

*Louisiana  
State Racing  
Commission*



*Rules of Racing  
Cumulative  
Supplement  
(To the 2012 Main Book)*

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## Title 35 HORSE RACING

### Part I. General Provisions

#### Chapter 3. General Rules

##### §304. Petition for Adoption of Rules

A. All rules of the commission shall be adopted, amended or repealed in accordance with the Administrative Procedure Act, R.S. 49:950 et seq.

B. The commission, on its own motion or on the petition of any interested person, may request the promulgation, amendment, or repeal of a rule.

1. Such petition shall:

- a. be in writing;
- b. state the name and address of its author;
- c. contain a statement of either the terms or substance of the proposed rule, amendment, or repeal;
- d. state the reasons or grounds for the proposed rule, amendment, or repeal;
- e. include any data, views or arguments in support of the rules, amendment, or repeal.

2. The commission shall forward such petition of any interested person or party to the Rules Committee who shall consider the petition, and make recommendations to the full commission on proceeding with rulemaking in accordance with this part and the Administrative Procedure Act.

3. If the requested promulgation, amendment, or repeal of a rule is commenced by the commission on its own motion, the commission may initiate rulemaking in accordance with this part and the Administrative Procedure Act.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 45:905 (July 2019)

##### §309. Protective Helmets and Safety Vests

A. All persons mounted on horseback are compelled to wear protective helmets recommended by the stewards and approved by the commission, and a safety vest designed to provide shock-absorbing protection to the upper body, as evidenced by a label with a rating of five, by the British Equestrian Trade Association. This shall also apply to association outriders, pony riders in post parade, and assistant starters. Anyone failing to comply with this requirement may be fined

or suspended at the discretion of the stewards and/or commission.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:423 (December 1976), amended LR 3:19 (January 1977), LR 4:271 (August 1978), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 33:844 (May 2007), LR 47:1637 (November 2021).

#### Chapter 15. Permitted Medication

##### §1505. Therapeutic and/or Nonsteroidal and/or Anti-Inflammatory Medication

A. No nonsteroidal and/or anti-inflammatory medication and/or therapeutic medication of any kind may be administered to or used on a horse in training and eligible to be raced at a race meeting in this state except by a licensed veterinarian or a licensed trainer, or under his or her personal order; provided, however, that any such medication given hypodermically may only be administered by a licensed veterinarian. The nonsteroidal, anti-inflammatory medications and/or therapeutic medication of any kind shall only be allowed to be administered as is set forth in Chapter 17, Section 1721 and Section 1725. All other category 3, 4 and 5 medications as listed by the Association of Racing Commissioners International, Inc., Drug Testing and Quality Assurance Program's uniform classification guidelines for foreign substances may not be administered within 24 hours of a race in which a horse is entered to race.

B. ...

C. Detection of any category 1 or 2 medication, drug, or substance as defined and listed by the Association of Racing Commissioners International, Inc. Drug Testing and Quality Assurance Program's *Uniform Classification Guidelines for Foreign Substances* constitutes a violation.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141 and R.S. 4:142.

HISTORICAL NOTE: Promulgated by the Department of Commerce, Racing Commission, LR 9:547 (August 1983), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 37:1393 (May 2011), LR 38:1408 (June 2012), LR 39:1281 (May 2013), LR 41:1673 (September 2015).

**§1506. Permitted Medications in Quarter Horses**

A. Any racehorse participating in a quarter horse race shall comply with the medication rules set forth herein, specifically LAC 35:I.Chapter 15 and LAC 35:I.Chapter 17, however the following exception(s) shall apply.

1. Clenbuterol is a prohibited substance in quarter horses and other breeds racing with quarter horses. There is no applicable withdrawal guideline for such horses.

2. Albuterol is a prohibited substance in quarter horses and other breeds racing with quarter horses. There is no applicable withdrawal guideline for such horses.

B. Any quarter horse reported positive for Clenbuterol and/or Albuterol by the commission's laboratory and following a written ruling by the Stewards shall be placed on the Stewards List and is not eligible to be entered in a race for a period of 60 days from the race date of the positive.

C. Penalties assessed pursuant to Subsection B are in addition to any set forth in LAC 35.I:1797.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 45:247 (February 2019), amended LR 46:182 (February 2020), LR 47:1637 (November 2021).

**Chapter 17. Corrupt and Prohibited Practices****§1725. Controlled Medication**

A. Controlled medications are permitted in Louisiana as set forth in the list of controlled therapeutic medications published by the Association of Racing Commissioners International, Inc. and shall only be administered as therein prescribed and regulated at the threshold levels set forth in said list.

B. The controlled therapeutic medications list as published by the Association of Racing Commissioners International, Inc., shall be maintained on the commission website and at the domicile office and be made available to the public upon request.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:449 (December 1976), amended LR 3:45 (January 1977), LR 4:287 (August 1978), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 41:1672 (September 2015).

**§1787. Pre-Race Testing**

A - G. ...

H. Whenever pre-race laboratory test reports indicate the presence of a prohibited medication or drug in the sample taken from a horse scheduled to race, particularly, but not limited to specific maximum by quantitative determination of 2.0 micrograms phenylbutazone per milliliter of blood, stewards shall scratch the horse from the race. On the first offense a penalty of not less than \$100, nor more than \$200, shall be assessed the trainer. Upon second or multiple offenses for positive tests, the stewards shall take whatever action they deem appropriate, consistent with law and the *Rules of Racing*.

I. - L. ...

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Department of Commerce, Racing Commission, LR 8:140 (March 1982), amended LR 12:419 (July 1986), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 41:1672 (September 2015).

**§1797. Penalty Guidelines**

A. – B.4. ...

a. On ordinary violation(s) of classes IV or V within a 12-month period the trainer shall be fined \$500 on the first violation; \$1,000 on the second violation; and on the third and subsequent violations the trainer shall be fined \$1000, the purse shall be redistributed and the case referred to the commission for further action.

b. On extraordinary violation(s) of classes IV or V in a manner that might affect the performance of a horse within a 12-month period, the trainer shall be fined \$1,000 and the purse shall be redistributed on the first offense. On the second and subsequent violations, the trainer shall be fined \$1000, the purse shall be redistributed and the case referred to the commission for further action.

c. On gross violation(s) of classes IV or V in a manner that intends to affect the performance of a horse the trainer shall be fined not less than \$1,000, the purse shall be redistributed and the case referred to the commission for further action.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Department of Economic Development, Racing Commission LR 19:613 (May 1993),

amended by the Office of the Governor, Division of Administration, Racing Commission LR 28:1014 (May 2002), LR 30:1017 (May 2004), LR 40:528 (March 2014).

## Part III. Personnel, Registration and Licensing

### Chapter 57. Associations' Duties and Obligations

#### §5704. Public Address System

A. An association shall provide and maintain a public address system capable of transmitting announcements to the patrons and to the stable area.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 44:913 (May 2018).

#### §5705. Security of Racetrack Premises

A. The stable area of the premises of every association shall be enclosed with a fence, the type and construction of the fence to be subject to the approval of the commission. The association shall maintain a 24-hour guard at any opening of the fence during the horse race meeting.

B. An association must maintain adequate staffing of security officers on backside to:

1. patrol the backside;
2. check every vehicle coming into the backside for commission-granted licenses; and
3. check every horse trailer for the names of horses entering and exiting the backside.

C. An association must provide security guards to be present in the jockeys' room during live racing.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:434 (December 1976), amended LR 3:30 (January 1977), LR 4:277 (August 1978), amended by the Office of the Governor, Division of Administration, Racing Commission LR 49:866 (May 2023).

#### §5706. Barns on Backside of Racetrack

A. An association shall ensure that all barns are kept in good repair and are kept clean by the licensed occupants.

1. Barn buildings, fences, bathrooms, and outdoor and indoor lighting shall be kept in good working order.
2. Each barn, including the receiving barn, must have a hot and cold water supply available and have ventilation proper for the housing of horses.

B. Any new barns, additions, or expansions built by a licensed association after the amendment of this Rule shall ensure that the individual box stall shall have a minimum dimensions of 12 feet by 12 feet and if constructed of concrete walls, they must be woodlined on the interior up a minimum of 4 feet from the ground or otherwise be insulated for the protection of the stabled horse.

C. An association shall provide an adequate area for the placement of manure removed from the stalls. All manure storage and removal shall be conducted in compliance with the rules and regulations set forth by the Department of Environmental Quality. Nothing in the Rule is to supersede any requirements set forth by the Department of Environmental Quality.

D. An association must provide the minimum number of total stalls, as specified by the commission by majority vote, on its backside in good, working condition to house horses for their assigned racing dates.

E. The commission shall send a representative to each racetrack annually to assure that upkeep of all barns, both exterior and interior, is maintained. This shall include, but not be limited to, upkeep of:

1. stalls;
2. restroom facilities;
3. tack rooms;
4. feed rooms;
5. living quarters;
6. horse paths;
7. walking wheels; and
8. exterior barn paint.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 44:913 (May 2018), amended LR 49:866 (May 2023).

#### §5707. Fire Prevention Security

A. A round-the-clock patrol of the fenced area shall be maintained by security officers, who shall pay special attention to the presence of unauthorized personnel, to the enforcement of fire prevention measures and to the inspection of tack rooms and living quarters for fire hazards.

B. The association shall ensure compliance with the local fire marshal regarding safety regulations and shall provide the commission proof of compliance constituting the most recent inspection by the local fire

marshal or state-approved fire inspection service on an annual basis.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:434 (December 1976), amended LR 3:30 (January 1977), LR 4:278 (August 1978), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 44:914 (May 2018).

### §5708. Receiving Barn

A. The association shall provide a receiving barn, which shall be a separate barn.

B. The stall size and number of stalls of the receiving barn shall be approved by the commission.

C. The receiving barn shall be restricted to horses that are entered and shipping in to run in a scheduled race, or shipping in/out for morning work and go.

D. No full-time or temporary stabling shall be allowed during an approved race meet and the receiving barn shall not be used as a quarantine facility by the association, unless otherwise approved by the commission.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 43:1914 (October 2017)

### §5709. Housing of Stable Employees

A. Each association shall provide adequate and sanitary living quarters with proper sanitary arrangements, and ample and convenient toilet facilities for stable employees, and shall provide in its stable area at least 1 tack room of a minimum area of 100 square feet for every 6 horses stabled, with adequate facilities for housing personnel therein.

B. The living quarters shall comply with all state and local building and fire codes associated with the housing of people.

C. Dependent upon the season of the race meet, the association may also be required by the commission to have heating and air conditioning.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:434 (December 1976), amended LR 3:30 (January 1977), LR 4:278 (August 1978), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 44:914 (May 2018).

### §5710. Tack Room

A. Each association shall provide in its stable area at least 1 tack room of a minimum area of 100 square feet

for every 6 horses stabled, with adequate facilities for housing personnel therein.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 44:914 (May 2018)

### §5713. Ambulance

A. Each association shall provide two ambulances during its racing hours and one ambulance during training hours. During such time, the ambulance shall be ready for duty, properly equipped to provide emergency medical services and transport, including advanced life support equipment, a registered paramedic, a certified emergency medical technician, and shall have immediate access to the racing strip. If both the ambulances are being used to transport individual(s), the association shall not conduct a race, or allow horses with riders on the racetrack until at least one of the ambulances is replaced.

B. Unless otherwise approved by the commission or the stewards, an ambulance shall follow the field at a safe distance during the running of races.

C. The ambulance shall be parked at an entrance to the racing strip except when the ambulance is being used to transport an individual or when it is following the field during the running of a race.

D. Each association shall also provide a designated area that a helicopter can land in the case where a helicopter is required to transport an injured participant.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Department of Commerce, Racing Commission, LR 9:546 (August 1983), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 44:914 (May 2018), LR 45:1593 (November 2019).

### §5714. Equine Ambulance

A. An association shall provide an equine ambulance staffed by trained personnel on association grounds on each day that the racetrack is open for racing or training.

B. The ambulance shall be properly ventilated and kept at an entrance to the racetrack when not in use.

C. The ambulance shall be a covered vehicle that is low to the ground and large enough to accommodate a horse in distress and transport a horse off of the racetrack and association grounds.

D. The ambulance shall be equipped with:

1. large, portable screens to shield a horse from public view;



2. ramps to facilitate loading a horse;
3. adequate means of loading a horse that is down;
4. a padded interior; and
5. a movable partition to initially provide more room to load a horse and to later restrict a horse's movement.

E. An association shall not conduct a race unless an equine ambulance or an official state veterinarian-approved substitute is readily available.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 44:914 (May 2018)

### §5723. Lighting

A. The stable area must be properly lighted, so that it will be entirely void of darkness in any section. Lights will be turned on at dusk and they shall remain on until one hour after the last race. Lights shall not be turned on or off while the horses are on the track.

B. An association shall provide lighting for the patron facilities that is adequate to ensure the safety and security of the patrons and licensees.

C. If an association conducts racing at night, the association shall maintain an emergency back-up lighting system on the racetrack proper to allow for the safety of the horses and related personnel during the race.

D. This Rule is not meant to supersede any state laws or local ordinances applicable to any individual licensed association.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:434 (December 1976), amended LR 3:30 (January 1977), LR 4:278 (August 1978), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 44:914 (May 2018).

### §5724. Rails

A. Racetracks, including turf tracks, shall have inside and outside rails, including gap rails, designed, constructed and maintained to provide for the safety of jockeys and horses. The design and construction of rails must be approved by the commission prior to the first race meeting at the track.

B. The top of the inside rail must be at least 38 inches, but not more than 50 inches above the top of the cushion.

C. The top of the outside rail must be at least 34 inches, but not more than 50 inches above the top of the cushion. Any outside rails modified or installed after the adoption of these rules shall be at least 38

inches, but not more than 50 inches above the top of the cushion.

D. The inside dirt race/running rail may have an overhang of no less than 24 inches with a continuous smooth cover of material designed to withstand the impact of a horse and rider.

E. All race/running rails should be constructed of materials designed to withstand the impact of a horse and rider running at a gallop, with structural integrity, free of cracks, breaks, splinters and shall not contain any exposed sharp edges.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 44:915 (May 2018).

### §5740. Backside Internet Access

A. An association shall provide access to wireless internet on the backside free of charge to the horsemen and commission staff.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:867 (May 2023).

### §5742. Grandstand, Clubhouse, and Apron Areas

A. An association shall ensure that the grandstand is kept clean, in good repair, and properly ventilated for use by the public.

B. An association shall grant access for the general public to the grandstand and apron areas of its racetrack on live race days, with all doors and gates unlocked, no later than one hour before post time of the first race of the day.

C. An association shall provide live pari-mutuel tellers at its racetrack betting windows and an open concession stand that sells programs and forms no later than one hour before post time of the first race of the day.

1. All pari-mutuel wagering areas must have tellers, seating, and tables in an air-conditioned environment for guests to handicap and place wagers on the races.

D. An association shall provide security personnel who are visible to the public no later than one hour before post time of the first race of the day.

E. An association shall ensure that all elevators and escalators are kept clean and in good working condition during any hours of operation.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:867 (May 2023).

### §5745. Providing Concession and Restaurant Services

A. The operation shall be conducted so that all persons who patronize the respective tracks shall be satisfactorily served. Food, beverages (both alcoholic and nonalcoholic), tobacco and other generally related items may be available for sale to the patrons of the various tracks on each day that racing is conducted under the license, permit or privilege granted by the commission. Concessionaires vending any liquid refreshments shall not permit the surrender of glass containers to customers except in appropriate areas as designated by the association.

B. An association shall ensure that food and beverages are always available to guests at the racetrack during open hours of operation.

C. An association shall make a sit down dining experience available on weekend live race days and during stakes races.

D. An association shall provide tables and seats for guests to sit at and eat outside along the apron of the racetrack.

E. An association shall ensure that the racetrack kitchen and all cooking equipment are kept clean, in good repair, and fully operational during its race meets.

F. An association shall provide at least one quick service snack bar and a full service bar to be open during each live race day at least one hour before the first race and at least one hour after the last race.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:147 and R.S. 4:148.

HISTORICAL NOTE: Adopted by the Racing Commission LR 2:92 (March 1976), amended by the Department of Commerce, Racing Commission, LR 2:435 (December 1976), amended LR 3:31 (January 1977), LR 4:278 (August 1978), LR 11:6 (January 1985), amended by the Office of the Governor, Division of Administration, Racing Commission LR 49:867 (May 2023).

### §5756. Minimum Employment Requirements

A. An association shall maintain employees as follows:

1. Within 30 days after receiving the association's annual plan of operation per LAC 35:VII.5777, the commission shall determine in writing how many full-time and seasonal positions that the association will need to employ to operate the following during race meets:

- a. food service;
- b. marketing;

- c. pari-mutuel windows;
- d. kiosk repairs;
- e. racing officials; and
- f. racetrack maintenance.

2. Pari-mutuel tellers must be available at the ratio of 1 teller to every 50 guests on track with a minimum of 3 tellers in each betting area on the first floor and a minimum of 1 teller in each betting area on the clubhouse floors and private areas.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142, R.S. 4:147, and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:867 (May 2023).

### §5758. Animals and Livestock

A. Trainers must have all animals and livestock, other than equines, approved by the racing secretary before being allowed on the backside, and the association must report those animals and livestock to the commission and require paperwork for all service animals before allowing them access to the backside.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142, R.S. 4:148, and R.S. 4:164.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:867 (May 2023).

### §5760. Paddock

A. An association shall ensure that the paddock, paddock stalls, and parade ring are kept clean, in good repair, and free of dangerous surfaces on which horses and people can walk.

B. An association must provide an employee to remove horse manure from the paddock area during live racing in a timely manner.

C. All paddock stalls must have a working fan.

D. An association shall maintain healthy, well-groomed landscaping in the paddock area throughout live race meets.

E. An association shall ensure that trash cans are available in the paddock area and that trash cans are emptied and all litter on paddock area grounds is removed daily when horses are stalled on the backside.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142, R.S. 4:148, and R.S. 4:164.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:868 (May 2023).

**§5762. Grass and Drainage Maintenance**

A. An association shall keep all grass areas maintained with adequate grass cutting and weed eating.

B. An association shall maintain all drainage throughout the backside.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142, R.S. 4:148, and R.S. 4:164.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:868 (May 2023).

**§5764. Surface of Race Course**

A. The surface of a racetrack, including the cushion, subsurface and base, must be designed, constructed, and maintained to provide for the safety of the jockeys and horses.

B. An association shall provide an adequate drainage system for the racetrack and turf course.

C. An association shall maintain the track surface in a safe training and racing condition.

D. An association that conducts races on a turf track shall provide a system capable of adequately watering the entire turf course evenly.

E. An association must get a soil sample tested for its dirt course twice a year.

1. The test must be conducted by a certified expert.

2. Each association must send a copy of the expert report to the commission in a timely manner to make any necessary adjustments.

F. An association must get its turf course inspected and evaluated twice a year.

1. The inspection and evaluation must be conducted by a certified expert.

2. Each association must send a copy of the expert report to the commission in a timely manner to make any necessary adjustments.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 44:915 (May 2018), amended LR 49:868 (May 2023).

**§5771. Minimum Infrastructure Investment Requirements**

A. An association shall deposit 10 percent of its gross profits into a fund for infrastructure maintenance and improvements per R.S. 4:164.

1. These deposits shall occur at the same time as when the association's state taxes are paid each month.

2. The association shall continue depositing 10 percent of its gross profits until such time when the commission determines that the association has complied with all infrastructure maintenance and improvements as required by the commission in this Chapter.

a. When the commission, by majority vote, determines full compliance with its required infrastructure maintenance and improvements by the association, the association shall maintain a minimum fund balance of \$3,000,000.

b. When the commission determines full compliance with its required infrastructure maintenance and improvements by the association, the commission can authorize any of the following by two-thirds vote:

i. exemption from maintaining fund balance,

ii. exemption from making deposits, or

iii. allow fund balance to be withdrawn

c. The commission, by majority vote, may reconsider prior determination of compliance and revoke any exemption or allowance granted to an association per this Subsection at any time.

d. There shall be an ongoing review, at least annually, by the commission to determine any additional required facility maintenance and improvements needed and to be required by the commission after obtaining input from associations and stakeholders.

3. The funds specified in this Subsection are subject to audit at any time by the commission and the legislative auditor.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142, R.S. 4:148, and R.S. 4:164.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:868 (May 2023).

**§5772. Minimum Marketing Investment Requirements**

A. An association shall specify the total amount of funds that it will use for marketing and promotions for horse racing with its submitted annual plan of operation report per LAC 35:VII.5773.

1. The Commission shall make a determination, by majority vote, whether the amount of funds specified by the association for marketing and promotions is acceptable or if the association must submit a new marketing plan with appropriate funding

to comply with the commission's determination of compliance per LAC 35:VII.5771.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142, R.S. 4:148, and R.S. 4:164.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:868 (May 2023).

### **§5773. Association Annual Plan of Operation Report**

A. An association shall provide an annual report to the commission, due by January 30 after each fiscal year ends starting with fiscal year 2022 due on January 30, 2023, regarding the association's plan of operation for the upcoming fiscal year to include details about:

1. customer service;
2. full-time and seasonal employment;
3. marketing and promotions for horse racing;
4. capital improvements;
5. facility maintenance;
6. facility improvements; and
7. a summary of the prior fiscal year's plan of operation implementation and status.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142, R.S. 4:148, and R.S. 4:164.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:868 (May 2023).

### **§5775. Association Quarterly Reports**

A. The quarterly reports required each year under this Section shall be due within 20 days of the end of each quarter as follows:

1. Reports from January to March are due no later than April 20.
2. Reports from April to June are due no later than July 20.
3. Reports from July to September are due no later than October 20.
4. Reports from October to December are due no later than January 20.

B. Each association shall provide quarterly reports to the commission of the names and addresses of each individual, corporation, firm, partnership, association, or other legal entity that furnishes professional services, as defined in R.S. 4:158.2, to the association.

1. The reports must also specify whether or not the listed entities are any of the following:
  - a. a registered Louisiana business;
  - b. a female-owned business; and
  - c. a minority-owned business.

C. Each association shall provide quarterly reports to the commission of the demographic information of its workforce, to include:

1. race;
2. gender; and
3. Louisiana residency.

D. Each association shall provide quarterly reports to the commission on its marketing plan, which shall include, but not be limited to, dollars spent on promotions, marketing and advertising broken down by racetrack and casino spending on the following:

1. television advertisements;
2. radio advertisements;
3. magazine advertisements;
4. billboard advertisements;
5. giveaways;
6. rewards; and
7. any other dollars spent on promotions, marketing; and advertising.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142, R.S. 4:148, and R.S. 4:158.2.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:869 (May 2023).

### **§5777. Broadcasting Live Races**

A. An association shall ensure that televisions are broadcasting live races from its racetrack and are all in working operation adequately throughout the following areas operated by the association:

1. casino;
2. bars;
3. restaurants;
4. off-track betting areas;
5. track betting and viewing areas; and
6. in the backside track kitchen during live racing.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:869 (May 2023).

### **§5779. Association Website Requirements**

A. An association shall stream its live racing in real time with capabilities of replays for races in its current meet on its website and/or application for a smart television or provide a link on its website that allows viewing of live races and replays at no charge from a third-party provider.

B. An association shall provide technology that allows reservations to be made by guests and horsemen or shall provide on its website a phone number that will

be answered by a live person to allow reservations to be requested and confirmed for guests and horsemen as follows:

1. from 8:00 AM to 6:00 PM on non-race days; and
2. from 8:00 AM through the last race being made official on race days.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:869 (May 2023).

### **§5781. Tote Boards**

A. All associations must have a tote board in the infield and a tote board above the stalls in the paddock providing current odds and results during live racing.

1. All new tote boards installed after adoption of this Rule must have digital video capabilities.
2. All tote boards located in the infield must have landscaping approved by the commission at the same time as the Association's race meet applications for licenses, dates, and wagering are considered for approval.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:869 (May 2023).

### **§5783. Winner's Circle**

A. An association shall ensure that the winner's circle is kept clean, maintained, and upgraded as needed for safety and appearance.

B. An association must provide an employee to remove horse manure from the winner's circle in a timely manner during live racing.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:869 (May 2023).

### **§5785. Parking Areas**

A. All parking areas on association property, regardless of their location, must have drainage that removes all puddles caused by rain.

B. An association shall maintain healthy landscaping for every day of the year at all entry roads and parking areas.

C. On a regular basis, security personnel shall check all handicap parking spaces on association property for any cars parked without displayed handicap eligibility

and shall ensure that no vehicles are blocking wheelchair access to handicap vehicles.

D. All parking must be appropriately and visibly marked for parking spaces.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:869 (May 2023).

### **§5787. Maintenance Equipment**

A. Each racetrack shall have a functioning rock picker attachment for tractors for removal of rocks and stones on racing surfaces.

B. Each racetrack that has at least one escalator on its premises shall have a functioning duplex escalator cleaning machine or similar equipment specifically made to clean escalators.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:869 (May 2023).

### **§5789. Off-Track Wagering Facilities**

A. An association shall ensure that food and beverages are always available to guests at its off-track wagering facilities during open hours of operation.

B. All pari-mutuel wagering areas must have tellers or self-betting terminals to place bets, seating, and tables in an air-conditioned environment for guests to handicap and place wagers on the races.

1. There must be a teller in close proximity that can cash tickets and take bets.

C. All off-track wagering facilities must be open and taking wagers during the hours that any racetrack in the United States is conducting live racing, except by agreement with the commission or its designee.

D. This Section lists the minimum requirements for off-track wagering facilities, and an association reserves the right to exceed these minimum requirements as allowable under the laws of the State of Louisiana.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:869 (May 2023).

**§5791. Horse Move In and Move Out**

A. An association shall be prepared and allow horses to move in to allotted stalls and train on its racetrack grounds no later than 30 days prior to the start of a race meet, unless ordered by the commission to be a longer period.

B. An association shall allow horses to stay housed in the allotted stalls and train on the racetrack grounds for at least 15 days after the end of a race meet, unless otherwise negotiated and in agreement with the Louisiana Horsemen's Benevolent and Protective Association.

C. The commission may grant an exception to the arrival and departure dates set in this Section due to force majeure or other prohibitive circumstances on a case-by-case basis as requested by an association.

D. The Louisiana Horsemen's Benevolent and Protective Association may request an earlier arrival date or later departure date for horses with allotted stalls at a specified racetrack in writing to the association and the commission for consideration.

1. If the Louisiana Horsemen's Benevolent and Protective Association and the association reach an agreement on earlier arrival or later departure dates for horses, the association may charge a stall rate of \$8 per stall per day for the agreed-upon additional days, subject to annual review by the commission.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:869 (May 2023).

**§5793. Reporting Altercations**

A. An association shall provide a written report of any physical altercation of which it has been made aware that occurs on its grounds to the commission within 5 days of incident.

1. The individuals involved in the reported physical altercation may be subject to immediate suspension by the commission.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:869 (May 2023).

**Part V. Racing Procedures****Chapter 63. Entries****§6335. Owner's Entry of More Than One Horse**

A. Not more than two horses of the same ownership or interest may be entered in an overnight race, unless the race is divided. In divided races, the starters in the separate divisions shall be determined by lot. If a race is divided, an additional conditional entry may be accepted from any interest.

B. In overnight races, the stewards may allow no more than two horses of the same ownership or interest to race as separate wagering interests, but in no case may two horses of the same ownership or interest start to the exclusion of a single entry should the number of entries exceed the starting gate capacity.

C. When making a double or joint entry in overnight races, the owner or trainer must express a preference to start should the number of entries exceed the starting gate capacity.

D. In stakes races, the stewards may allow two or more horses of the same ownership or interest to race as separate wagering interests.

E. The stewards may require horses entered in any race to be coupled for wagering interests if a majority of the stewards find it necessary in the public interest.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission LR 2:437 (December 1976), amended LR 3:33 (January 1977), LR 4:280 (August 1978), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 38:3168 (December 2012), LR 49:1213 (July 2023).

**§6336. Preference for Eliminated Horses**

A. Should two horses which are owned separately, but trained by the same trainer, be entered in any race, causing an excess of the number of horses which may, because of track limitation, be permitted to start, the horses to start shall be determined and selected by lot from all of the horses entered. Those entries which are eliminated shall receive a preference as provided in these rules.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Department of Commerce, Racing Commission, LR 13:289 (May 1987), amended by the Department of Economic Development, Racing Commission, LR 14:702 (October 1988), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 45:247 (February 2019).

## Chapter 79. Post to Finish

### §7907. Horses Disqualified for a Foul

A. If a horse is disqualified for a foul, any horse or horses of the same ownership or interest, whether coupled as an entry or not, may also be disqualified.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:445 (December 1976), amended LR 3:41 (January 1977), LR 4:285 (August 1978), LR 49:1213 (July 2023).

## Part VII. Equipment and Colors

### Chapter 85. Colors

#### §8501. Supplied and Registered

A. Owners of horses must provide themselves with suitable racing colors which must be registered with the racing secretary, except at tracks where colors are furnished by the association.

B. Owners of thoroughbred horses must provide themselves with suitable racing colors which must be registered with the racing secretary and their racing colors may not be furnished by an association.

C. On dates where an owner of thoroughbred horses has multiple horses entered on the same race card, the owner must provide colors for each horse entered.

D. Failure of an owner of thoroughbred horses to provide themselves with colors and/or register them with the racing secretary is a finable offense. The fine for such failure shall be \$100.00 for a first offense, with increasing fines for subsequent offenses. However, an owner shall not be fined the first time each meet that they fail to provide themselves with colors and/or register them with the racing secretary, and it shall not count as an offense.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:147 and R.S. 4:148.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:442 (December 1976), amended LR 3:38 (January 1977), LR 4:283 (August 1978), amended by Office of the Governor, Division of Administration, Racing Commission, LR 47:1636 (November 2021).

#### §8509. Exceptions

A. Exceptions to the above may be allowed by the commission upon request and approval.

B. Owners may request approval from the stewards to run in the colors of the trainer of record

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:147 and R.S. 4:148.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:443 (December 1976), amended LR 3:39 (January 1977), LR 4:283 (August 1978), amended by Office of the Governor, Division of Administration, Racing Commission, LR 47:1636 (November 2021).

#### §8511. Responsibility for Wearing Correct Colors

A. The clerk of scales, the valet serving a jockey, the colors custodian, and the jockey room custodian shall all be present on the association premises at their customary station during racing and shall all be jointly responsible for having the correct colors and cap on each rider when leaving the jockey room for the paddock.

B. Each association shall implement and maintain a system of receipts and accounting for the custody, control, and return of colors to the rightful owner.

C. If an owner has provided colors and the association fails to place the correct colors on any horse running in a race, the association, the clerk of scales, the valet serving a jockey, the colors custodian, and the jockey room custodian are all subject to a separate fine for each incident.

D. If the association cannot locate colors registered with the racing secretary, the association shall reimburse the owner \$150.00 for each set of missing silks.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:147 and R.S. 4:148.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:442 (December 1976), amended LR 3:38 (January 1977), LR 4:283 (August 1978), amended by Office of the Governor, Division of Administration, Racing Commission, LR 47:1636 (November 2021).

## Chapter 89. Whips

### §8902. Use of Riding Crop in Thoroughbred Races

A. Although the use of a riding crop is not required, a jockey who uses a riding crop during a thoroughbred race shall do so only in a manner consistent with exerting his or her best efforts to win.

B. In any thoroughbred race in which a jockey will ride without a riding crop, an announcement of that fact shall be made over the public address system.

C. An electrical or mechanical device or other expedient designed to increase or retard the speed of a horse in a thoroughbred race, other than a riding crop approved by the stewards, shall not be possessed by anyone, or applied by anyone to a horse at any time at a location under the jurisdiction of the commission.

D. A riding crop shall not be used on a two-year-old

horse in thoroughbred races before April 1 of each year.

E. Allowable uses of a riding crop in thoroughbred races include the following:

1. the riding crop may be used at any time, without penalty, if, in the opinion of the stewards, the riding crop is used to avoid a dangerous situation or preserve the safety of other riders or horses in a race;

2. use of the riding crop in the overhand fashion for a total of six times from the three-eighths pole to the finish line, only to be used two times in succession and then must give a horse a chance to respond;

3. if necessary during a race, a riding crop may be used in a backhanded fashion on the hindquarters from the three-eighths to the finish line. This use will not be counted toward the use of the crop six times in the overhand fashion;

4. tapping the horse on the shoulder with the crop in the down position, while both hands are holding onto the reins and both hands are touching the neck of the horse; and

5. showing or waving the crop without contact with the horse and giving the horse time to respond before striking the horse.

F. Use of the riding crop to make contact with a horse to maintain focus and concentration, to control the horse for safety of the horse and rider, or to encourage a horse is allowed in thoroughbred races, with the following exceptions:

1. in any manner, other than backhanded on the hindquarters as set forth in Paragraph 3 of Subsection E, tapping on the shoulder as set forth in Paragraph 4 of Subsection E, or resulting in more than six times in the overhand manner as set forth in Paragraph 2 of Subsection E;

2. the riding crop shall not be used more than twice in succession and the horse must be given a chance to respond before using it again;

a. "Chance to respond" is defined as one of the following actions by a jockey:

i. pausing the use of the riding crop on their horse before resuming again;

ii. pushing on their horse with a rein in each hand, keeping the riding crop in the up or down position;

iii. showing the horse the riding crop without making contact; or

iv. moving the riding crop from one hand to the other.

3. with the rider's wrist above helmet height;

4. on the head, flanks, or on any other part of its body other than the shoulders or hindquarters;

5. during the post parade or after the finish of the race except if necessary to control the horse;

6. excessive or brutal use of the crop causing injury to the horse;

7. causing welts or breaks in the skin;

8. if the horse is clearly out of the race or has obtained its maximum placing; and

9. if the horse is showing no response.

G. A riding crop shall not be used to strike another person.

H. Use of the crop during workouts shall be permitted so long as such use does not violate Subsection F of this rule.

I. The giving of instructions by any licensee that, if obeyed, would lead to a violation of this Section may result in disciplinary action also being taken against the licensee who gave the instructions.

J. Only padded/shock absorbing riding crops approved by the stewards, which have not been modified in any way, may be carried in a thoroughbred race.

K. During a thoroughbred race, if a jockey rides in a manner contrary to this Rule, at the stewards' discretion, the stewards may impose a warning or fine of \$100 to \$500 or a suspension. If in the opinion of the stewards the violation is egregious or intentional, the stewards have the discretion to impose both a fine and a suspension. Factors in determining whether a violation is egregious include, but are not limited to:

1. recent history of similar violations;

2. number of uses over the total and consecutive limits described; and

3. using the crop in the overhanded position more than six times.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:147, R.S. 4:148, and R.S. 4:172.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission LR 48:2291 (September 2022).



## Part IX. Weights

### Chapter 91. Weight Penalties and Allowances

#### §9105. Disputed Race

A. When the decision of a race is in dispute, all horses involved in the dispute with respect to the winner's credit shall be liable to all penalties, including conditions and weights, attached to the winning of that race until a winner has been adjudged.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:443 (December 1976), amended LR 3:39 (January 1977), LR 4:284 (August 1978), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 39:1281 (May 2013).

## Part XI. Claiming Rules and Engagements

### Chapter 99. Claiming Rule

#### §9902. Declaring a Horse Ineligible to be Claimed at Time of Entry

A. At the time of entry, the owner, trainer, or authorized agent may declare a horse ineligible to be claimed provided: The horse has been laid off and has not started in a race for a minimum of 120 days and is entered for a claiming price equal to or greater than the price at which the horse last started. For counting purposes, the day following the horse's last race will count as day one. The horse is eligible to start on day 121.

B. Failure to declare the horse ineligible to be claimed at the time of entry may not be remedied.

C. A horse that enters a claiming race and is declared ineligible to be claimed in such race, cannot consider that race for eligibility in any starter type race or optional claiming race.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142, and 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 47:1637 (November 2021).

#### §9905. Timing of Entering Next Claiming Race

A. Except as otherwise provided herein, a claimed horse shall not enter in starter, optional or claiming races for 20 days after being claimed in a race in which the determining eligibility price is less than 25 percent more than the price at which the horse was claimed.

For a period of 10 days thereafter, a horse is eligible to run back for the same claiming price or higher. The day claimed shall not count, but the following calendar day shall be the first day and the horse shall be entitled to enter whenever necessary so the horse may start on the thirty-first day following the claim for any claiming price. This provision shall not apply to starter handicaps in which the weight to be carried is assigned by the handicapper. A similar rule in other states will be recognized and enforced.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 30:1476 (July 2004), amended LR 33:2422 (November 2007), LR 41:1673 (September 2015), LR 44:916 (May 2018).

#### §9909. Resale; Movement

A. If a horse is claimed, it shall not be sold or transferred to anyone wholly or in part, except in a selling or claiming race, for a period of 30 days from date of claim, nor shall it, unless reclaimed, remain in the same stable or under the control of management of its former owner or trainer for a like period, nor shall it race in any other state until after the close of entries of the meeting at which it was claimed, unless special permission is obtained from the commission. However, a horse claimed at a track in Louisiana must remain at the track where it was claimed for a period of 60 calendar days or until after the close of entries of the meeting at which it was claimed. Where a race meeting is authorized and conducted as a split-meeting, a horse claimed in such a race meeting must remain at the track where it was claimed for a period of 60 calendar days or until after the close of entries of that segment of the split meeting at which it was claimed. The following calendar day shall be the first day and the horse shall be entitled to enter at another track in the state whenever necessary so the horse may start on the sixty-first day following the claim.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:446 (December 1976), amended LR 3:42 (January 1977), LR 4:285 (August 1978), amended by the Department of Economic Development, Racing Commission, LR 17:878 (September 1991), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 44:916 (May 2018).

**§9911. Claiming Procedures**

A. All claims shall be signed, sealed, time stamped and deposited in a locked box provided for that purpose in a designated place, at least 15 minutes prior to post time for each race. The claim box shall be opened by the stewards and all claims shall remain in their possession. The claim envelopes shall not be opened by the stewards earlier than 10 minutes prior to post time for the designated race. Notification will be made by the stewards to the proper officials of any claim or claims, if any. No money shall accompany the claim. Each person desiring to make a claim, unless he shall have such amount to his credit with the horsemen's bookkeeper, must first deposit with the horsemen's bookkeeper the whole amount of his claim in cash, for which a receipt will be given. If more than one person shall enter a claim for the same horse, the disposition of the horse shall be decided by lot by one of the stewards or his deputy, and the person so determined to have the right of the claim shall become the owner of the horse whether it be alive or dead, sound or unsound or injured during the race or after it, except as otherwise provided by voided and voidable claims sections. Any horse, other than the winner, that has been claimed, shall be taken to the paddock after the race has been run, for delivery to the claimant unless sent to the retention barn for delivery to the claimant after the specimen has been collected.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

**HISTORICAL NOTE:** Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 1:497 (November 1975), amended LR 2:446 (December 1976), LR 3:42 (January 1977), LR 4:285 (August 1978), LR 48:2289 (September 2022).

**§9913. Vesting of Title; Tests**

A. Title to a claimed horse shall be vested in the successful claimant at the time the horse becomes a starter. The successful claimant shall then become the owner of the horse whether alive or dead, sound or unsound, or injured at any time after leaving the starting gate, during the race or after, except as otherwise provided by voided and voidable claims section.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

**HISTORICAL NOTE:** Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:446 (December 1976), amended LR 3:42 (January 1977), LR 4:285 (August 1978), LR 5:136 (June 1979), amended by the Office of the Governor, Division of Administration, Racing Commission LR 30:1476

(July 2004), LR 31:3160 (December 2005), LR 35:2756 (December 2009), LR 48:2290 (September 2022).

**§9914. Voided and Voidable Claims**

A. A claim shall be voided if a horse is a starter as determined by the regulatory authority, and the horse:

1. dies on the racetrack; or
2. suffers an injury which requires the euthanasia of the horse as determined by the official veterinarian while the horse is on the racetrack.

B. A claim is voidable at the discretion of the new owner for a period of one hour after the race is made official, for any horse:

1. that is vanned off the track at the direction of the official veterinarian; or
2. that is observed by the official veterinarian to be lame or unsound while on the racetrack for that race; or
3. that is observed by the official veterinarian to have bled through its nostrils while on the track.

C. The successful claimant may request on the claim blank at the time he makes his claim that the horse be tested for the presence of equine infectious anemia via a Coggins test and/or erythropoietin and/or darbepoietin.

1. Should the test for equine infectious anemia prove positive, it shall be cause for a horse to be returned to his previous owner and barred from racing in the state of Louisiana.

2. Should the test for recombinant erythropoietin and/or darbepoietin prove positive, it shall be cause for a horse to be returned to his previous owner and barred from racing in the state of Louisiana until such time as the horse tests negative.

3. Additionally, if such erythropoietin and/or darbepoietin positive result is found, the claimant, claimant's trainer or claimant's authorized agent shall have 48 hours in which to request the claim be declared invalid, such request to be made in writing to the stewards.

4. The expense of the tests and the maintenance of the horse during the period requested for the tests shall be absorbed by the successful claimant.

5. If such tests are requested the claimed horse will be sent to the retention barn of the Louisiana State Racing Commission where the state veterinarian will draw blood samples.

- a. Blood samples drawn to test for equine infectious anemia shall be sent to a laboratory

approved by the Louisiana Livestock Sanitary Board for the conduct of such test.

b. Blood samples drawn to detect by immunoassay recombinant erythropoietin and/or darbepoietin shall be sent to the Louisiana State Racing Commission's state chemist.

6. Notwithstanding any inconsistent provision of the Part, a horse shall not be subject to disqualification from the race and from any share of the purse in the race, and the trainer of the horse shall not be subject to application of trainer's responsibility based upon the finding by the laboratory that erythropoietin and/or darbepoietin was present in the sample taken from that horse.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission LR 48:2290 (September 2022).

### **§9949. Purse to Claim Price Ratio**

A. The purse-to-claim price ratio in claiming races for open bred horses shall not be greater than a 3:1 ratio, except for races where supplements are added for accredited Louisiana bred horses who compete in open bred races, where the purse-to-claim price ratio shall not be greater than 4:1.

B. The purse-to-claim price ratio for restricted accredited Louisiana bred races shall not be greater than 4:1, except where the conditions for the race limit the entries to accredited Louisiana bred horses sired by stallions standing in the state as of the breeding date where the ratio shall not be greater than 5:1.

C. Modifications to Subsections A and B of this Section may be made at any duly noticed meeting of the Racing Commission.

1. Approved modifications shall be posted on the Racing Commission's website and posted at the Racing Commission's racetrack offices.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission LR 48:2290 (September 2022).

## **Part XIII. Wagering**

### **Chapter 110. Pick Five or Pick Six**

#### **§11001. Pick Five**

Repealed

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:149, R.S. 4:149.1, R.S. 4:149.2, and R.S. 4:149.3.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 38:1408 (June 2012), repealed LR 45:1593 (November 2019).

#### **§11003. Pick Six**

Repealed

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:149, R.S. 4:149.1, R.S. 4:149.2, and R.S. 4:149.3.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 39:2493 (September 2013), repealed LR 45:1593 (November 2019).

### **Chapter 116. Pick N**

#### **§11601. Description; Selection; Principle**

A. The Pick N is a form of pari-mutuel wagering where N is a varying number of races exceeding three races. Bettors select the first horse in each of N consecutive races designated as the Pick N by the permit holder. The principle of a Pick N is in effect a contract by the purchaser of a Pick N ticket to select the winners of each of the N races designated as the Pick N. The sale of Pick N tickets other than from pari-mutuel machines shall be deemed illegal and is prohibited.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:149, R.S. 4:149.1 and R.S. 4:149.2.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 28:1014 (May 2002), amended LR 34:869 (May 2008), LR 45:1594 (November 2019).

#### **§11609. Procedure**

A. The Pick N requires selection of the first-place finisher in each of a designated number of contests. The association shall submit their request for Pick N pool wagering in writing to the commission at the time of application for race dates and include the request in their wagering format application. The association must obtain written approval from the commission concerning the scheduling of Pick N contests, the designation of one of the methods prescribed in Subsection B, and the amount of any cap to be set on the carryover. Any changes to the approved Pick N

format require prior approval from the commission at the time of application for race dates.

B. The Pick N pool shall be apportioned under one of the following methods:

1. Method 1, Pick N with Carryover: The net Pick N pool and carryover, if any, shall be distributed as a single price pool to those who selected the first-place finisher in each of the Pick N contests, based upon the official order of finish. If there are no such wagers, then a designated percentage of the net pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick N contests; and the remainder shall be added to the carryover. Where there is no correct selection of the first-place finisher in at least one of the Pick N contests, based upon the official order of finish, the day's net pool shall be refunded and the previous carryover pool amount, if any, shall be carried over to the next scheduled corresponding pool.

2. Method 2, Pick N with 100 percent Carryover: The net Pick N pool and carryover, if any, shall be distributed as a single price pool to those who selected the first-place finisher in each of the Pick N contests, based upon the official order of finish. If there are no such wagers, then 100% of that day's net pool shall be added to the carryover. Where there is no correct selection of the first-place finisher in at least one of the Pick N contests, based upon the official order of finish, the day's net pool shall be refunded and the previous carryover pool amount, if any, shall be carried over to the next scheduled corresponding pool.

3. Method 3, Pick N with Minor Pool and Carryover: The major share of the net Pick N pool and the carryover, if any, shall be distributed to those who selected the first-place finisher in each of the Pick N contests, based upon the official order of finish. The minor share of the net Pick N pool shall be distributed to those who selected the first-place finisher in the second greatest number of Pick N contests, based upon the official order of finish. If there are no wagers selecting the first-place finisher of all Pick N contests, the minor share of the net Pick N pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick N contests; and the major share shall be added to the carryover. Where there is no correct selection of the first-place finisher in at least one of the Pick N contests, based upon the

official order of finish, the day's net pool shall be refunded and the previous carryover pool amount, if any, shall be carried over to the next scheduled corresponding pool.

4. Method 4, Pick N with No Minor Pool and No Carryover: The net Pick N pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick N contests, based upon the official order of finish. If there are no winning wagers, the pool is refunded.

5. Method 5, Pick N with Minor Pool and No Carryover: The major share of the net Pick N pool shall be distributed to those who selected the first place finisher in the greatest number of Pick N contests, based upon the official order of finish. The minor share of the net Pick N pool shall be distributed to those who selected the first-place finisher in the second greatest number of Pick N contests, based upon the official order of finish. If there are no wagers selecting the first-place finisher in a second greatest number of Pick N contests, the minor share of the net Pick N pool shall be combined with the major share for distribution as a single price pool to those who selected the first-place finisher in the greatest number of Pick N contests. If the greatest number of first-place finishers selected is one (1), the major and minor shares are combined for distribution as a single price pool. If there are no winning wagers, the pool is refunded.

6. Method 6, Pick N with Minor Pool and No Carryover: The major share of net Pick N pool shall be distributed to those who selected the first-place finisher in each of the Pick N contests, based upon the official order of finish. The minor share of the net Pick N pool shall be distributed to those who selected the first-place finisher in the second greatest number of Pick N contests, based upon the official order of finish. If there are no wagers selecting the first-place finisher in all Pick N contests, the entire net Pick N pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick N contests. If there are no wagers selecting the first-place finisher in a second greatest number of Pick N contests, the minor share of the net Pick N pool shall be combined with the major share for distribution as a single price pool to those who selected the first-place finisher in each of the Pick N contests. If there are no winning wagers, the pool is refunded.

7. Method 7, Pick N with Carryover and “Unique Winning Ticket” Provision: The net Pick N pool and carryover, if any, shall be distributed to the holder of a unique winning ticket that selected the first-place finisher in each of the Pick N contests, based upon the official order of finish. If there is no unique ticket selecting the first-place finisher in each of the Pick N contests, or if there are no wagers selecting the first-place finisher of all Pick N contests, the minor share of the net Pick N pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick N contests, and the major share shall be added to the carryover. Associations may suspend previously approved unique winning ticket wagering with the prior approval of the commission. Any carryover shall be held until the suspended unique winning ticket wagering is reinstated. Where there is no correct selection of the first-place finisher in at least one of the Pick N contests, based upon the official order of finish, the day’s net pool shall be refunded and the previous carryover pool amount, if any, shall be carried over to the next scheduled corresponding pool. In obtaining authorization for operating the Pick N pool under this subsection, associations must clearly identify which definition under Subsection L will be relied upon for determining the existence of a unique winning ticket.

8. Method 8, Pick N with the Pool split into three shares, one share having a Carryover: The share percentages are determined by the pool host and approved by the commission. The first share of the net Pick N pool and the carryover, if any, shall be distributed to those who selected the first-place finisher in each of the Pick N contests, based upon the official order of finish. The second share of the net Pick N pool shall be distributed to those who selected (N-1) of the Pick N contests, based upon the official order of finish and a third share of the Pick N pool shall be distributed to those who selected (N-2) of the Pick N contests, based upon the official order of finish. If there are no wagers selecting the first-place finisher of all Pick N contests, the first share shall be added to the carryover. If there are no wagers selecting (N-1) of the Pick N contests, this second share shall be added to the carryover. If there are no wagers selecting (N-2) of the Pick N contests, this third share shall be added to the carryover. Where there is no correct selection of the first-place finisher in at least one of the Pick N contests, based upon the

official order of finish, the day’s net pool shall be refunded and the previous carryover pool amount, if any, shall be carried over to the next scheduled corresponding pool.

9. Method 9, Pick N with the pool split into three shares, with Carryovers, and a Unique Winning Ticket Provision: The share percentages are determined by the pool host and approved by the commission. The first share of the net Pick N pool and the first share carryover, if any, shall be distributed to those who selected the first-place finisher in each of the Pick N contests, based upon the official order of finish. The second share of the net Pick N pool shall be distributed to those who selected the first-place finisher in the second greatest number of Pick N contests, based upon the official order of finish. If there are no wagers selecting the first-place finisher of all Pick N contests, the second share of the net Pick N pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick N contests, and the first share shall be added to the first share carryover. The third share and the third share carryover, if any, shall be distributed to the holder of a unique winning ticket that selected the first-place finisher in each of the Pick N contests, based upon the official order of finish. If there is no unique winning ticket selecting the first-place finisher in each of the Pick N contests, the third share shall be added to the third share carryover. For greater certainty, the holder of a unique winning ticket shall receive both the first share, and first share carryover, if any as well as the third share, and the third share carryover, if any. Where there is no correct selection of the first-place finisher in at least one of the Pick N contests, based upon the official order of finish, the day’s net pool shall be refunded and the previous carryover pool(s) amount(s), if any, shall be carried over to the next scheduled corresponding pool. In obtaining authorization for operating the Pick N pool under this subsection, associations must clearly identify which definition under paragraph 16(b) will be relied upon for determining the existence of a unique winning ticket.

C. If there is a dead heat for first in any of the Pick N contests involving:

1. contestants representing the same betting interest, the Pick N pool shall be distributed as if no dead heat occurred.

2. contestants representing two or more betting interests, the Pick N pool shall be distributed as a single price pool with each winning wager receiving an equal share of the profit.

D. If a wagering interest is "scratched" for a Pick N contest, or is designated to run for purse money only, the association shall use the actual favorite, as evidenced by total amounts wagered in the Win pool at the host association for the contest at the close of wagering on that contest, and shall be substituted for the scratched betting interest for all purposes, including pool calculations. In the event that the Win pool total for two or more favorites is identical, the substitute selection shall be the betting interest with the lowest program number. The totalizator shall produce reports showing each of the wagering combinations with substituted betting interests which became winners as a result of the substitution, in addition to the normal winning combination.

E. Subject to Subsection I, J or L, the Pick N pool shall be cancelled and all Pick N wagers for the individual performance shall be refunded if:

1. at least three contests included as part of a Pick 4 N, Pick 5 N or Pick 6 N are cancelled or declared no contest.

2. at least four contests included as part of a Pick 7 N, Pick 8 N or Pick 9 N are cancelled or declared no contest.

3. at least five contests included as part of a Pick 10 N are cancelled or declared no contest.

F. Subject to Subsection I, J or L, if at least one contest included as part of a Pick N is cancelled or declared no contest, but not more than the number specified in Subsection E of this Section, the net pool shall be distributed as a single price pool to those whose selection finished first in the greatest number of Pick N contests for that performance. Such distribution shall include the portion ordinarily retained for the Pick N carryover but not the carryover from previous performances.

G. If the condition of the course warrants a change of racing surface in any of the legs of the Pick N races, and such change was not known to the public prior to the closing of wagering for the Pick N pool, the stewards shall declare the changed leg(s) an all win for Pick N wagering purposes only.

H. The Pick N carryover may be capped at a designated level approved by the commission so that if, at the close of any performance, the amount in the Pick N carryover equals or exceeds the designated cap,

the Pick N carryover will be frozen until it is won or distributed under other provisions of this rule. After the Pick N carryover is frozen, 100 percent of the net pool, part of which ordinarily would be added to the Pick N carryover, shall be distributed to those whose selection finished first in the greatest number of Pick N contests for that performance. Any request for a designated cap shall be submitted to the commission in writing at the time of application for race dates and included in the wagering format application.

I. Any request for permission to distribute the Pick N carryover on a specific performance shall be submitted to the commission in writing at the time of application for race dates and included in their wagering format application. The request must be for a specified date.

J. Should the Pick N carryover be designated for distribution on a specified date and performance in which there are no wagers selecting the first-place finisher in each of the Pick N contests, the entire pool shall be distributed as a single price pool to those whose selection finished first in the greatest number of Pick N contests. The Pick N carryover shall be designated for distribution on a specified date and performance only under the following circumstances:

1. Upon written approval from the commission as provided in Subsection H of this rule.

2. On the closing performance of the meet or split meet.

K. Unless otherwise stated in writing by the commission under Subsection I, on the last Pick N race on the final day of the meeting, the net pool, including any applicable carryover, shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick N contests, based upon the official order of finish.

L. As it relates to any distribution method under Subsection B, which contains a unique winning ticket provision:

1. A written request for permission to distribute the Pick N unique winning ticket carryover on a specific performance shall be submitted to the commission in writing at the time of application for race dates and included in their wagering format application. The request must contain justification for the distribution, an explanation of the benefit to be derived, and the intended date and performance for the distribution. Should the Pick N unique winning ticket net pool and any applicable carryover be designated for distribution on a specified date and

performance in which there is no unique winning ticket, the entire pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick N contests.

2. Associations must clearly identify which selection under Subparagraphs a and b below will be relied upon for determining the existence of a unique winning ticket:

a. there is one and only one winning ticket that correctly selected the first place finisher in each of the Pick N contests, based upon the official order of finish, to be verified by the unique serial number assigned by the tote company that issued the winning ticket; or

b. the total amount wagered on one and only one winning combination selecting the first-place finisher in each of the Pick N contests, based upon the official order of finish, is equal to the minimum allowable wager.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:149, R.S. 4:149.1 and R.S. 4:149.2.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 28:1014 (May 2002), amended LR 34:870 (May 2008), LR 45:1594 (November 2019), LR 47:1496 (October 2021).

### §11611. No Winning Ticket

Repealed

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:149, R.S. 4:149.1 and R.S. 4:149.2.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 28:1015 (May 2002), amended LR 34:870 (May 2008), repealed LR 45:1596 (November 2019).

### §11613. Cancelled Races

Repealed

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:149, R.S. 4:149.1 and R.S. 4:149.2.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 28:1015 (May 2002), amended LR 34:870 (May 2008), repealed LR 45:1596 (November 2019).

### §11621. Scratches and Non-Starters

Repealed

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:149, R.S. 4:149.1 and R.S. 4:149.2.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 28:1015 (May 2002), amended LR 34:870 (May 2008), repealed LR 45:1596 (November 2019).

### §11625. Unforeseen Circumstances

A. Should circumstances occur which are not foreseen in these rules, questions arising thereby shall be resolved by the association and when possible, with approval by the commission in accordance with general pari-mutuel practices. Decisions regarding distribution of the Pick N pools shall be final.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:149, R.S. 4:149.1 and R.S. 4:149.2.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 28:1015 (May 2002), amended LR 34:871 (May 2008), LR 45:1596 (November 2019).

## Part XV. Off-Track Wagering

### Chapter 123. General Rules

#### §12342. Amenities for Guests

A. All off-track wagering facilities must follow the requirements set forth in LAC 35:III.5789.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148 and R.S. 4:164.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 49:869 (May 2023).

#### §12345. Concession Services

A. The concession and catering operations shall be conducted so that all persons attending off-track wagering facilities shall be satisfactorily served. Food, beverages (both alcoholic and nonalcoholic), tobacco and other generally related items may be available for sale to the patrons of the various facilities during open hours of operation. Concessionaires serving liquid refreshments shall not permit the surrender of glass containers to patrons except in designated areas.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141 and R.S. 4:211-227.

HISTORICAL NOTE: Promulgated by the Department of Commerce, Racing Commission, LR 14:290 (May 1988), amended by the Office of the Governor, Division of Administration, Racing Commission LR 49:869 (May 2023).

## Part XVII. Historical Horse Racing

### Chapter 131. Wagering on Historical Horse Racing

#### §13101. Pari-Mutuel System of Wagering Required for Historical Horse Racing

A. The only wagering permitted for historical horse racing shall be under the pari-mutuel system of wagering. All systems of wagering other than pari-mutuel shall be prohibited for historical horse racing. Any person participating or attempting to participate in prohibited wagering shall be ejected and excluded from association grounds.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1810 (July 2022).

#### §13103. Definitions

A. The following words and terms shall have the following meanings when used in this chapter, unless the context clearly indicates otherwise:

*Applicant*—a duly licensed association who has submitted an application to obtain a license to offer pari-mutuel wagering on historical horse racing from the commission.

*Commission*—the Louisiana State Racing Commission.

*Historical Horse Race*—a form of horse racing that creates pari-mutuel pools from wagers placed on previously conducted horse races and is hosted at an authorized facility, including:

- a. Any horse race whether running or harness, that was previously conducted at a licensed pari-mutuel facility;
- b. Concluded with official results; and
- c. Concluded without scratches, disqualifications, or dead-heat finishes.

*Historical Horse Racing*—an electronic wagering system used to create and sell pari-mutuel pools from wagers placed on historic horse races, or that otherwise offer pari-mutuel wagers on such races.

*Independent Testing Laboratory*—a laboratory with a national reputation for honesty, independence, and timeliness that is demonstrably competent and qualified to scientifically test and evaluate devices for compliance with this chapter and to otherwise perform the functions assigned to it by this chapter. An

independent testing laboratory shall not be owned or controlled by a licensee, the state, or any manufacturer, supplier, or operator of historical horse racing terminals.

*Integrity Auditor*—a company that conducts periodic and regular tests on the validity of pari-mutuel wagering, deductions, and payouts for the applicable historical horse racing event, including the legitimacy of the event itself, and tests that the order of finish of the race selected in the wager is valid, match to the order of finish that occurred empirically, and that all runners that were listed as entered into the race for the purposes of the wager, legitimately ran in the race.

*Key Person License*—a license issued to a key person of an operator licensed by the commission.

*Key Person*—any of the following entities:

a. an officer, director, trustee, partner, or proprietor of a duly licensed association and/or person that has applied for or holds an operator, management company, or wagering vendor license or an affiliate or holding company that has control of a person that has applied for or holds any such license;

b. a person that holds a combined direct, indirect, or attributed debt or equity interest of more than 5 percent in a person that has applied for or holds an operator, management company, or wagering vendor license;

c. a person that holds a combined direct, indirect, or attributed equity interest of more than 5 percent in a person that has a controlling interest in a person that has applied for or holds an operator, management company, or wagering vendor license.

d. a managerial employee of a person that has applied for or holds an operator, management company, or wagering vendor license in this state, or a managerial employee of an affiliate or holding company that has control of a person that has applied for or holds an operator, management company, or wagering vendor license in this state, who performs the function of principal executive officer, principal operating officer, principal accounting officer, or an equivalent officer;

e. a managerial employee of a person that has applied for or holds an operator, management company, or wagering vendor license, or a managerial employee of an affiliate or holding company that has control of a person that has applied for or holds an operator, management company, or wagering vendor license, who will perform or performs the function of historical horse racing operations manager, or will



exercise or exercises management, supervisory, or policy-making authority over the proposed or existing historical horse racing wagering operation, or supplier business operations in this state and who is not otherwise subject to occupational licensing in this state;

f. any individual or business entity so designated by the commission or executive director; and

g. an institutional investor is not a key person unless the institution has a controlling interest or fails to meet the standards for waiver of eligibility and suitability requirements for qualification and licensure under the *Rules of Racing*.

*Licensee*—any entity holding an owner's or operator's license under R.S. 4:149, and/or offtrack wagering facility, pursuant to R.S. 4:213 who is granted a license by the commission under this chapter to conduct pari-mutuel wagering on historical horse racing.

*Logic Area*—a separately locked cabinet area with its own monitored, locked door or other monitored, locked covering that houses electronic components that have the potential to significantly influence the operation of the terminal.

*Management Company*—an organization retained by an association to manage the conducting of historical horse racing and provide services such as accounting, general administration, maintenance, recruitment, and other operational services.

*Operator*—a person or entity licensed pursuant to R.S. 4:141 et. seq. to operate historical horse racing terminals in a location approved by the commission.

*Takeout*—the amount a historical horse racing licensee is authorized to withhold from a pari-mutuel wager. Takeout is also known as a commission.

*Terminal*—any self-service totalizator machine or other mechanical or electronic equipment used by a patron to place a pari-mutuel wager on a historical horse race, including hardware, software, communications equipment, and electronic devices that accepts and processes the cashing of wagers, calculates the odds or payouts of the wagers, and records, displays, and stores pari-mutuel wagering information.

*Wagering Facility*—the area approved by the commission where historical horseracing is allowed to be operated.

*Wagering Vendor*—a person who is licensed by the commission to manufacture, fabricate, assemble,

produce, program, refurbish, or make modifications to any critical component of a historical horse racing system, or associated program storage device for sale, lease, distribution, use or play by an operator in the State of Louisiana, or any supplier of goods or services the commission deems critical to the operation or integrity of a historical horse racing system.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### §13105. General Provisions

A. The commission may waive or grant a variance from the provisions of these regulations, if the commission determines that the waiver or variance is in the best interests of the public, is impractical, or overly burdensome. Any waiver or variance granted pursuant to this section constitutes an order of the commission pertaining to historical horse racing, violation of which subjects a licensee to discipline.

B. In granting any variance authorized by this section, the commission may impose certain conditions and restrictions with which the licensee must comply to accept and use the variance. Failure to meet the conditions or restrictions contained in the variance will immediately render the variance void, and the licensee may be subject to discipline in the same manner as if the variance had never been issued.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### §13107. Records Retention

A. All operator, management company, or wagering vendor licensees shall maintain, in a place secure from theft, loss, or destruction, adequate records of its business and accounting operations. The licensees shall make the records available to the commission or its agents, upon request, within a reasonable time prescribed by a subpoena duces tecum or by written request of the commission or its agents. The licensees shall hold the records for not less than two years. The records shall include, but not be limited to, all of the following:

1. all correspondence with, or reports to, the commission or any local, state, or federal

governmental agency regarding the operation of an historical horse racing facility;

2. all correspondence concerning the acquisition, construction, maintenance, or business of a proposed or existing historical horse racing or support facility;

3. a personnel file on each employee;

4. notwithstanding Subsection A of this Section, a licensed operator shall hold copies of all promotional and advertising material, records, or complimentary distributions for at least one year, unless otherwise requested by the commission;

5. an operator licensee shall keep and maintain accurate, complete, legible, and permanent records of any books, records, or documents pertaining to, prepared in, or generated by, the historical horse racing wagering operation, as described in its internal controls, as approved by the commission; and

6. an operator shall organize, and index all required records in a manner that enables the commission to locate, inspect, review, and analyze the records with reasonable ease and efficiency.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### §13109. Duties of the Commission

A. The commission shall enact such policies and procedures to implement the following responsibilities:

1. license and regulate operators for the operation of historical horse racing wagering systems authorized pursuant to R.S. 4:141 et. seq., including adopting, promulgating, and enforcing rules and regulations governing historical horse racing wagering consistent with R.S. 4:141 et. seq.;

2. regulate the operation of historical horse racing wagering in order to prevent and eliminate corrupt practices and fraudulent behavior, and thereby promote integrity, security, and honest administration in, and accurate accounting of, the operation of historical horse racing wagering operations which are subject to R.S. 4:141 et. seq.;

3. establish criteria to license applicants for operator licenses and all other types of licenses for other positions and functions incident to the operation of historical horse racing wagering, including adopting, promulgating, and enforcing rules,

regulations, and eligibility standards, or waiving such criteria in limited circumstances as provided for in the Rules of Racing, for such operator licenses, management company licenses, vendor licenses, key person licenses and other occupational licenses, positions, and functions incident to the operation of historical horse racing wagering;

4. charge fees for applications for licenses, to include the cost of conducting background investigations, and for the issuance of operator licenses, management company licenses, vendor licenses, key person licenses and other occupational licenses and all other types of licenses to successful applicants which will be payable to the commission;

5. charge fees to operators in an amount necessary to compensate the commission for the cost of oversight and regulatory services to be provided, which will be payable to the commission;

6. grant, deny, revoke, and suspend operator licenses and all other types of licenses based upon reasonable criteria and procedures established by the commission to facilitate the integrity, productivity, and lawful conduct of historical horse racing within the State of Louisiana;

7. to investigate the suitability of applicants for operator licenses and all other types of licenses;

8. to determine the priority and eligibility of any applicant for a license and to select among competing applicants for a license, the applicant who or which best serves the interests of the residents of Louisiana;

9. to administer oaths and affirmations to the witnesses, when, in the opinion of the commission, it is necessary to enforce the provisions of R.S. 4:141 et. seq. or the Rules of Racing;

10. to adopt technical standards governing the design, operation and control of historical horse racing equipment;

11. inspect the operation of any operator conducting historical horse racing wagering for the purpose of certifying the revenue thereof and receiving complaints from the public;

12. to approve the hours of operation for each historical horse racing facility. Change to such hours of operation may be made by the operator for extenuating circumstances with notice to the Commission stating the reasons for the change;

13. to audit or cause audit of historical horse racing wagering operations, including those that have ceased operation;

14. issue subpoenas for the attendance of witnesses or the production of any records, books, memoranda, documents, papers, videos, pictures, electronic media, or other things at or prior to any hearing as is necessary to enable the commission to effectively discharge its duties;

15. executive director oaths or affirmations as necessary to carry out R.S. 4:141 et. seq.;

16. have the authority to impose, subject to judicial review, administrative fines not to exceed \$25,000 for each violation of R.S. 4:141 et. seq. or any Rules of Racing adopted and promulgated pursuant to R.S. 4:141 et. seq.;

17. to receive and investigate complaints from patrons concerning the conduct of historical horse racing;

18. to inspect, test and approve historical horse racing systems and related equipment proposed for use or placed in use in historical horse racing facilities;

19. to approve locations for the storage and servicing of historical horse racing systems and related equipment;

20. to require that a historical horse racing facility make devices and equipment available for examination and inspection;

21. establish procedures for the governance of the commission;

22. acquire necessary offices, and to employ the services of persons the commission considers necessary for the purposes of consultation or investigation, and fix the salaries of, or contract for the services of, legal, accounting, technical, operational, and other personnel and consultants;

23. to secure, by agreement, information and services as the commission considers necessary from any other unit of government;

24. maintain the excluded persons database in accordance with the provisions of the Rules of Racing;

25. establish and enforce minimum internal controls for the operation of historical horse racing wagering and by which each operator will develop their own internal controls;

26. establish procedures for an applicant for a staff position to disclose conflicts of interest as part of the application for employment;

27. to determine any facts or any conditions, practices, or other matters as the commission considers necessary or proper to aid in the enforcement of R.S. 4:141 et. seq.; and

28. do all things necessary and proper to carry out its powers and duties under R.S. 4:141 et. seq., including the adoption and promulgation of rules and regulations.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13111. Wagering on Historical Horse Races Authorized**

A. Wagering on historical horse races is hereby authorized and may be conducted in accordance with R.S. 4:149 and 4:213.

B. Wagering on historical horse races shall only be conducted by associations licensed to operate a pari-mutuel facility, pursuant to R.S. 4:149, and/or by offtrack wagering facilities, pursuant to R.S. 4:213.

C. The commission may create classifications of licenses and establish a fee structure for license categories. Applicants for each category of license must apply on forms approved by the commission to be accompanied by the corresponding license application fee. All application fees are non-refundable.

1. The following license fees have been approved by the commission:

- a. applicant association (initial) - \$125,000;
- b. license fee per establishment/OTB (initial)- \$7,000;
- c. wagering vendor license (initial) - \$2,000
- d. wagering vendor license (annual renewal) - \$500;
- e. background investigation - up to \$4,000;
- f. non-key person license (initial) - \$200; and
- g. key person license (initial) - \$1,000.

D. An application for a license under R.S. 4:141 et. seq. and this Chapter is a request by the applicant seeking a revocable privilege. A license may be granted by the commission if the applicant meets the licensing requirements of the act and these rules. The commission may require holders of a current pari-mutuel wagering facility license to complete an updated application form and undergo additional background screening prior to being authorized to conduct historical horse racing. The commission may

issue new licenses to such existing license holders to include the conditions and licensing requirements contained in this Chapter.

E. An applicant for a license under R.S. 4:141 et. seq. and this Chapter shall, at all times, have the burden of demonstrating to the commission, by clear and convincing evidence, that the applicant is eligible, qualified, and suitable to be granted and retain the license for which application is made under the applicable licensing standards and requirements of R.S. 4:141 et. seq. and the Rules of Racing.

F. A license issued by the commission under R.S. 4:141 et. seq. or this Chapter is a revocable privilege granted by the commission. A person who holds a license does not acquire, and shall not be deemed to acquire, a vested property right or other right, in the license.

G. Applicants for any license issued by the commission under the provisions of this Chapter must pay all fees and assessments prescribed either by law or the Rules of Racing in the manner and at the time prescribed by law and/or the Rules of Racing. Application fees and applicable assessments for all historical horse racing wagering licenses and must be paid by the applicant at the time that an application is filed with the commission. None of the licenses listed in this Chapter may be transferred or assigned.

H. The commission may refuse to take final action on any application if all license regulation, investigation, and fingerprint fees have not been paid in full. The commission may deny the application if the applicant refuses or fails to pay all such fees. Additionally, an applicant who has refused or failed to pay the required costs will not be eligible to file any other application with the commission until all such fees are paid in full. Neither the license fee or regulation fees nor any other fee is refundable.

I. Materials, or portions of materials, submitted under R.S. 4:141 et. seq. or these rules may be identified as confidential by a licensee, an applicant for a license, or any other person. If the materials are exempt from disclosure by statute, the materials shall not be disclosed by the commission, except to other jurisdictions or law enforcement agencies as provided in R.S. 4:141 et. seq.

J. An applicant or licensee shall accept any risk of adverse publicity, public notice, notoriety, embarrassment, criticism, financial loss, or other unfavorable or harmful consequences that may occur in connection with, or as a result of, the application and

licensing process or the public disclosure of information submitted to the commission with a license application or at the commission's request under R.S. 4:141 et. seq. and the Rules of Racing.

K. Licensees have a continuing obligation to demonstrate suitability to hold a license by complying with R.S. 4:141 et. seq., the Rules of Racing, and all federal, state, and local laws relating to the suitability of the licensee. The commission may reopen the investigation of a licensee at any time. The licensee shall be assessed fees, if any, to cover the additional costs of the investigation.

L. An applicant or licensee may claim any privilege afforded by the Constitution or laws of the United States or of the State of Louisiana in refusing to answer questions or provide information requested by the commission. However, a claim of privilege with respect to any testimony or evidence pertaining to the eligibility, qualifications, or suitability of an applicant or licensee to be granted or hold a license under R.S. 4:141 et. seq. and the Rules of Racing may constitute cause for denial, suspension, revocation or restriction of the license.

M. An applicant and licensee shall have a continuing duty to do all of the following:

1. promptly notify the commission in writing within 10 business days of a material change in the information submitted in the license application submitted by the applicant or licensee or a change in circumstance, that may render the applicant or licensee ineligible, unqualified, or unsuitable to hold the license under the licensing standards and requirements of the act and these rules; and

2. provide any information requested by the commission relating to licensing or regulation, cooperate with the commission in investigations, hearings, and enforcement and disciplinary actions within the period of time requested by the commission, and comply with all conditions, restrictions, requirements, orders, and rulings of the commission in accordance with R.S. 4:141 et. seq. and the Rules of Racing.

N. The following persons are required to hold an occupational license:

1. a person employed by an association or management company and whose duties are directly related to the conduct of historical horse racing;
2. all security personnel;
3. employees whose duties are performed off the wagering facility and whose duties include the

handling of money or performing accounting and auditing functions that involve money obtained as a result of historical horse racing;

a. An occupational license level one is the highest level of occupational license. An occupational licensee may perform any activity included within the occupational licensee's level of occupational license or any lower level of occupational license.

b. An employee of an association or management company who does not hold an occupational license shall not perform any duties relating to the conduct of historical horse racing at any time.

c. A person under 18 years of age shall not hold an occupational license of any level. Applicants for occupational license level one must be at least 21 years of age.

d. An application for an occupational license shall not be processed by the commission unless the applicant has an agreement or a statement of intent hire with an association or management company licensee or applicant, documenting that the applicant will be employed upon receiving the appropriate occupational license.

e. Employees of an authorized gaming operator who perform the following functions, regardless of title, shall obtain an occupational license level one:

- i. audit director;
- ii. chief regulatory compliance officer;
- iii. information technology director and managers;
- iv. security director;
- v. surveillance director;
- vi. chief financial officer or controller, or both;
- vii. historical racing operations director;
- viii. general manager;
- ix. assistant general manager; or
- x. any other employee of an authorized

gaming operator whom the commission deems necessary, to ensure compliance with R.S. 4:141 et. seq. and the Rules of Racing, to hold an occupational license level one.

f. A person holding a level one license employed by an association or management company may not be employed concurrently by a wagering vendor, except that a person holding a level one license may be employed by a licensed management company that is also licensed as a wagering vendor.

4. employees of an association who perform the following functions, regardless of title, shall obtain an occupational license level two:

a. security personnel and surveillance personnel;

b. any employee of an association whose duties are performed are directly related to the conducting of historical horse racing;

c. any employee of an association whose duties include accounting and auditing functions and whose duties relate to money obtained as a result of historical horse racing; and

d. any other employee of an association whom the commission deems necessary, to ensure compliance with R.S. 4:141 et. seq. and the Rules of Racing, to hold an occupational license level two;

5. the term of all occupational license levels is three years and requires an initial license application fee to be determined by the commission and an annual license fee.

O. Applicants for a historical horse racing wagering license, an occupational license, and applicants for renewals of such licenses shall comply with the following procedures:

1. Every application for a license category authorized by the commission must be submitted on forms supplied or approved by the commission and must contain such information and documents as required for such license category.

2. The applicant must file with the application all required supplemental forms.

3. Upon request of the commission, the applicant must further supplement any information provided in the application. The applicant must provide all requested documents, records, supporting data, and other information within the time period specified in the request. If the applicant fails to provide the requested information within the required time period as set forth in the request or the Rules of Racing, the commission may deny the application unless good cause is shown.

4. All information required to be included in an application must be true and complete as of the date of commission action sought by the applicant. If there is any change in the information contained in the application, the applicant must file a written amendment within 30 days of the change of information in accordance with the Rules of Racing.

5. The application and any amendments must be sworn to or affirmed by the applicant. If any document

is signed by an attorney for the applicant, the signature must certify that the attorney has read the document and that, to the best of the attorney's knowledge, information and belief, based on diligent inquiry, the contents of the documents supplied are true.

6. The applicant must cooperate fully with the commission with respect to the background investigation of the applicant, including, upon request, making available any and all of its books and records for inspection. The commission will examine the background, personal history, financial associations, character, record, and reputation of the applicant to the extent the commission determines.

7. The commission will automatically deny the application of any applicant that refuses to submit to a background investigation as required pursuant to R.S. 4:141 et. seq. and the Rules of Racing.

8. Neither the state, the commission, any agency with which the commission contracts to conduct background investigations, nor the employees of any of the foregoing, may be held liable for any inaccurate information obtained through such an investigation.

P. In addition to specific conditions imposed in any license issued by the commission under these rules, any license issued by the commission for the operation of historical horse racing wagering is subject to the following conditions.

1. With respect to a historical horse racing wagering operator's license, the licensed operator will at all times make its wagering facility available for inspection by the commission or their authorized representatives with or without prior announcement. Additionally, the licensed operator understands that a commission agent is authorized to be present anywhere within the wagering facility each day any time during operation of historical horse racing wagering, and whenever else deemed appropriate by the director of enforcement.

2. The operator licensee consents to the examination of all accounts, bank accounts, and records of, or under the control of the operator licensee, or any entity in which the operator licensee has a direct or indirect controlling interest. Upon request of the commission or its authorized representative, the operator licensee must authorize all third parties in possession or control of the requested documents to allow the commission or commission agents to examine such documents.

3. The operator licensee will observe and enforce all rules, regulations, decisions, and orders issued by the commission. The operator's license is granted on the condition that the operator licensee, management, and its employees will obey all decisions and orders of the commission. Each operator licensee will have a continuing duty to report to the commission enforcement division any violation of the Rules of Racing or applicable laws of the State of Louisiana by the operator licensee, management, and its employees. Failure to report violations will result in disciplinary action against the operator licensee. The licensee is required to notify the commission in writing within 30 days of the violation.

Q. The commission may refuse to issue an operator licensee or deny any operator licensee application on any grounds deemed reasonable by the commission. Without limiting the foregoing, the commission may deny the application on any of the following grounds:

1. evidence of an applicant submitting an untrue or misleading statement of material fact, or willful omission of any material fact, in any application, statement, or notice filed with the commission, made in connection with any investigation, including the background investigation, or otherwise made to the commission or its staff;

2. conviction of any felony in any jurisdiction by key persons of the applicant or by the applicant which may affect the applicant's ability to properly perform his or her duties or reflect unfavorably on the integrity of a historical horse racing wagering facility;

3. conviction of any gambling offense in any jurisdiction by key persons or by the applicant;

4. entry of any civil or administrative judgment against the applicant or its key persons that is based, in whole or in part, on conduct that allegedly constituted a felony crime in the state or other jurisdiction in which the conduct occurred that may affect the applicant's ability to properly perform his or her duties or reflect unfavorably on the integrity of a historical horse racing wagering facility, or involved a gambling violation(s);

5. association by the applicant, applicant's spouse or members of applicant's immediate household with persons or businesses of known criminal background or persons of disreputable character that may adversely affect the general credibility, security, integrity, honesty, fairness or reputation of the historical horse racing wagering industry;

6. any aspect of the applicant's or any key person's past conduct, character, or behavior that the commission determines would adversely affect the credibility, security, integrity, honesty, fairness or reputation of the proposed historical horse racing wagering activity;

7. failure of the applicant or its key persons to demonstrate adequate business ability and experience to establish, operate, and maintain the business for the type of activity for which application is made;

8. failure to demonstrate adequate financing for the operation proposed in the application;

9. failure to satisfy any requirement for application or to timely respond to any request by the commission for additional information;

10. permanent suspension, revocation, denial or other limiting action on any license related to historical horse racing wagering issued by any jurisdiction; and

11. approval of the application would otherwise be contrary to Louisiana law or public policy.

R. The commission, in the same manner and in accordance with the Louisiana Administrative Procedures Act, will provide the applicant with written notice of the denial, and the applicant shall have the opportunity to appeal the commission decision in conformity with R.S. 4:214(J).

S. The commission may issue a provisional license to any applicant who provides the required fingerprint cards, photographs, completed application, and intent to employ statement. Provisional licenses may be valid for a period established by the commission but shall not be more than 90 days and is subject to the license conditions enumerated in the commission's authorization of the provisional license.

1. The commission may extend the duration of provisional licenses in 30-day increments if the licensing process has not been completed.

T. Wagering on historical horse races shall only be permitted in the designated area on the licensed premises of the pari-mutuel facility and/or offtrack wagering facility. Wagering on historical horse races shall not be offered in any other location.

U. An applicant for a license to offer pari-mutuel wagering on historical horse racing shall apply for a license to conduct the same with the commission at its offices. An application fee, set by the commission-approved license fee schedule, shall be paid for each location where the applicant seeks to offer pari-mutuel wagering on historical horse racing to reimburse the commission for the cost of regulation. The initial

application fee shall be paid upon filing of the application.

1. Licensees authorized to offer pari-mutuel wagering on historical horse racing shall pay an annual license fee set by the commission-approved license fee schedule, to be paid monthly, to reimburse the commission for the cost of regulation.

2. The annual total for initial application fees or annual licenses fees shall not exceed the commission's budgeted costs for the regulation of historical horse racing in any calendar year.

V. An applicant for a license to offer pari-mutuel wagering on historical horse racing shall submit a plan of operation that includes:

1. the number of terminals to be operated at the facility, broken down by terminal provider, make, and model;

2. a detailed description of the proposed area designated for the sale of pari-mutuel pool, and the placement of terminals within the area, including a drawn-to-scale architectural rendering that describes:

a. the size, construction, and capacity of the area;

b. the number and location of each terminal; and

c. the location of surveillance and other security equipment.

3. a description of the type of data processing, communication, totalizer and transmission equipment to be utilized;

4. a networking diagram detailing the manner in which the machines will be networked with the wagering servers and back office systems;

5. an IT security plan detailing the logical security measures for the wagering system;

6. the type, number and denominations of pari-mutuel wagers to be offered;

7. the terminal provider, make, and model of each terminal, including a copy of all literature supplied by the manufacturer of the terminal;

8. the maintenance and repair procedures that will ensure the integrity of the terminals;

9. detailed information on the wager types, including breakage, to be offered by the applicant, including information demonstrating compliance with the requirements of this chapter;

10. wager specification documentation, which shall include the rules for the mathematical models, methodology of calculating payouts of the pools, configuration of pools, how money is allocated to or

from the pools (including seed pool(s) as applicable, and pool payout methodology. As used herein, a seed pool refers to a pool of money that is used to ensure that all patrons are paid the minimum payout on winning wagers.

W. Before offering wagering on historical horse races, an association shall first obtain the commission's written approval of all wagers offered as set forth in LAC 35:XIII.10703, LAC 35:XIII.10901, LAC 35:XIII.11105, LAC 35:XIII.11201, LAC 35:XIII.11507, LAC 35:XIII.11607, LAC 35:XIII.11701, and LAC 35:XIII.11801 or other accepted pari-mutuel wager type as approved by the commission.

X. A license for conducting pari-mutuel wagering on historical horse racing shall run concurrent with the association's license to conduct horse racing and/or operate offtrack wagering facilities. A licensee may not transfer its license, or assign responsibility for compliance with the conditions of its license, to any party, including, without limitation, a transfer of effective control of the licensee, without commission approval.

Y. Failure to comply with requirements in R.S. 4:149, and/or offtrack wagering facility requirements pursuant to R.S. 4:213 and the Rules of Racing may result in suspension or revocation of the license for conducting pari-mutuel wagering at the discretion of the commission.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13113. Operational Requirements for the Conduct of Historical Horse Racing**

A. An association may conduct wagering on historical horse races of any horse breed regardless of the type of breed that primarily races in live meets conducted by the association. An association may conduct wagering on historical horse races on any days and hours approved by the commission, and shall not be limited to times during which the association is conducting a live horse race meeting.

B. A mutuel wager on historical horse races may be placed only from a physical facility of a licensee.

C. A mutuel wager on historical horse racing may not be placed using a mobile device unless the system communicating with the mobile device to place the

wager is fully controlled and operated by the licensed facility at which the wager is placed. For the purposes of this Section, "fully controlled and operated" means the licensed facility develops, owns, leases, acquires a license for, or otherwise contracts for services to operate and control a mobile historical horse racing wagering system.

D. No licensee may accept a mutuel wager on historical horse racing if the wager is placed via a mobile phone or other personal electronic device, unless the network infrastructure and all pari-mutuel wagering software complies with the relevant technical requirements within these rules.

E. Nothing in this Section independently authorizes wagering or facilitation of wagering on historical horse racing outside of the licensed pari-mutuel wagering operation.

F. Any historical horse racing solution that relies on wireless networked communications, including all mobile historical horse racing systems, shall annually conduct a system integrity and security risk assessment performed by an independent information technology security professional approved by the commission. The system integrity and security risk assessment shall be conducted no later than 90 days after commencing operations and annually thereafter. The scope of the pari-mutuel wagering system integrity and security assessment is subject to the approval of the commission and must include:

1. A vulnerability assessment of digital platforms, mobile applications, internal, external, and wireless networks with the intent of identifying vulnerabilities of all devices, the historical horse racing system, and applications transferring, storing, and/or processing personal identifying information or other sensitive information connected to or present on the networks;

2. A penetration test of all digital platforms, mobile applications, and internal, external, and wireless networks to confirm devices, the historical horse racing wagering systems, and applications are not susceptible to compromise;

3. A review of the firewall rules to verify the operating condition of the firewall and the effectiveness of its security configuration and rule sets that must be performed on all perimeter and internal firewalls;

4. A technical security control assessment against the commission's technical requirements for



security and with generally accepted professional standards;

5. An evaluation of information security services, cloud services, payment services, financial institutions, payment processors, location services, and any other services that may be offered directly by the licensee or involve the use of third parties; and

6. At the discretion of the executive director, any additional assessments or specific testing criteria which may be required by internal control procedures.

G. All wagers offered on historical horse races shall incorporate the following elements:

1. A patron may only wager on historical horse races on a terminal approved by the commission;

2. For each different type of exotic wager on historical horse races offered by an association, the association shall at all times maintain at least two terminals offering each such exotic wager;

3. Once a patron deposits an amount in the terminal offering wagering on historical horse races, one or more historical horse races shall be made available for wagering as set forth in the wagering specification rules;

4. Prior to the patron making his or her wager selections, the terminal shall not display any information that would allow the patron to identify the historical horse race or races on which he or she is wagering, including the location of the race or races, the date on which the race or races was run, the names of the horses in the race or races, or the names of the jockeys that rode the horses in the race or races;

5. The terminal shall make available true and accurate past performance information on the historical horse race to the patron prior to making his or her wager selections. The information shall be current as of the day the historical horse race was actually run. The information provided to the patron shall be displayed on the terminal in data or graphical form; and

6. After a patron finalizes his or her wager selections, the terminal shall display the patron's successful selections, the official results of each race, and a replay of the race or races, or a portion thereof, whether by digital or animated depiction or by way of a video recording. The identity of each race shall be revealed or made available to the patron after the patron has placed his or her wager.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13115. Historical Horse Race Specification and Selection Requirements**

A. The outcome of any historical horse race wager shall be derived from the result of one or more historical horse races.

B. All historical horse races must be chosen at random from a database of actual historical horse races. All races in the database shall have a valid historical horse race result with details recorded at the same level as other races in the database, and shall include:

1. race location;
2. race date; and
3. finishing order.

C. If available and provided for in the recorded race data, other information such as horse name and jockey name or associated identifiers may be included in the race database.

D. In the case where a random process is used to select the historical horse races for a wager, all possible races in the database shall be available for selection.

E. Each terminal shall:

1. be tested by an independent testing laboratory, selected by the commission, and found to be in compliance with all applicable technical standards. Any modifications made to the terminal or software shall require re-testing;

2. provide race information that is current as of the day the horse race was actually run;

3. allow any patron that is handicapping to exit the manual handicapping interface;

4. display the information provided to the patron in graphic form which is discernable to the bettor;

5. not be in the nature of a slot machine. A terminal shall not be considered to be in the nature of a slot machine when it precludes the use of random elements to determine the outcome of a wager other than the selection of a race or races from a database of races, when all wagers and prizes are pari-mutuel in nature, and when it does not include any interest of the licensee.

F. Prior to the patron making his or her wager selections, the terminal shall:

1. make true and accurate past performance information available on each historical horse race; and

2. not display any information that would allow the patron to identify the historical horse race on which the patron is wagering, including:

- a. the location of the race;
- b. the date on which the race was run;
- c. the names of the horses in the race; or
- d. the names of the jockeys who rode the horses in the race.

G. In addition to the requirement of Paragraph 2 of Subsection F of this Section, the terminal may also display the wager and its outcome as part of an entertaining display, provided the underlying wager and outcome functions according to the pari-mutuel wagering pool specifications provided by the historical horse racing licensee to the commission.

H. Approximate odds or payouts for each wagering pool shall be posted, or made available, on each terminal for viewing by patrons.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13117. Payouts through Pari-Mutuel Pools Authorized**

A. A wager on a historical horse race or races, less deductions permitted by R.S. 4:216(E), shall be placed in pari-mutuel pools approved by the commission.

B. A payout to a winning patron shall be paid from money wagered by patrons and shall not constitute a wager against the association.

C. An association conducting wagering on historical horse races shall not conduct wagering in such a manner that patrons are wagering against the association, or in such a manner that the amount retained by the association as a commission is dependent upon the outcome of any particular race or the success of any particular wager.

D. An association offering wagering on historical horse races shall operate a pari-mutuel pool or pools in a manner and method approved by the commission. An association offering wagering on historical horse races may operate a player-funded pool or pools in a manner and method approved by the commission for the purpose of ensuring that sufficient funds are at all times available to pay any winning wagers in situations where a pari-mutuel pool becomes a minus pool. For each wager made, an association may assign a

percentage of the wager to a player-funded pool or pools.

E. If an association chooses to make a deposit into a trust account or seed pool for the purpose of ensuring that sufficient funds are at all times available to pay any winning wagers in situations where a pari-mutuel pool becomes a minus pool, then such trust account must be approved by the commission.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13119. Minors Prohibited from Wagering on Historical Horse Races**

A. A minor shall not be permitted by any licensed association to purchase or cash a pari-mutuel ticket on historical horse races.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13121. Responsible Play**

A. A licensee shall implement a program to promote responsible play of historical horse racing by its patrons and provide details of the same to the commission. At a minimum, such program shall require:

1. posting in a conspicuous place in every facility where pari-mutuel wagering on historical horse racing is conducted a sign that bears a toll-free number for an approved organization that provides assistance to problem gamblers;

2. providing informational leaflets or other similar materials at the licensee's facilities on the dangers associated with problem gambling;

3. including in the licensee's promotional and marketing materials information on problem gambling and organizations that provide assistance to problem gamblers;

4. providing patrons expressing concern with a gambling problem with information on organizations that provide assistance to problem gamblers; and

5. ensuring that any request by a patron who wishes to self-exclude from the licensee's facilities is honored by the licensee.

B. A licensee shall report annually to the commission and make a copy available to the public on

its efforts to meet Subsection A of this Section, its efforts to identify problem gamblers, and steps taken to:

1. prevent such individuals from continuing to engage in pari-mutuel wagering on historical horse racing; and
2. provide assistance to these individuals to address problem gambling activity.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13123. Totalizator or Other Approved Equipment Required**

A. Pari-mutuel wagering on historical horse races shall only be conducted through the use of a totalizator or other similar mechanical or electrical equipment.

B. The totalizator or other mechanical or electrical equipment shall be available for testing under the supervision of the commission upon request by the commission to ensure its proper working order.

C. Wagering on historical horse races shall be offered on terminals that include a cabinet in which the electronics and other operating components are located. All terminals and other equipment shall be subject to inspection by the commission.

D. The terminal cabinet and electronics shall:

1. protect against electrostatic interference by being grounded so that static discharge energy shall not permanently damage or inhibit the normal operation of the electronics or other components within the wagering terminal. In the event that a temporary disruption of the normal operation of a wagering terminal occurs as a result of an electrostatic discharge, the wagering terminal shall have the capacity to recover and complete any interrupted wager without loss or corruption of any control or critical data information. Each terminal shall be tested to a maximum discharge severity level of 27 kilovolt air discharge;

2. not be adversely affected, other than during resets, by surges or dips of up to 20 percent of the supply voltage. If a wagering terminal is designed such that a surge or dip of up to 20 percent of the supply voltage causes a reset, the terminal shall also be designed so that a surge or dip shall not result in damage to the equipment or loss or corruption of data. Upon reset, the wager play shall return to its previous

state or return to a wager completion state, provided the wagering history and all credit and accounting meters comprehend a completed wager play;

3. have an on/off switch that controls the electrical current installed in a readily accessible location within the interior of the terminal so that power cannot be disconnected from outside of the terminal using the on/off switch. The on/off positions of the switch shall be labeled;

4. be designed so that power and data cables into and out of the terminal can be routed so that they are not accessible to the general public. Security-related wires and cables that are routed into a logic area shall be securely fastened within the interior of the terminal;

5. have an identification badge affixed to the exterior of the terminal by the terminal provider that is not removable without leaving evidence of tampering. This badge shall include the following information:

- a. the name of the terminal provider;
- b. a unique serial number;
- c. the terminal model number; and
- d. the date of manufacture;

6. have an external tower light located conspicuously on the top of the terminal that automatically illuminates when a patron has won an amount that the terminal cannot automatically pay or when an error condition has occurred;

7. be constructed of materials that are designed to allow only authorized access to the inside of the terminal. The terminal and its locks, doors, and associated hinges shall be capable of withstanding determined and unauthorized efforts to gain access to the inside of the terminal and shall be designed to leave evidence of tampering if such an entry is made;

8. be equipped with doors of a locked area that are designed to resist the use of tools or other objects used to breach the locked area by physical force;

9. have external doors that shall be locked and monitored by door access sensors. When the external doors are opened, the door access sensors shall:

- a. cause wagering activity to cease;
- b. disable all currency acceptance;
- c. enter an error condition;
- d. illuminate the tower light at a minimum;

and

- e. record the error condition. The requirements of this Subsection do not apply to the drop box door;

10. have external doors designed so that it shall not be possible to insert a device into the terminal that will disable a sensor that indicates "door open" without leaving evidence of tampering when the door of the terminal is shut;

11. have a sensor system that shall provide notification that an external door is open when the door is moved from its fully closed and locked position, provided power is supplied to the device;

12. have a logic area, which is a separately locked cabinet area with its own monitored, locked door or other monitored, locked covering that houses electronic components that have the potential to significantly influence the operation of the terminal. There may be more than one such logic area in a terminal. The electronic components housed in the logic area shall include:

a. a central processing unit and any program storage device that contains software that may affect the integrity of wagering, including the individual play accounting, system communication, and peripheral firmware devices involved in or that significantly influence the operation and calculation of wager plays, wager outcome display, wager result determination, or wager play accounting, revenue, or security;

b. communication controller electronics and components housing the communication program storage device; and

c. the nonvolatile memory backup device, which if located in the logic area, shall be kept within a locked logic area; and

13. have a currency storage area that is separately keyed and fitted with sensors that indicate "door open/close" or "stacker receptacle removed," provided power is supplied to the device. Access to the currency storage area shall be secured by two locks before the currency can be removed. The locks shall be located on the relevant outer door and on at least one other door.

E. Critical memory requirements shall include the following:

1. Critical memory storage shall be maintained by a methodology that enables errors to be identified, including signatures, checksums, partial checksums, multiple copies, timestamps, effective use of validity codes, or any combination of these methods.

2. Comprehensive checks of critical memory shall be made following wager play initiation but prior to display of wager outcome to the patron.

3. An unrecoverable corruption of critical memory shall result in an error state. The memory error

shall not be cleared automatically and shall cause the terminal to cease further functioning. The critical memory error shall also cause any communication external to the terminal to immediately cease. An unrecoverable critical memory error shall require restoration or clearing of software state by an authorized person.

4. If critical memory is maintained in nonvolatile memory on the terminal and not by the server-based system, then:

a. the terminal shall have the ability to retain data for all critical memory as defined in this Section and be capable of maintaining the accuracy of the data for 30 days after power is discontinued from the terminal;

b. for rechargeable battery types only, if the battery backup is used as an off-chip battery source, it shall recharge itself to its full potential in a maximum of 24 hours, and the shelf life of the battery shall be at least five years;

c. nonvolatile memory that uses an off-chip backup power source to retain its contents when the main power is switched off shall have a detection system that will provide a method for software to interpret and act upon a low battery condition before the battery reaches a level where it is no longer capable of maintaining the memory in question. Clearing nonvolatile memory shall require access to the locked logic area or other secure method, provided that the method is approved by the commission; and

d. following the initiation of a nonvolatile memory reset procedure, the wagering program shall execute a routine that initializes all bits in critical nonvolatile memory to the default state. All memory locations intended to be cleared as per the nonvolatile memory clear process shall be fully reset in all cases.

5. Critical memory of a server-based wager configuration may be maintained by the server, terminal, or some combination thereof. The critical memory related to each terminal shall:

a. be kept independent to all other wagering terminals. If corruption occurs in any single terminal's critical memory no other terminal shall be effected by the terminal's corrupt memory state; and

b. be clearly identified as to which physical terminal the critical memory represents, through unique identification, such as serial number or other unique terminal hardware identifier.

6. All terminals shall be equipped with a device, mechanism, or method for retaining the value of the

meter information specified in §13135 in the event of a loss of power to the terminal. Storage and retrieval of the accounting meters from a server is an acceptable method of retrieval.

7. Configuration setting changes shall not cause an obstruction to the meters.

8. If the terminal is in a test, diagnostic, or demonstration mode, any test that incorporates credits entering or leaving the terminal shall be completed prior to resumption of normal operation. In addition, there shall not be any mode other than normal wagering operation that debits or credits any of the electronic meters. Any wagering credits on the terminal that were accrued during the test, diagnostic, or demonstration mode shall be cleared before the mode is exited. Specific meters are permissible for these types of modes, provided the meters are clearly identified.

9. Terminals shall not allow any information contained in a communication to or from the online monitoring system that is intended to be protected, including validation information, secure personal identification numbers, credentials, or secure seeds and keys, to be viewable through any display mechanism supported by the terminal.

F. Program storage devices shall be required to comply with the following.

1. All program storage devices shall:
  - a. be housed within a fully enclosed and locked logic compartment;
  - b. validate themselves during each processor reset; and
  - c. validate themselves the first time they are used.

2. Program storage devices that do not have the ability to be modified while installed in the terminal during normal operation shall be clearly marked with information to identify the software and revision level of the information stored in the devices.

3. Server-stored information shall be backed up no less often than once per day to an offsite storage facility. Offsite storage may include storage through a cloud service provider if approved by the commission. The server and offsite backup storage shall be accessible to the commission and subject to third-party checks and validation.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13125. Terminal Operational/Software Requirements**

A. Terminals shall have the ability to allow for an independent integrity check of all software that may affect the integrity of the wagering configurations available to the terminal. The integrity check shall be by an independent testing laboratory approved by the commission.

B. If a winning amount is in excess of the thresholds established in the Internal Revenue Service reporting requirements, the terminal shall cease operation and require attendant interaction to proceed.

C. Terminals shall be capable of detecting and displaying the following errors:

1. open door conditions;
2. nonvolatile memory errors;
3. low nonvolatile memory battery for batteries external to the nonvolatile memory itself for low power source;
4. program error or authentication mismatch;
5. display device errors;
6. the identification of an invalid bill or voucher; and
7. loss of communication to the tote system.

D. To protect the integrity of the wagering configuration, when a terminal error condition is detected, the terminal shall secure itself by:

1. ceasing play and requiring operator intervention prior to returning to normal play;
2. displaying an appropriate error message;
3. disabling bill and voucher acceptance;
4. sounding an alarm, illuminating the tower light, displaying the error on screen, or any combination of the three;
5. communicating the error condition to an online monitoring and control system; and
6. if the terminal is powered down with an unresolved error condition, remaining in error mode unless power down is used as a part of the error reset procedure.

E. Upon resolution of an error condition, a terminal may return to a wager completion state, provided the wagering history, wagering credits, and other meters display the completed wager properly.

F. Terminals shall not be adversely affected by the simultaneous or sequential activation of various terminal inputs and outputs.

G. Test, diagnostic, or demonstration modes on a terminal shall:

1. be entered only from an attendant following appropriate instructions;
2. not be accessible to a patron;
3. be indicated on the terminal via an appropriate message; and
4. upon exiting from test, diagnostic, or demonstration mode, a terminal shall return to its previous state.

H. Available wagering credit may be collected from the terminal by the patron at any time other than during:

1. a bet being wagered;
2. audit mode;
3. test mode;
4. a credit meter or win meter increment; or
5. an error condition

I. Terminals shall be capable of displaying wager recall, which shall:

1. include the last 10 wagers on the terminal, including at least 50 intermediary steps within those wagers, including free spins and bonuses;

2. be retrievable on the terminal via an external key-switch or other secure method not available to the patron; and

3. provide all information required to fully reconstruct the wagers, including:

- a. initial credits or ending credits associated with the wager;

- b. credits wagered;

- c. credits won;

- d. entertaining display symbol combinations and credits paid whether the outcome resulted in a win or a loss;

- e. representation in a graphical or text format;

- f. final wager outcome, including all patron choices and all bonus features; and

- g. as an optional feature, display of values as currency in place of wagering credits.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### §13127. Requirements for Tickets or Vouchers used in Historical Horse Racing

A. Terminals shall not dispense currency. Payment to patrons shall only be accomplished by means of a printed voucher.

B. All vouchers shall contain the following printed information at a minimum:

1. licensee name and site identifier, which may be contained on the ticket stock itself;

2. terminal number or cashier booth location;

3. date and time stated according to the local time zone;

4. alpha and numeric dollar amount;

5. ticket or voucher sequence number;

6. validation number;

7. bar code or any machine-readable code representing the validation number;

8. type of transaction or other method of differentiating voucher types. If the voucher is a noncashable item, the ticket shall explicitly express that it has "no cash value"; and

9. the expiration period from date of issue, or date and time the ticket or voucher will expire according to the local time zone. This information may be contained on the ticket stock itself. Payment on valid pari-mutuel tickets, including tickets where refunds are ordered, shall be made only upon presentation and surrender of valid pari-mutuel tickets to the licensee within 180 days after the purchase of the ticket. Failure to present any valid pari-mutuel ticket to the licensee within 180 days after the purchase of the ticket shall constitute a waiver of the right to payment.

C. A system approved by the commission shall be used to validate the payout ticket or voucher. The ticket or voucher information on the central system shall be retained for two calendar years after a voucher is valid at that location.

D. Payment by voucher as a method of credit redemption shall only be permissible when the terminal is linked to a computerized voucher validation system that is approved by the commission.

E. The validation system must be able to identify a duplicate ticket or voucher to prevent fraud.

F. Terminals must meet the following minimum requirements to incorporate the ability to issue offline vouchers after a loss of communication has been identified by a wagering terminal.

1. The wagering terminal shall not issue more offline vouchers than it has the ability to retain and display in the wagering terminal maintained voucher-out log.

2. The wagering terminal shall not request validation numbers used in the issuance of vouchers until all outstanding offline voucher information has been fully communicated to the voucher validation system.

3. The wagering terminal shall request a new set of validation numbers used in the issuance of online or offline vouchers if the current list of validation numbers has the possibility of being compromised, which shall include:

- a. after power has been recycled; or
- b. upon exit of a main door condition.

4. Validation numbers must always be masked when viewable through any display supported by the wagering terminal such that only the last four digits of the validation number are visible.

G. Vouchers may be inserted in any terminal participating in the validation system providing that no credits are issued to the terminal prior to confirmation of voucher validity.

H. The offline voucher redemption may be validated as an internal control process. A manual handpay may be conducted for the offline voucher value.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13129. Terminal Peripheral Device Requirements**

A. Video monitor touch screens on terminals shall:

1. be accurate to manufacturer specifications for touch point sensitivity;
2. be able to be calibrated without access to the terminal cabinet other than opening the main door, and once calibrated shall maintain accuracy for at least the video touch screen manufacturer's recommended maintenance period; and

3. have no hidden or undocumented buttons or touch points anywhere on the screen that affect wagering or that impact the outcome of the bet, except as provided by the wagering configuration rules.

B. Paper currency acceptors used in a terminal shall:

1. be electronically based;

2. detect the entry of bills or vouchers inserted into the paper currency acceptor and provide a method to enable the terminal software to interpret and act appropriately upon a valid or invalid input;

3. be configured to ensure the acceptance of only valid bills or vouchers and reject all other items;

4. return to the patron all rejected bills or vouchers, and any other item inserted into the acceptor;

5. be constructed in a manner that protects against vandalism, abuse, or fraudulent activity;

6. register the actual monetary value or appropriate number of wagering credits received for the denomination used on the patron's credit meter for each valid bill or voucher;

7. register wagering credits only when the bill or other note has passed the point where it is accepted or stacked and the acceptor has sent an "irrevocably stacked" message to the terminal;

8. be designed to prevent the use of fraudulent crediting, the insertion of foreign objects, and any other fraudulent technique;

9. implement a method of detecting counterfeit bills;

10. only accept bills or vouchers when the terminal is enabled for play;

11. have the capability of detecting and displaying any supported error conditions;

12. shall communicate with the terminal using a bi-directional protocol;

13. be located in a locked area of the terminal that requires the opening of the main door for access. The paper currency acceptor shall not be located in the logic area. Only the bill or voucher insertion area shall be accessible by the patron;

14. have a secure stacker that shall:

a. deposit into the stacker all accepted items;

b. be attached to the terminal in such a manner that it cannot be easily removed by physical force; and

c. have a separate keyed lock to access the stacker area. The keyed lock shall be separate from the main door, and a separate keyed lock shall be required to remove the bills from the stacker; and

15. have a bill validator that shall:

a. retain in its memory and have the ability to display the information required of the last 25 items accepted by the bill validator;

b. have a recall log that may be combined or maintained separately by item type. If combined, the

type of item accepted shall be recorded with the respective timestamp; and

c. give proper credit or return the bill or note if power failure occurs during acceptance of a bill or note.

C. Each terminal shall be equipped with a printer that:

1. is used to make payments to the patron by issuing a printed voucher. The terminal shall transmit the following data to an online system that records the following information regarding each payout ticket or voucher printed:

a. the value of credits in local monetary units in numerical form;

b. the time of day the ticket or voucher was printed, showing hours and minutes;

c. the date, in format approved by the commission, indicating the day, month, and year that the ticket or voucher was issued;

d. the terminal number; and

e. a unique ticket or voucher validation number.

2. prints only one copy to the patron and retains information on the last 25 printed vouchers;

3. is housed in a locked area of the terminal but shall not be located within the logic area or the drop box; and

4. allows control program software to interpret and act upon all error conditions.

D. With appropriate security in place, historical horse racing wagering accounts may be funded directly from mobile devices and through various advance-deposit account funding mechanisms, whether it be through credit card, bank, or attendant or kiosk at association locations.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13131. Location of Terminals Used for Wagering on Historical Horse Races**

A. Terminals offering wagering on historical horse races shall be located within designated areas which have the prior written approval of the commission. Designated areas shall be established in such a way as to control access by the general public and prevent entry by any patron who is under 18 years of age or is otherwise not permitted to place wagers.

B. Each association shall monitor persons entering and leaving the designated areas and shall prevent access to any patron who is under 18 years of age or is otherwise not permitted to place wagers on historical horse races.

C. Each association shall provide terminals that are accessible to handicapped patrons.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13133. Records to be Maintained**

A. Each association shall maintain complete records of all pari-mutuel wagering transactions on historical horse races, including the amounts wagered at each historical horse racing terminal.

B. A copy of the wagering records shall be retained and safeguarded for a period of not less than 18 months and shall not be destroyed without the prior written permission of the commission.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13135. Accounting and Occurrence Meter Requirements**

A. The required accounting meters and related reporting as follows using the same or similar terminology:

1. coin in, which accumulates the total value of all wagers, whether the wagered amount results from the insertion of bills or vouchers or deduction from a credit meter;

2. coin out, which accumulates the total value of all amounts directly paid by the terminal as a result of winning wagers, whether the payback is made to a credit meter or any other means;

3. attendant paid jackpot, which accumulates the total value of credits paid by an attendant resulting from a single wager, in excess of thresholds established by the Internal Revenue Service reporting requirements, the amount of which results in Internal Revenue Service or applicable agency reporting;

4. attendant paid canceled credit, which accumulates the total value paid by an attendant resulting from a patron-initiated cashout or non-taxable winning wager that exceeds the physical or



configured capability of the terminal to make the proper payout amount;

5. bill in, which accumulates the total value of currency accepted. Each wagering terminal shall have a specific occurrence meter for each denomination of currency accepted that records the number of bills accepted of each denomination;

6. voucher in, which accumulates the total value of all wagering terminal vouchers accepted by the device;

7. voucher out, which accumulates the total value of all wagering terminal vouchers issued by the device;

8. noncashable electronic promotion in, which accumulates the total value of noncashable credits from vouchers accepted by the terminal;

9. cashable electronic promotion in, which accumulates the total value of cashable credits from vouchers accepted by the terminal;

10. noncashable electronic promotion out, which accumulates the total value of noncashable credits issued to vouchers by the device; and

11. cashable electronic promotion out, which accumulates the total value of cashable credits issued to vouchers by the device.

B. Additional required occurrence meters are as follows:

1. cashable promotional credit wagered, which accumulates the total value of promotional cashable credits that are wagered;

2. plays wagered, which accumulates the number of wagers placed; and

3. plays won, which accumulates the number of wagers resulting in a win to the patron.

C. Electronic accounting meters shall maintain and calculate data to at least 10 digits in length.

D. Electronic accounting meters shall be maintained in credit units equal to the denomination or in dollars and cents.

E. If the electronic accounting meter is maintained in dollars and cents, eight digits must be used for the dollar amount and two digits must be used for the cents amount.

F. Devices configured for multi-denomination wagering shall display the units in dollars and cents at all times.

G. Any time the meter exceeds a value it is not capable of exceeding, the meter must roll over to zero.

H. Occurrence meters shall be at least eight digits in length but are not required to automatically roll over.

I. Meters shall be identified so that they can be clearly understood in accordance with their function.

J. Meters can be on the server instead of the terminal.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13137. Required Reports for Wagering on Historical Horse Races; Audit and Inspection by the Commission**

A. All systems used for pari-mutuel wagering on historical horse races shall provide financial reports for individual approved wager model configurations and total pool amounts for each pool. Reports shall be available at the end of the wagering day or upon request by the commission with information current since the end of the last wagering day. The reports shall include:

1. current values of each pari-mutuel wagering pool;

2. total amounts wagered for all pools;

3. total amounts won by patrons for all pools;

4. total commission withheld for all pools;

5. total breakage for all pools, where applicable;

6. total amount wagered at each terminal;

7. total amount won by patrons at a terminal;

8. the amount wagered on each mathematical model configuration and the amount won from each mathematical model configuration offered at a terminal;

9. total amount of each type of financial instrument inserted into a terminal;

10. total amount cashed out in voucher or handpays at a terminal; and

11. taxable win events including:

a. time and date of win;

b. wagering terminal identification number;

c. amount wagered resulting in taxable win;

and

d. taxable amount won.

B. As provided in §13118, the commission or its authorized representatives may, at any time, conduct an audit or inspection of the financial reports, software, terminals, or other equipment used by a licensee in conducting operations under this Chapter.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### §13139. Equipment and Laboratory Testing

A. Each association shall provide for a nationally recognized, independent testing laboratory approved by the commission to submit to the commission a general functional evaluation laboratory report regarding the hardware and software installed on each historical horse racing terminal and the software on each historical horse racing app indicating whether same is in compliance with applicable law and regulations.

B. Any alterations, modifications, or updates to the software or hardware on any historical horse racing terminal or the software on any historical horse racing app shall require the vendor to submit to the commission a new laboratory report as required under Subsection A of this Section before the wagering configuration may be used for play at an establishment.

C. If there is a complete breakdown of a terminal offering wagering on historical horse racing, the association offering the wager shall make a full refund of the patron's balance on the terminal at the time of the breakdown.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### §13141. Minimum Wagers and Payouts

A. The minimum wager to be accepted by an association on a wager based on the outcome of a historical horse race or races shall be \$0.10. The minimum payout on any wager shall not be less than the amount wagered.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### §13143. Odds and Payouts Posted

A. For wagering on historical horse races, approximate odds or payouts for each pari-mutuel pool shall be posted or made available on each terminal for viewing by patrons.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### §13145. Betting Explanation

A. Each association shall post, in conspicuous places in the designated area, a general explanation of pari-mutuel wagering offered on historical horse races and an explanation of each pari-mutuel pool offered. The explanation shall be submitted to the commission for approval prior to its posting.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### §13147. Wagering Terminal Historical Horse Race Display

A. All wagering terminals shall have video displays that clearly identify the entertaining theme, if any, being used to offer pari-mutuel wagering on historical horse racing. The video display shall make available the rules of the historical horse racing wager and the award that will be paid to the patron when the patron obtains a specific win.

B. All payable information, rules of play, and help screen information shall be available to a patron prior to placing a wager.

C. All wagering terminals shall have video displays that make available to the patron the rules of any features or interactive functions that may occur on the patron interface as part of the entertaining display of the wager and its outcome. The video displays shall:

1. clearly identify the entertaining theme, if any, being used to offer pari-mutuel wagering on historical horse racing;
2. make the following information available to the patron:
  - a. all payable information, rules of play, and help screen information;
  - b. the award that will be paid to the patron when the patron obtains a specific win; and
  - c. the rules of any features or interactive functions that may occur as part of the entertaining display of the wager and its outcome;
3. provide the race data in a reasonable manner as to not discourage patrons who wish to handicap from doing so; and
4. allows the patron to compare their picks against the true order of finish.

D. The video display shall clearly indicate whether awards are designated in credits or currency.

E. All wagering terminals shall display the following information to the patron at all times the wagering terminal is available for patron wager input:

1. the patron's current credit balance in currency or credits;
2. the current bet amount;
3. the amount won for the last completed wager until the next wager starts or betting options are modified;
4. the patron's options selected for the last completed wager until the next wager starts or a new selection is made; and

5. a disclaimer stating "Malfunction Voids All Pays" or some equivalent wording approved by the commission. This may be presented as a permanent sign on the terminal.

F. Entertaining features that simulate bonus or free plays shall meet the following requirements:

1. the initiation of a bonus or free play shall only be based on the result of the wager placed by the patron on the result of the historical horse race selected for the wager;
2. the bonus or free play shall not require additional money to be wagered by the patron;
3. the entertaining display shall make it clear to the patron that the patron is in bonus mode to avoid the possibility of the patron unknowingly leaving the wagering terminal while in a bonus mode; and
4. if the bonus or free play requires an input from the patron, the terminal shall provide a means to complete the bonus or free play from a touch screen or hard button.

G. Electronic metering displays shall:

1. at all times include all credits or cash available for the patron to wager or cash out unless the terminal is in an error or malfunction state. This information is not required when the patron is viewing a menu or help screen item;
2. reflect the value of every prize at the end of a wager and add it to the patron's credit meter, except for handpays; and
3. show the cash value collected by the patron upon a cashout unless the terminal is in an error or malfunction state. The production of a voucher containing this information shall be sufficient.

H. A wager is complete when the final transfer to the patron's credit meter takes place or when all credits wagered are lost.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13149. Access by Commission and Agents of the Commission**

A. Each association shall allow the commission and the agents of the commission unrestricted access to inspect the entire premises wherein historical horse racing is being conducted at any time to ensure that the Rules of Racing are being followed, this shall include the unrestricted access to inspect and test any mechanical, electrical, or electronic devices thereon being utilized or capable of being utilized by the association for historical horse racing.

B. Subject to the authority of the executive director, the commission may at any time enter into memoranda of understanding with other racing jurisdictions to share historical horse racing investigatory findings, documents, and materials.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

### **§13151. Required Audits and Inspections**

A. Terminals shall have the ability to allow for an independent integrity check of all software that may affect the integrity of the wagering system. The integrity check shall be performed by an independent testing laboratory approved by the commission.

B. The independent testing laboratory's software may be embedded within the wagering software, utilize an interface port to communicate with the terminal, or require the removal of terminal media for external verification.

C. Each terminal used for wagering on historical horse races shall be tested by the independent testing laboratory to ensure its integrity and proper working order. This evaluation shall include a review of installed software prior to implementation and periodically within a timeframe established by the commission.

D. The licensee shall pay the cost of the independent testing laboratory's review and testing, and the reports of the same shall be delivered to the licensee and the commission.

E. To ensure the integrity of pari-mutuel wagering and validity of the race results, the licensee shall permit an integrity auditor, selected and paid for by the commission, complete access to review and monitor the integrity, security, and operation, including all race and handicapping data used in order to detect any compromise of or anomalies that would allow a player to have an unfair advantage.

F. The integrity auditor shall be in a position to extract actual data and use a statistically significant portion of this data applied to quality assurance testing and assess the validity of the vendor's management reporting by cross-referencing to a body of raw source information to determine correctness. The integrity auditor shall have experience and expertise involving all components of pari-mutuel wagering and totalizator systems.

G. The integrity auditor will collect and provide wagering data and reports from the licensee's vendor. This shall include pari-mutuel commission and liability reports for analysis and verification of the amounts wagered, payouts, takeout, and taxes in addition to all transactional data logs and reports daily as specified by the integrity auditor.

H. The licensee shall provide access to the integrity auditor to conduct periodic onsite inspections and terminal audits at licensed racetracks and satellite wagering facilities with assistance from the vendor. The licensee shall notify of and any adverse or unusual occurrences relating to the operation of play or payouts to the integrity auditor.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:141, R.S. 4:142 and R.S. 4:148.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission, LR 48:1811 (July 2022).

## **Title 46**

### **PROFESSIONAL AND OCCUPATIONAL STANDARDS**

#### **Part XLI. Horseracing Occupations**

##### **Chapter 3. Trainer**

#### **§321. Horses Suspended Concurrent with Trainer**

A. All horses in the charge of a trainer at the time of a violation and also during the pendency of violation proceedings and appeals, where the trainer's license has been revoked or suspended for six months or more, shall not be permitted to race during the period of such trainer's suspension. Upon application by the owners of such suspended horses, the stewards may approve the bona fide transfer of such horses to the care of another registered trainer, and upon such approved transfer, such horses may be entered to race, unless said horse is on the stewards' list for a positive test until the horse is removed from the stewards' list.

B. The trainer whose license has been revoked or suspended for six months or more must remove all signage and relinquish all assigned stalls to the track, and horses may not be transferred to any relative of the suspended trainer, current employee of the suspended trainer, or person employed by the suspended trainer within a year prior to the trainer's suspension. For purposes of this Section, the term relative shall be deemed to be any past or present spouses, children, past or present spouses of children, siblings, past or present spouses of siblings, children of siblings, half-siblings, past or present spouses of half-siblings, children of siblings, parents, past or present spouses of parents, grandparents, past or present spouses of grandparents, grandchildren, and past or present spouses of grandchildren.

**AUTHORITY NOTE:** Promulgated in accordance with R.S. 4:141, R.S. 4:142, and R.S. 4:148.

**HISTORICAL NOTE:** Promulgated by the Office of the Governor, Division of Administration, Racing Commission LR 48:2291 (September 2022).

**Chapter 7. Jockeys and Apprentice Jockeys**

**§725. Jockey Fee Schedule**

A. Prior to the start of each race conducted by an association licensed by the commission, sufficient money shall be on deposit with the horsemen's bookkeeper in an amount equal to pay the losing mount fee of a jockey for that race. In the absence of a special agreement, the fee of a jockey shall be as follows.

Purse	Win	Second	Third	Unplaced
\$499 and under	\$27	\$19	\$17	\$16
500-599	30	20	17	16
600-699	36	22	17	16
700-999	10%	25	22	20
1,000-1,499	10%	30	25	22
1,500-1,999	10%	35	30	28
2,000-3,499	10%	45	35	33
3,500-4,999	10%	70	60	55
5,000-9,999	10%	80	70	65
10,000-14,999	10%	5%	75	70
15,000-24,999	10%	5%	5%	75
25,000-49,999	10%	5%	5%	80
50,000-99,999	10%	5%	5%	95
100,000 and up	10%	5%	5%	120

B. Failure, refusal and/or neglect of a trainer to timely deposit or have deposited the aforesaid jockey fee for a horse entered to race, on or before the time specified herein, shall be a violation of this Section. Each such violation shall be punishable by a fine of not less than \$200 and the failure to pay such fine within 48 hours of imposition thereof shall be grounds for suspension. Additionally, an amount equal to the jockey fee actually earned by the jockey in accordance with the aforesaid schedule shall be paid to the jockey earning same within 48 hours of the imposition of the aforesaid fine, and failure to pay said jockey fee within the time specified herein shall be an additional grounds for suspension.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148, R.S. 4:150 and R.S. 4:151.

HISTORICAL NOTE: Adopted by the Racing Commission in 1971, promulgated by the Department of Commerce, Racing Commission, LR 2:431 (December 1976), amended LR 3:28 (January 1977), LR 4:276 (August 1978), LR 5:23 (February 1979), LR 12:12 (January 1986), amended by the Department of Economic Development, Racing Commission, LR 16:112 (February 1990), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 35:2756 (December 2009), LR 44:915 (May 2018).

**§742. Jockey Apparel Advertising**

A. A jockey shall not wear advertising or promotional material of any kind on clothing during a race, unless the following criteria are met:

1. a maximum of 32 square inches on each thigh of the pants on the outer side between the hip and knee and 10 square inches on the rear of the pant at the waistline at the base of the spine;
2. a maximum of 24 square inches on boots and leggings on the outside of each nearest the top of the boot;
3. a maximum of six square inches on the front center of the neck area (on a turtleneck or other undergarment);
4. such advertising or promotional material does not compete with, conflict with, or infringe upon any current sponsorship agreement to the racing association race or race meet.

B. The stewards, at their discretion, may disallow any advertising that is not in compliance with this Rule, any other rules of racing, or any advertising they deem to be inappropriate, indecent, in poor taste, or controversial.

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148, R.S. 4:150 and R.S. 4:151.

HISTORICAL NOTE: Promulgated by the Office of the Governor, Division of Administration, Racing Commission LR 42:744 (May 2016).

**Chapter 19. Training Tracks**

**§1903. License Information**

A. – B.5. ...

6. name of liability insurer, policy number, name of insureds, certificate of insurance in an amount not less than \$1,000,000, and proof that the Louisiana State Racing Commission is listed as a notified party on the insurance policy and certificate in such a manner that the Louisiana State Racing Commission receives notice of all renewals and any lapses in coverage;

7. ...

AUTHORITY NOTE: Promulgated in accordance with R.S. 4:148.  
 HISTORICAL NOTE: Promulgated by the Department of Commerce, Racing Commission, LR 4:289 (August 1978), amended by the Office of the Governor, Division of Administration, Racing Commission, LR 38:1018 (April 2012), LR 43:316 (February 2017)

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**END**