting language to any Commission or Division representative, racing official or assistant or medical personnel while in the discharge of their duties. Abusive insulting language shall be construed to be language which tends to incite others to unlawful conduct or making unreasonable noise.

3.432 - At horse racetracks, a licensee shall not engage in any conduct which would present a fire or safety hazard or which would constitute a traffic infraction at any racetrack. Pursuant to this rule, the Division may from time to time issue and post guidelines for licensees concerning traffic and fire and safety hazards at each individual racetrack.

3.434 - A licensee shall not possess any firearm about the racetrack or simulcast facility unless all of the following conditions have been met:

- :1 - The firearm must be a lawful possession of the licensee;
- :2 - There must be justification that the possession of a firearm is necessary in the performance of legitimate duties by the person who shall possess a firearm;
- :3 - A licensee shall obtain written approval from both the Division and the association's general manager before possessing a firearm.

3.436 - No licensee or association employee shall be under the influence of drugs or alcohol while performing the duties required by the license. If, in the opinion of the Board, track doctor, nurse, paramedic or attending medical personnel, the licensee's ability is impaired by drugs or alcohol, then said licensee shall be subject to immediate ejection. Any licensee so ejected may be subject to further disciplinary action by the Board or a hearing officer.

3.437 - The Division, Board may conduct random testing, as well as testing based on reasonable suspicion or probable cause. Other qualified or certified persons designated by the Division may conduct testing for the use of alcohol when reasonable suspicion or probable cause exists. The Commission shall determine by policy the testing procedures and the license categories to be

included in testing as permitted by law. Said policies and procedures shall be made available to all licensees.

No licensee while in a restricted or secured area shall:

- a) Engage in the illegal sale or distribution of alcohol or a controlled substance;
- b) Possess, without a valid prescription, a controlled substance or the means of introducing said substance into the body;
- c) Have present within their system any controlled substance, or:
- d) Have any alcohol in excess of .05% in their system except that no jockey, apprentice jockey, exercise person, pony person, starter, assistant starter, outrider or any other licensee who performs the duties of these license categories while on association grounds shall have present within his/her body any amount of alcohol in excess of .02% prior to completing his/her duties required by the license.
- e) Possess or consume any alcoholic beverages.

Any licensee who refuses to submit to an alcohol test or drug (controlled substance) test shall be presumed to have tested positive.

Based upon a positive field screening test, the Board shall prohibit the licensee from participating in racing for the remainder of the day. If the results of the field screening test are being sent out for confirmation, a licensee may return to work, prior to a hearing before the Board, provided they provide a negative screening test administered by the Division on the day they wish to return. Upon confirmation or stipulation of a positive test or a refusal to test, the Board shall suspend the licensee for a period not less than forty-eight (48) hours for alcohol and for a period not less than fourteen (14) days for drugs.

Notwithstanding CRCR 7.110, for an alcohol or drug related offense, the Board may permit the offending party to appoint a substitute trainer in accordance with the procedures set forth in CRCR #3.522 and #3.524.

Prior to subsequent participation in racing, the licensee shall, at a time designated by the Division or Board, produce a negative test result and shall agree to further testing to verify continued unimpairment. In addition, the Board or Hearing Officer may conduct a hearing to determine if other disciplinary action is appropriate, including ordering the licensee to obtain assessment by a professional approved by the Division to determine if there is a substantial probability that the licensee is dependent on, or abuses, alcohol or other controlled substances.

If there is a substantial probability of dependency or abuse or for a second positive test or refusal to be tested, the licensee shall satisfactorily complete a certified alcohol/controlled substance abuse rehabilitation program approved by the Division, assuming other testing conditions have been satisfied.

For a second positive test or refusal to be tested or combination thereof within any twelve (12) consecutive months, the Board shall suspend the licensee's license for a period not less than five (5) days for alcohol and for a period not less than thirty (30) days for drugs and until the licensee has satisfactorily enrolled in a certified alcohol/controlled substance abuse rehabilitation program approved by the Division, assuming other testing conditions have been satisfied. In addition, the Board or Hearing Officer may conduct a hearing to determine if other disciplinary action is appropriate. The licensee shall also pay a fee of \$25.00 to be retested and shall pay all costs related to any rehabilitation programs.

For a third or subsequent positive test or refusal to be tested or combination thereof within any consecutive twelve (12) months for alcohol, the Board shall suspend the licensee's license until the licensee has satisfactorily completed a certified alcohol abuse rehabilitation program approved by the Division and until the licensee has retested negative with the Division. For a third or subsequent positive test or refusal to be tested or combination thereof within any consecutive twelve (12) months for drugs, the Board shall suspend the licensee's license for the race meet plus 60 days and until the licensee has satisfactorily completed a certified drug abuse rehabilitation program approved by the Division and refer the licensee to the Commission for further disciplinary action. The licensee shall also pay a fee of \$25.00 to be retested and shall pay all costs related to any rehabilitation programs.

The Division shall develop procedures for the collection and splitting of samples, and securing the chain of custody. The procedures shall address situations when there is an insufficient quantity of a sample for splitting and when the licensee desires to waive a split sample.

If the confirmation sample is negative, the mandatory suspension shall be vacated and the licensee shall be reinstated. If confirmation sample cannot be confirmed, then licensee may be retested at the Division's expense.

3.438 - It is considered contrary to these Rules for any licensed owner, trainer or assistant trainer to utilize any training track or facilities used for training greyhounds, unless the training track or facilities have been licensed and approved by the Commission. The training track or facilities will be inspected periodically by Division representatives for the purpose of observing the training and practices used. If it is determined that practices and methods used at training tracks are contrary to good training practices in conformity with requirements as set forth from time to time by the Commission, the Commission may disallow the use of the facilities by licensed owners, trainers, or assistant trainers.

3.440 - Pony persons and outriders are prohibited from holding conversations with the public enroute to the starting gate.

3.442 - Smoking while parading to the post is prohibited.

3.444 - An assistant starter shall not accept any compensation for services rendered as an assistant starter other than the salary paid by the association. An assistant starter shall not wager or accept a wager on any race while serving as an assistant starter.

3.446 - A licensee shall not serve as an assistant starter who has any pecuniary interest in any horse racing at the meet without the express consent of the starter and the stewards.

500's --- OWNERS/TRAINERS

3.500 - Owner(s) and trainer(s) must obtain a license prior to race time designated for the race in which the animal(s) is entered. An owner may be granted an extended period of time by the Division to obtain a license.

3.502 - The Board must be immediately notified by the owner or kennel operator if any trainer change is made and for horses a trainer transfer must be filed by the former trainer with the stewards.

3.504 - An applicant who is under eighteen (18) years of age shall not be granted a trainer or assistant trainer license without special permission from the division.

3.506 - An applicant for the occupations of trainer or assistant trainer, if not so previously licensed, or if previously licensed and said license has been expired for more than three years, shall be given an examination, oral, written, and/or practical, by a qualified Division representative to determine the applicant's qualifications.

3.508 – Beginning no later than January 31, 2012, in order to maintain a current license, trainers must complete at least four (4) hours per calendar year of continuing education courses approved by the Commission or the ARCI.

3.510 - A trainer of horses shall file with the Division a current roster of all employees and shall amend the roster filed with the Division within seventy-two (72) hours of when an employee is discharged or a new employee is hired.

3.512 - A trainer shall not knowingly allow in their stable/kennel an animal owned, in whole or in part, by a disqualified person.

3.514 - The trainer is solely responsible for a horse's sex printed on the foal certificate. A trainer shall call to the attention of the stewards a mistake in the printing of a horse's sex in the daily program.

3.516 - If a horse has been nerved, whether by surgical procedure, chemical means or by death of nerve tissue, it is the responsibility of the trainer to see that it is properly recorded on the foal certificate that the horse has been nerved. A list of low nerved horses shall be posted in the racing office and the trainer of a low nerved horse shall promptly call to the attention of the stewards the name of any low nerved horse whose name does not appear on the list.

3.518 - A trainer shall not move a horse from the block of stall(s) assigned to the trainer or remove a horse from the racetrack without written permission from the association.

3.520 - A trainer who is also licensed as an owner and is actively participating at a meet must train any horse(s) in which he/she owns an interest and may not assign the training of such a horse(s) to another trainer at a meet without the permission of the stewards.

3.522 - A trainer who is absent from his/her kennel or stable or the grounds where his/her animals are racing, and whose animals are entered or are to be entered, shall provide a licensed assistant trainer to assume the training duties for the animals which are entered or are to be entered or running. The trainer and the assistant trainer shall sign in the presence of the Board a form provided by the Division acknowledging that both the trainer and the assistant trainer may be held liable for the condition of the animals at all times. The program shall carry the name of the trainer and the horse program shall also carry the name of the assistant trainer.

3.524 - A trainer who has no assistant trainer and is absent from his/her kennel or stable or the grounds where his/her animals are racing for more than five consecutive days or on a day in which the trainer has an animal in a race, and whose animals are entered or are to be entered, shall provide a licensed trainer to assume complete responsibility for the animals being entered or running. Such licensed trainer shall sign in the presence of the Board a form furnished by the Racing Commission accepting complete responsibility for the animals being entered or running.

600's --- JOCKEYS/APPRENTICE JOCKEYS/JOCKEY AGENTS

3.600 - Any person under the age of sixteen (16) shall not be issued a jockey or apprentice jockey license. Any person who has not yet reached the age of eighteen (18) shall not be issued a jockey or apprentice jockey license without the written consent of the applicant's parents or legal guardian.

3.601 - All jockeys who intend to ride at a recognized race meet shall be required to show written documentation of a complete physical examination by a licensed physician affirming fitness to participate as a jockey. This examination must have taken place within a thirty (30) day period prior to the start of the meet at which the rider intends to participate. The board may waive the thirty (30) day requirement for riders that can provide written proof of a physical within one year that meets the requirements of this rule.

3.602 - An applicant for a jockey or apprentice jockey license shall show competence by prior licensing as approved by the stewards, and/or the demonstration of riding ability, which may include participation in up to five races with the prior approval of the stewards with the consideration of the recommendations from the starter, the head outrider, and the designated representatives of the jockeys and the horsemen at the track. The demonstration of riding ability is defined at a minimum of:

- (a) Breaking a horse in company from the starting gate;
- (b) Working a horse in company around the turn and down the stretch;
- (c) Switching the riding whip from one hand to the other while maintaining control of the horse; and
- (d) Aiding a horse to switch leads.

3.604 - A jockey shall not have ownership or financial interest in any horse racing at a meet where the jockey is riding (excluding breeder's awards).

3.606 - A jockey who is under suspension for ten (10) calendar days or less for a riding infraction will not be permitted to fulfill any engagements except those stakes races noted by the Stewards to

be included in designated race rule. Jockeys will be permitted to ride in this race only and must serve one extra race day for each designated race ridden during his/her suspension. A jockey suspended for a riding infraction may be permitted to exercise or gallop horses during workout hours and may retain all of the other backside privileges excluding race riding.

3.608 - Only thoroughbred or Arabian races at meets which are recorded in the Daily Racing Form or a similar publication approved by the stewards shall be considered in determining eligibility for an apprentice jockey license.

3.610 - A rider who has been previously licensed as a jockey and ridden thoroughbred races shall not be eligible to be licensed as an apprentice jockey.

3.612 - The Commission and Division shall recognize all apprentice certificates and apprentice allowance extensions granted or approved by members of the Association of Racing Commissioners International, Inc. Certificates must accompany an application for an apprentice license.

3.614 - Original apprentice jockey certificates shall be executed by all parties in triplicate and one (1) copy shall be filed with the Division. Any amendments to an original certificate must accompany the original certificate and be filed with the Division when applying for an apprentice jockey's license.

3.616 - A licensed apprentice jockey shall be eligible to claim the following allowances in overnight races except handicaps or unless the conditions of a race state otherwise:

1: Five (5) pounds beginning with the first mount and for one full year from the date of the fifth winning mount.

2: If after riding one (1) full year from the date of the fifth winning mount, the apprentice jockey has failed to ride a total of forty (40) winners from the date of the first winning mount, the apprentice jockey shall continue to ride with a five (5) pound weight allowance for one more year from the date of the fifth winning mount or until such jockey has ridden a total of forty (40) winners, whichever comes first.

3.618 - Under exceptional circumstances, i.e., an inability of an apprentice jockey to ride because of military service, personal injury, restricted racing or other valid reasons during an apprenticeship term, an extension of the term of the contract and/or allowances may be granted as follows:

:1 - In order to qualify for an extension of an apprentice allowance an apprentice jockey must have been rendered unable to ride for a period of not less than fourteen (14) consecutive days after the date of such jockey's fifth winning mount during the period the apprentice was entitled to an apprentice allowance.

:2 - A request for an extension must be acted upon by the proper authority in the jurisdiction where the original contract or certificate was issued.

3.620 - In the event that an apprentice jockey completes any condition of the apprenticeship or becomes a jockey prior to fulfilling all previously contracted engagements, the owners or trainers of horses which are affected shall be given the opportunity to substitute another apprentice jockey who can fulfill the original weight allowance conditions of the engagement. An apprentice jockey who loses the apprentice allowance for any reason shall obtain a jockey's license before being permitted to ride again.

3.622 - Any race not recorded in the *Daily Racing Form Monthly Chart* or a similar publication approved by the stewards shall not be considered in determining an apprentice jockey's right to an apprentice allowance.

3.624 - The stewards shall have the authority to deny an apprentice jockey permission to ride any horse.

3.626 - Each jockey is entitled to have one jockey agent. All engagements to ride shall be made by the jockey or the agent.

3.628 - When a jockey dismisses a jockey agent, the jockey shall immediately notify the stewards in writing.

3.630 - A jockey shall not have a valet other than those provided by the association. An assessment may be collected by the association and valets may be paid through the horsemen's bookkeeper.

3.632 - A jockey mounted on any horse during a race shall not willfully pull the reins or do anything that has the effect of diminishing the chance of the horse winning any race whether the action on the part of the jockey is of the jockey's own accord or by instructions from the owner or trainer of a horse, or as a result of conspiracy with any other person.

3.634 - Jockeys shall not converse with the public while fulfilling riding engagements during a racing program.

3.636 - A jockey shall not wager or accept a wager on any race in which the jockey is riding. An owner or trainer of the horse a jockey is riding may make a wager in the jockey's behalf on that horse only.

3.638 - A jockey may not ride against a contract employer. This rule does not apply to jockeys qualifying horses in trial races or riding in a stakes race.

3.640 - Jockeys and apprentices who are under contract to the same owner, or who are under contract to different owners who employ the same trainer, shall not ride against each other in a race except as an entry.

3.642 - A jockey's fee shall be considered earned when the jockey is weighed out by the clerk of scales. The fee shall not be considered earned if any jockey, of their own free will, take themselves off of their mount, where injury to the horse or jockey is not involved. Any conditions or considerations not covered by these Rules shall be at the discretion of the stewards.

3.644 - All jockey fees shall be deposited in advance of the races for that day.

3.646 - Jockeys involved in a dead heat shall share equally the sum of the fees which would have been due them collectively had there been no dead heat.

3.648 - An application for a jockey agent license shall bear the signature of the jockeys the agent will represent.

3.650 - A jockey agent may not represent more than one jockey and one apprentice at any one time without approval of the stewards. A jockey agent shall not assist any one other than the agent's principal.

3.652 - When each day's races are drawn, jockey agents are required to file their first and second calls in each race.

3.654 - Conflicting claims for the engagements of a jockey shall be decided by the stewards.

3.656 - A jockey agent shall not be permitted within the saddling enclosure during racing hours, nor shall the agent have access to the jockey's room at any time; nor be allowed on the racing strip including the winner's circle at the conclusion of any race; nor shall the agent communicate with any jockey during racing hours, without the consent of the stewards.

700's --- CORPORATIONS/PARTNERSHIPS/KENNEL & STABLE NAMES

3.700 - A corporate license shall be issued to a corporate officer in the corporate name. Any other officers or directors of a licensed corporation wishing to have access to a restricted area must be properly licensed.

3.702 - Any transfer of stock or change in the officers or directors shall be reported promptly in writing to the Division.

3.704 - All corporations having any interest in an animal shall file with the Division at the time of filing applications for an owner's license, a statement in duplicate setting forth the names and addresses of all officers, directors, and stockholders of the corporation, together with the amount of the respective holdings of each stockholder and a statement as to whether or not the stock is paid in full, and including the designation of an authorized agent, or agents of the corporation. The statement shall be signed by the president of the corporation, attested to by its secretary and the corporate seal attached. The statement shall also contain an affidavit signed under oath by the president and secretary of the corporation that no officer, director or shareholder of the corporation is at that time under suspension by the Commission or disqualified to be licensed as an owner of any animals by the Commission.

3.706 - All statements of sales and contingencies, or arrangements, by partnerships or corporations, shall declare to whom winnings are payable, in whose name the animal shall run, and with whom rests the power of entry, of declaration of forfeit, or scratch, and a copy of this information shall be transmitted to the Division.

3.708 - Each member of a partnership must be individually licensed as an owner. A member of a partnership must file with the Board and the Racing Secretary written consent of the other partners before transferring any share of ownership.

3.710 - All partners shall be liable for all expenses, including engagements, fees, and forfeits incurred while the partnership exists.

3.712 - All partnerships must be registered with the Division and the name and address of every person having any interest in a greyhound, the relative proportions of their interest and the terms of any sales with contingencies or arrangements must be signed by all parties or by their authorized agent and be filed with the racing secretary, a copy of which shall be transmitted immediately before the opening of a meet to the Division office. In case of emergency, authority to sign declarations of partnership may be given to the racing secretary by telephone promptly confirmed in writing.

3.714 - An owner wishing to race under a stable/kennel name may do so by registering such name with the Division.

3.716 - A trainer, who is also a licensed owner or part owner, may use a stable/kennel name as owner or part owner. However, a trainer may not be licensed as a trainer other than in the trainer's legal name.

3.718 - In applying to race under a stable/kennel name, the applicant must disclose the identity or identities behind a stable/kennel name.

3.720 - If a partnership is involved in the identity behind a stable/kennel name, each of the partners must be licensed as an owner and must be in compliance with the rules covering partnerships.

3.722 - If a corporation is involved in the identity behind a stable/kennel name, compliance with the rules covering corporations must be made.

3.724 - Changes in identities involved in a kennel/stable name must be reported immediately to the Division.

3.726 - A licensed owner who has registered under a stable/kennel name may at any time abandon it after written notice to the Division.

3.728 - A stable/kennel name may be changed at any time by registering for a new stable/kennel name.

3.730 - A licensed owner cannot register as a stable/kennel name one which is the real name of any other owner of horses/greyhounds racing or one which is the real or stable/kennel name of any prominent person not owning horses/greyhounds or one which is registered by any other owner.

3.732 - A stable/kennel name shall be plainly distinguishable from that of another stable/kennel name.

3.734 - The Division reserves the privilege of refusing to register a stable/kennel name.

800's --- OTHER LICENSEES

3.800 - Any changes in the powers delegated by the owner or racing corporation to the authorized agent or revocation of the authorized agent's appointment must be in writing, notarized and filed with the Commission and/or the Board, the racing secretary, and for horses the horsemen's bookkeeper.

3.802 - Any owner may and every racing corporation must appoint an authorized agent. Each authorized agent must obtain a license. The authority of an authorized agent shall be valid only for the calendar year in which the affidavit appointing the authorized agent was issued.

3.804 - The affidavit for an authorized agent's appointment must clearly set forth the powers of the agent under a notarized owner's signature.

3.806 - Each person operating a racing greyhound kennel shall obtain a kennel operator's license regardless of whether or not the kennel is running under an assumed name provided, however, that a licensed greyhound owner who has complete ownership of all greyhounds running under his or her given name only is exempt from this licensing requirement.

3.808 - Kennels or training tracks at which racing greyhounds are housed or trained in connection with a race meet must be licensed and approved by the Division. Greyhound food suppliers which deliver to private, public or association kennels must be approved by the Division.

3.809 - Off-track Stabling Locations and Training Tracks at which horses are stabled in connection with a licensed race meet must be under the care and custody of a licensed owner or trainer. This also includes training tracks that are used for developing and bringing a horse to racing fitness and/or authorized by the Division to submit official published workouts. Such Training Tracks must be licensed by the Division.

1. Any person A) who is employed to assist or contracted to assist in the care, custody, or training of a horse at an Off-track Stabling Location or at a Training Track, or B) who is otherwise in attendance at an Off-track Stabling Location or a Training Track, shall be licensable and in good standing under relevant provisions of Colorado Law, Colorado Racing Commission Rules, and Racing Commission Policies.

3.810 - All kennel operators must file with the Division and the Association, at the beginning of each race meet, a roster naming the trainer, assistant trainer, authorized agent and other employees or persons having independent access to their kennel. If a change is made for the trainer's position, the kennel operator shall file a new roster with the Division and the association within seventy-two (72) hours. It shall be the responsibility of the trainer to update within seventy-two (72) hours the filed rosters of any other personnel changes within the kennel.

3.812 - Pony persons and outriders are required to present a neat and clean appearance and conduct themselves in an orderly manner.

3.814 - All persons obtaining a tip sheet concession at the racetrack or simulcast facility must be approved and licensed by the Commission.