

STAFF ANALYSIS
DISCUSSION AND ACTION BY THE BOARD REGARDING THE PROPOSED
AMENDMENT OF CHRB RULE 1497, CONFIDENTIALITY OF APPLICATIONS, AND
RULE 1548, RULINGS BY THE STEWARDS

Board Meeting
April 17, 2025

ISSUE:

California Horse Racing Board (Board) Rule 1497, Confidentiality of Applications, and Board Rule 1548, Rulings by the Stewards, do not align with current Board practices regarding the confidentiality of information contained on an application or in rulings or orders issued by stewards. Therefore, the Board seeks to amend Board Rules 1497 and 1548 to align with current practices and comply with the Information Practices Act.

BACKGROUND:

These proposed rule amendments were previously considered and approved by the Board at its August 15, 2024, meeting. The originally proposed text was noticed to the public on October 25, 2024, and the 45-day public comment period ended on December 9, 2024. No comments were received during the comment period, and no public hearing was requested. The final rulemaking package was submitted to the Office of Administrative Law (OAL) on December 23, 2024. On January 30, 2025, OAL informed the Board of clarity issues that required revision to the regulatory text. The proposed text to amend Board Rule 1497 has been modified to address these issues, and the previously proposed numbering of subsections has been revised to provide for consistency with regulatory convention. No changes have been made to the previously proposed amendments to Board Rule 1548, but as part of the same regulatory package, they are included below.

ANALYSIS:

The proposed amendments to CHRB Rule 1497 would not make any substantive changes to the confidentiality of applications. Although personal addresses and personal phone numbers are currently called out in rule as confidential, under the proposed amendments, they would fall under subsection (a)(4), whereby they are marked on the license application as confidential. This change would better allow the CHRB to distinguish confidential personal addresses from public business addresses (both requested on a license application) and ensure that the regulation and license application align in that regard. Accordingly, the Application for License, CHRB-4 (Rev. 08/24), would be incorporated by reference into the rule and replace the various existing license applications to provide for consistency and uniformity.

There are no additional proposed changes to Board Rule 1548. The amendments would eliminate the requirement that the stewards list a licensee's social security number on a

ruling. Proposed amendments would also update the verbiage that rulings must list the rule or regulation violated rather than “state the offense charged.” These changes would provide for consistency with Board practices.

The proposed amendment requires Board approval, and the modified regulatory text must, thereafter, be made available for public comment for a period of 15 days. A copy of the full text of the regulation with the proposed changes indicated is attached. Additions to the originally proposed text appear in double underline, while deletions are shown in ~~double strikethrough~~.

RECOMMENDATION:

This item is presented for Board discussion and action.

CALIFORNIA CODE OF REGULATIONS
TITLE 4. BUSINESS REGULATIONS
DIVISION 4. CALIFORNIA HORSE RACING BOARD
ARTICLE 4. OCCUPATIONAL LICENSES
PROPOSED AMENDMENT OF RULE 1497, CONFIDENTIALITY OF APPLICATIONS

~~(a) Except as set forth in Subsection (b) of this rule, all information contained on an application for license filed with the Board and all subsidiary information required by the Board in conjunction with such application, may be disclosed to the public.~~

(a) No information contained in an the application for license Application for License, CHRB-4 (Rev. 08/24), which is hereby incorporated by reference filed with the Board, or subsidiary information required in conjunction with such said application, shall be considered confidential unless:

~~(b) The following information when contained on an application for license, or when required by the Board as subsidiary information in conjunction with such application, is confidential and shall not be disclosed to the public except in compliance with an order of the Board or any legal order of any court or other agency having jurisdiction of the enforcement of any state or federal laws.~~

~~(1) Personal addresses, personal residences and personal telephone numbers.~~

~~(2a1) The information includes Personal personal identification numbers such as social security numbers, federal identification numbers, driver's license numbers, and bank account numbers.;~~

~~(3b2) The information includes Statements statements of personal worth and personal financial data used to establish the applicant's personal qualifications for license.;~~

~~(4c3) The information relates to Information regarding minor children.;~~ or

~~(d4) The information in the application has been designated by the Board on the Application for License, CHRB-4 (Rev. 08/24), as confidential.~~

Authority: Sections 19440 and 19460,
Business and Professions Code.

Reference: Sections 19435, 19440, 19460 and 19466,
Business and Professions Code.

CALIFORNIA CODE OF REGULATIONS
TITLE 4. BUSINESS REGULATIONS
DIVISION 4. CALIFORNIA HORSE RACING BOARD
ARTICLE 5. RACING OFFICIALS
PROPOSED AMENDMENT OF RULE 1548, RULINGS BY THE STEWARDS

(a) Any ruling or order issued by the stewards shall specify:

(1) the full name of the licensee or person subject to the ruling or order;

(2) ~~his~~the date of birth of the licensee or person subject to the ruling or order and social security number, if known;

(3) ~~a statement of the offense charged including any rule number~~the rule or regulation violated; and

(4) the penalty imposed.

(b) Any person affected by any ruling or order shall be notified.

Authority: Sections 19420 and 19440,
Business and Professions Code.

Reference: Sections 19420 and 19440,
Business and Professions Code.

SECTION C: Trainer's License Applicants Only

1. Do you hold any license issued by the California Horse Racing Board, other than that of a Trainer? YES NO
If yes, provide type(s) of license and the license(s) number: _____
2. Do you hold, or have you ever held, a license as a Trainer in any other State? YES NO
If yes, list State(s): _____
3. Do you conduct business as a "Public Trainer"? YES NO
4. Do you have a current workers' compensation insurance policy? YES NO
Carrier Name: _____ Policy Number: _____ Expiration: _____
5. Do you have, or have you ever had, any racing-related financial obligations past due or unpaid more than 90 days? YES NO
Racing-related obligations include, but are not limited to, veterinary services, feed bills, jockey mount fees, nomination and entry fees, racing employee wages, etc.
6. Do you meet the qualifications required outlined in CHR-1503 and/or the continuing education requirements outlined in CHR-1503.5? YES NO

SECTION D: Stable Name Applicants Only

1. The name to be registered for racing operations of the stable is: _____
Address: _____ Phone: _____ Tax ID# (EIN): _____
 2. The individual responsible for the conduct of this stable is: _____ CHR-1503 License #: _____
 3. The stable business is organized as: Sole Proprietorship General Partnership Limited Partnership Limited Liability Company Corporation
 4. Have you registered this Stable Name with any other State Racing Commission? YES NO
If yes, list State(s): _____
 5. Have you filed and registered your Stable Name as a Fictitious Business Name (FBN), if required by state law? N/A YES NO
 6. Do you intend to register an Authorized Agent to withdraw monies from your horsemen's account? (For Authorized Agent, CHR-10 is required) YES NO
 7. List the name(s), address and ownership percentage for ALL individuals who have a financial interest in this Stable:
(Attach additional pages or a separate listing if necessary)
- | % | Name | CHR-1503 License # |
|---|------|--------------------|
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SECTION E: Owner's License Applicants Only

1. I intend to race as a(n): Individual General Partner Other _____
2. Do you intend to use a Stable Name? List Stable Name: _____ YES NO
3. Do you have, or have you ever had, any racing-related financial obligations past due or unpaid more than 90 days? YES NO
Racing-related obligations include, but are not limited to, veterinary services, feed bills, jockey mount fees, nomination and entry fees, racing employee wages, amounts owed to a trainer, and workers' compensation insurance premiums (including reimbursements of those premiums that are billed to you by your trainer).
4. Do you intend to register an Authorized Agent to withdraw monies from your horsemen's account? YES NO
If yes, list the name of your Authorized Agent _____ (For Authorized Agent, CHR-10 is required)
5. List the name of the licensed Trainer caring for your horse(s). _____ CHR-1503 License #: _____
Note: An owner's license may not be issued unless the owner satisfies the workers' compensation insurance requirements of Business and Professions Code Section 19440 and CHR-1501. An owner can satisfy these requirements by making appropriate arrangements (including payment arrangements) with their trainer. If an owner fails to make appropriate arrangements with their trainer, then that owner must obtain his or her own workers' compensation insurance coverage.
6. Do you intend to: utilize a "Public Trainer" (choose A or B below) or operate as a "Private Stable" (choose B below)
Workers' compensation requirements of Business and Professions Code Section 19440 and CHR-1501 are met by: (choose one)
A: My Public Trainer's workers' compensation insurance policy.
B: My own policy: Carrier Name: _____ Policy Number: _____ Expiration: _____
7. For all horses you intend to race, list the name(s) of the horses and your ownership interest. (Attach additional pages or a separate listing if necessary)
A: _____ % B: _____ %
8. List the name(s) of ALL "persons" who have a joint financial interest in the ownership of any listed horses.
Note the corresponding letter from #7, name of other owner, and their ownership percentage. ("Person" includes any real person or business entity)
_____: _____ % _____: _____ %
_____: _____ % _____: _____ %

I hereby make application for a license to be issued in accordance with the terms and provisions of the Rules and Regulations of the California Horse Racing Board. I acknowledge that by providing my electronic signature for this application, I agree to conduct business transactions by electronic means and that my electronic signature is the legal binding equivalent to my handwritten signature. I hereby confirm that my electronic signature represents my execution or authentication of this application, and my intent to be bound by it. I certify under penalty of perjury that the statements and answers I have made on this application are true and correct.

Applicant Signature _____

Date of Application _____