

CALIFORNIA CODE OF REGULATIONS
TITLE 4. BUSINESS REGULATIONS
DIVISION 4. CALIFORNIA HORSE RACING BOARD
ARTICLE 3. RACING ASSOCIATION
PROPOSED AMENDMENT OF BOARD RULE 1433,
APPLICATION FOR LICENSE TO CONDUCT A HORSE RACING MEETING

1433. Application for License to Conduct a Horse Racing Meeting.

(a) Unless the Board requires an earlier filing, at least 90 days before the time allocated by the Board for a race meeting to start, the association shall file with the Board an Application for License to Conduct a Horse Racing Meeting, CHRB-17 (Rev. ~~7/21/23~~7/24/23), which is hereby incorporated by reference. Note: CHRB-17 incorporates by reference, the Personal History Record, CHRB-25A (Rev. ~~11/08/23~~11/08/23). A California fair shall file with the Board an Application for License to Conduct a Horse Racing Meeting of a California Fair, CHRB-18 (Rev. ~~7/21/23~~7/24/23), which is hereby incorporated by reference. Copies of CHRB-17 and CHRB-18 may be obtained at the California Horse Racing Board headquarters office.

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

Reference: Sections 19480, 19481, 19481.3 and 19562,
Business and Professions Code.

STATE OF CALIFORNIA
CALIFORNIA HORSE RACING BOARD
APPLICATION FOR LICENSE TO CONDUCT A HORSE RACING MEETING
CHRB-17 (Rev ~~7/21~~3/23)

Application is hereby made to the California Horse Racing Board (CHRB) for a license to conduct a horse racing meeting in accordance with the California Business and Professions Code, Chapter 4, Division 8, Horse Racing Law, and the California Code of Regulations, Title 4, Division 4, CHRB Rules and Regulations.

1. APPLICANT ASSOCIATION

- A. Name, mailing address, telephone, fax numbers, and the email address for association's contact person:
- B. Breed of horse: Thoroughbred ☐ Quarter Horse ☐ Harness ☐
- C. Racetrack name:
- D. Attach a certified check payable to the Treasurer of the State of California in the amount of \$10,000 as deposit for license fees pursuant to Business and Professions Code section 19490.
- E. Was the association licensed to operate a race meeting prior to January 1, 2001?
Yes ☐ No ☐
If no, attach a surety bond in the amount of one hundred thousand dollars.

NOTICE TO APPLICANT: No application for a license to conduct a race meeting shall be granted unless the applicant has deposited with the Board a surety bond in the amount of one hundred thousand dollars (\$100,000), or a greater amount, as determined by the Board, that is sufficient to ensure payment of employee wages and benefits, including, but not limited to, health, welfare, and pension plans. The surety bond shall be maintained during the period of the meeting and for an additional period, as determined by the Board, sufficient to assure that all payments are made. This subdivision does not apply to any person or association licensed to operate a horse race meeting prior to January 1, 2001, that has conducted a race meeting in each of the immediate three previous consecutive calendar years. The \$100,000 surety bond amount may be increased to an amount determined by the Board at the time the application is scheduled for hearing, pursuant to Business and Professions Code section 19464(b).

NOTICE TO APPLICANT: Application must be filed not later than ninety (90) days before the scheduled start date for the proposed meeting, pursuant to CHRB Rule 1433.

2. DATES OF RACE MEETING

- A. Inclusive dates allocated for the entire meeting:

- B. Actual dates racing will be held:
- C. Total number of days or nights of racing:
- D. Days or nights of the week races will be held:
Wednesday – Sunday ☐ Tuesday – Saturday ☐ Other (specify) ☐
- E. Number of days or nights of racing per week:

3. RACING PROGRAM

- A. Total number of races:
- B. Number of races for each day or night:
- C. Total number of stakes races:
- D. Attach a listing of all stakes races and indicate the date to be run and the added money or guaranteed purse for each. Note the races that are designated for California-bred horses.
 - 1. Attach a listing of all stakes races for the past two race meetings. The information provided must be for the same timeframe in which the association is applying. Include the date the stakes races were run, and the added money or guaranteed purse for each. Note the races that were designated for California-bred horses.
 - 2. Identify the stakes races listed under item D. that have been altered, added, or are new for the current race meeting. Provide details regarding any alterations to the identified stakes races (e.g., changes in the age, sex, eligibility, purse, or substantial calendar changes).
 - 3. Identify the stakes races listed under item D.1. that have been dropped or deleted and the reasons the stakes were dropped or deleted.
- E. Will provisions be made for owners and trainers to use their own registered colors?
Yes ☐ No ☐
If no, which racing colors are to be used?
- F. List all post times for the daily racing program.

NOTICE TO APPLICANT: Every licensee conducting a horse racing meeting shall, each racing day, provide for the running of at least one race limited to California-bred horses, to be known as the "California-bred race," pursuant to CHRB Rule 1813. For Thoroughbred and Quarter Horse meetings, the total amount distributed for California-bred stakes races from the purse account, including overnight stakes, shall not be less than 10% of the total amount distributed for all stakes races, pursuant to Business and Professions Code section 19568(b).

4. RACING ASSOCIATION

- A. Association is a: ☐ Corporation (complete subsection C)
☐ LLC (complete subsection D)
☐ Other (specify, and complete subsection E)
- B. Complete the applicable subsection and attached Addendum, Background Information and Ownership.
- C. CORPORATION
1. Registered name of the corporation:
 2. State where incorporated:
 3. Registry or file number for the corporation:
 4. Names of all officers and directors, titles, and the number of shares of the corporation held by each:
 5. Names (true names) of all persons, other than the officers and directors listed above, that hold 5% or more of the outstanding shares in the corporation and the number of shares held by each:
 6. Number of outstanding shares in the corporation:
 7. Are the shares listed for public trading? Yes ☐ No ☐
If yes, on which exchange and how is the stock listed?
 8. Name of the custodian of the list of shareholders and/or the transfer agent for the share holdings of the corporation:
 9. If more than 50% of the shares are held by a parent corporation or are paired with any other corporation or entity, give the name of the parent and/or paired corporation or entity.
 - a. Is parent and/or paired corporation or entity a publicly traded or privately held company that guarantees the obligation of the applicant?
Yes ☐ No ☐
If no, proceed to section F. If yes, answer questions 10 through 17, below.
 10. Registered name of the corporation:
 11. State where incorporated:
 12. Registry or file number for the corporation:
 13. Names of all officers and directors, titles, and the number of shares of the corporation held by each:
 14. Names (true names) of all persons, other than the officers and directors listed above, that hold 5% or more of the outstanding shares in the corporation and the number of shares held by each:
 15. Number of outstanding shares in the corporation:
 16. Are the shares listed for public trading? Yes ☐ No ☐
If yes, on which exchange and how is the stock listed?

17. Name of the custodian of the list of shareholders and/or the transfer agent for the share holdings of the corporation:

D. LLC

1. Registered name of the LLC:
2. State where articles of organization are filed:
3. Registry or file number for the LLC:
4. Attach a list of the names of all members (including individuals (true names), corporations, other LLCs, and foreign entities), titles, and the number of shares of the LLC held by each.
5. Are the shares listed for public trading? Yes ☐ No ☐
If yes, on which exchange and how the stock is listed?
6. If more than 50% of the shares are held by a parent corporation or are paired with any other corporation or entity, give the name of the parent and/or paired corporation or entity.
 - a. Is parent and/or paired entity either a publicly traded or privately held company that guarantees the obligation of the applicant? Yes ☐ No ☐
If no, proceed to section F. If yes, answer questions 7 through 12, below.
7. Registered name of the LLC/Corporation:
8. State where articles of organization are filed:
9. Registry or file number for the LLC:
10. Attach a list of the names (true names) of all members (members may include individuals, corporations, other LLCs, and foreign entities), titles, and the number of shares of the LLC held by each.
11. Are the shares listed for public trading? Yes ☐ No ☐
12. If yes, on what exchange and how the stock is listed:

E. OTHER

1. Name(s) of partners/sole proprietor:
2. If a partnership, attach partnership agreement.

F. FINANCIAL INFORMATION *

1. Attach the most recent audited annual financial statement or financial report for the applicant. The financial statement or financial report shall include all relevant financial information specific to the applicant, including the following:
 - Statement of Financial Position (also referred to as a balance sheet). Statement should report on applicant's assets, liabilities, contingent liabilities, and ownership equity as of the date of the prepared statement.
 - Statement of Comprehensive Income (also referred to as Profit and Loss ("P&L") Statement). Statement should include report on applicant's income, expenses, and profits.
 - Profit and Loss statement for prior two (2) years' race meetings and Profit and Loss statement for projected year race meeting.

- Statement of Changes in Equity—to include the changes of the applicant's equity through the reporting period.
- Statement of Cash Flows—to include a report of the applicant's cash flow activity, particularly its operating, investing, and financing activities during the reporting period.
- Copy of a report made during the preceding twelve (12) months to shareholders in the corporation and/or the Securities and Exchange Commission and/or the California Corporations Commission.

***NOTICE TO APPLICANT:** The financial information provided pursuant to subsection (F) above is exempt from disclosure pursuant to Government Code section 6254(k) and non-disclosable to the public.

G. MANAGEMENT AND STAFF

1. Name and title of the managing officer and or/general manager of the association and the name and title of all department managers and staff, other than those listed in 13B, who will be listed in the official program:
2. Name and title of the person(s) authorized to receive notices on behalf of the association and the mailing and email address of such person(s):

5. TAKE OUT PERCENTAGE

- A. If this is a Thoroughbred race meeting, will the percentage deducted for any type of wager be adjusted pursuant to Business and Professions Code section 19601.01?

Yes ☐ No ☐

If no, proceed to subsection 6. If yes, identify the wager and the proposed takeout percentage.

Wager(s) to be adjusted:

Proposed percentage: %

1. Attach copy of written notice requesting the proposed takeout adjustment, the proposed percentage, and the wager(s) affected. The notice must include the written agreement of the Thoroughbred association and the horsemen's organization for the meeting of the Thoroughbred association accepting the wager.

NOTICE TO APPLICANT: Pursuant to Business and Professions Code section 19601.01, notwithstanding any other provision of law, a Thoroughbred association or fair, upon the filing of a written notice with, and approval by, the Board specifying the percentage to be deducted, may deduct from the total amount handled in the pari-mutuel pool for any type of wager an amount of not less than ten (10) percent nor more than twenty-five (25) percent. The written notice shall include the written agreement of the Thoroughbred association or fair and the horsemen's organization for the meeting of the Thoroughbred association or fair accepting the wager. The established percentage to be deducted shall remain in effect until the filing of a subsequent notice with, and approval by, the Board, unless otherwise specified in the notice.

6. HANDLE HISTORY

- A. Complete the table below, providing the last five (5) years of handle and attendance for your racing association. If your association has been operating for fewer than five years, provide information for the period of time it has been in operation. If the racing association has changed ownership, include the handle information for the previous racing association.

Year	Handle	Attendance

7. PURSE PROGRAM (excluding supplements, nominations, sponsorships, and starter fees):

- A. Purse distribution:

1. All overnight races ~~other than~~ including overnight stakes:

Current meet estimate:

Prior meet actual:

Average Daily Purse (7A1 ÷ number of days):

Current meet estimate:

Prior meet actual:

2. ~~Overnight~~ Graded or Listed stakes:

Current meet estimate:

Prior meet actual:

Average Daily Purse (7A2 ÷ number of days):

Current meet estimate:

Prior meet actual:

3. ~~Non-overnight~~ California-bred stakes:

Current meet estimate:

Prior meet actual:

Average Daily Purse (7A3 ÷ number of days):

Current meet estimate:

Prior meet actual:

- a. Percentage of the purse distribution for all stakes races that will be distributed for California-bred stakes races:
Current meet estimate:

Prior meet actual:

4. Total Purses: (7A1 + 7A2 + 7A3)

Current meet estimate:

Prior meet actual:

Average Daily Purses (7A4 ÷ number of race days)

Current meet estimate:

Prior meet actual:

B. ~~California-bred Stakes Races~~ Purse Account Information:

- ~~1. Percentage of the purse distribution for all stakes races that will be distributed for California-bred stakes races:~~

~~Current meet estimate:~~

~~Prior meet actual:~~

~~Average Daily Purse (7B1 ÷ number of days):~~

~~Current meet estimate:~~

~~Prior meet actual:~~

1. Amount in Purse Account earmarked for purses:

2. Last 5 completed meets' actual overpayment/underpayment (most recent = 1):

<u>Meet</u>	<u>Start Month/Year</u>	<u>\$Amount</u>	<u>Over/Under?</u>
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1

2

3

4

5

- C. Funds to be generated for all California-bred incentive awards (including breeder awards and owners' premiums):

Current meet estimate:

Prior meet actual:

- D. Payment to each recognized horsemen's organization contracting with the association and the name(s) of the organization(s):

Recognized Horsemen's Organization

Current meet estimate:

Prior meet actual:

Total:

Total:

- E. Amount from all sources to be distributed in the form of purses or other benefits to

horsemen;
(7A + 7C + 7D):
Current meet estimate:
Prior meet actual:

Average Daily Purse (7E ÷ number of days):
Current meet estimate:
Prior meet actual:

- F. Purse funds to be generated from on-track handle and intrastate off-track handle (excluding carry-overs from prior race meet(s):
Current meet estimate:
Prior meet actual:

Average Daily Purse (7F ÷ number of days):
Current meet estimate:
Prior meet actual:

- G. Purse funds to be generated from interstate handle:
Current meet estimate:
Prior meet actual:

Average Daily Purse (7G ÷ number of days):
Current meet estimate:
Prior meet actual:

- H. Bank and account number for the Paymaster of Purses' purse account:

- I. Name, address, email, and telephone number of the pari-mutuel audit firm engaged for the meeting:

NOTICE TO APPLICANT: All funds generated and retained from on-track pari-mutuel handle that are obligated by law for distribution in the form of purses, breeders' awards, or other benefits to horsemen **shall not** be deemed as income to the association; **shall not** be transferred to a parent corporation outside the State of California; and **shall**, within three (3) calendar days following receipt, be deposited in a segregated and separate liability account in a depository approved by the CHRB and shall be at the disposition of the Paymaster of Purses, who shall pay or distribute such funds to the persons entitled thereto. All funds generated from off-track simulcast wagering, interstate wagering, and out-of-state wagering that are obligated by law for distribution in the form of purses and breeders' awards shall also be deposited within three calendar days following receipt, into such liability account. In the event the association is obligated to the payment of purses prior to those obligated amounts being retained from pari-mutuel wagering for such purpose, or as a result of overpayment of earned purses at the conclusion of the meeting, the association shall transfer from its own funds such amounts as are necessary for the Paymaster of Purses to distribute to the horse owners statutorily or contractually entitled thereto. The association is entitled to

recover such transferred funds from the Paymaster of Purses' account, and if insufficient funds remain in the account at the conclusion of the meeting, the association is entitled to carry forward the deficit to its next succeeding meeting, as provided by Business and Professions Code section 19615(c) or (d). In the event of **underpayment** of purses that results in a balance remaining in the Paymaster of Purses' account at the conclusion of the meeting after distribution of amounts due to horsemen, breeders, and horsemen's organizations, the association may carry forward the surplus amount to its next succeeding meeting, provided, however, that the amount so retained does not exceed an amount equivalent to the average daily distribution of purses and breeders' awards during the meeting. All amounts in excess shall be distributed retroactively and proportionally in the form of purses and breeders' awards to the horse owners and breeders having earned purses or awards during the conduct of the meeting.

8. STABLE ACCOMMODATIONS

- A. Number of usable stalls available for racehorses at the track where the meeting is held:
- B. Minimum number of stalls believed necessary for the meeting:
- C. Total number of usable stalls to be made available off-site at approved auxiliary stabling areas or approved training centers:
- D. Name and location of each off-site auxiliary stabling area and the number of stalls to be maintained at each site:
- E. Attach each contract or agreement between the association and the person(s) furnishing off-site stabling accommodations for eligible racehorses that cannot be provided stabling on-site.

Complete subsections F. through H. if the association will request reimbursement for off-site stabling as provided by Business and Professions Code sections 19607, 19607.1, 19607.2, and 19607.3. Otherwise, proceed to section 9.

- F. Total number of usable stalls made available on-site for the **1986** meeting, pursuant to Business and Professions Code section 19535(c):
- G. State estimated cost to provide off-site stalls for this meeting. Show cost per day per stall.
- H. State estimated cost to provide vanning from off-site stalls for this meeting. Show fees to be paid for vanning per-horse.

9. EQUINE EMERGENCY SERVICES

- A. Name and emergency telephone number of the racing veterinarian on-site during training hours, workouts, and racing for the association and auxiliary sites:

1. Attach a schedule listing the dates and times that the racing veterinarian will be available on-site during training hours, workouts, and racing for the association and auxiliary sites.

10. PARI-MUTUEL WAGERING PROGRAM

- A. Pursuant to Business and Professions Code section 19599, and with the approval of the CHRB, associations may elect to offer wagering programs using CHRB Pari-mutuel Rules, the Association of Racing Commissioners International (ARCI) Uniform Rules of Racing, Chapter 9, Pari-mutuel Wagering, or a combination of both. Please complete the following schedule for the types of wagering other than WPS and the minimum wager amount for each.

Use DD for daily double, E for exacta (special quinella), PK3 for pick three, PK4 for select four, PNP for pick (n) pool, PPN for place pick (n), Q for quinella, SF for superfecta, TRI for trifecta, and US for unlimited sweepstakes (pick 9).

	TYPE OF WAGERS	APPLICABLE RULES
Example Race:	\$1 E; \$1 Double	CHRB #1959; ARCI #VE
Race #1		
Race #2		
Race #3		
Race #4		
Race #5		
Race #6		
Race #7		
Race #8		
Race #9		
Race #10		
Race #11		
Race #12		
Race #13		

- B. Identify any wagers noted in 10.A. (the current pari-mutuel wagering program) that were not in the prior year's pari-mutuel program or that are not being carried forward from the previous year's pari-mutuel wagering program.
- C. Maximum carryover pool to be allowed to accumulate before its distribution **OR** the date(s) designated for distribution of the carryover pool:
- D. List any options requested with regard to exotic wagering.
- E. Will "advance" or "early bird" wagering be offered? Yes ☐ No ☐
If yes, when will such wagering begin? Specify days and time for "early bird" wagering.

- F. Type(s) of pari-mutuel or totalizator equipment to be used by the association and the simulcast organization, name of the person(s) supplying equipment, and expiration date of the service contract:
- G. List below the takeout percentage for each type of wager identified in 10.A.

TAKEOUT PERCENTAGE
(Example) PNP5-14%

Race #1
Race #2
Race #3
Race #4
Race #5
Race #6
Race #7
Race #8
Race #9
Race #10
Race #11
Race #12
Race #13

11. ADVANCE DEPOSIT WAGERING (ADW)

- A. Identify the ADW provider(s) to be used by the association for this race meeting.
- B. Attach a copy of the agreement/contract with each ADW provider to be used for this race meeting.
- C. Have the agreements/contracts been approved by the respective horsemen's groups?
Yes ☐ No ☐
If yes, attach a copy of the approval. If no, explain the status of the approval.

NOTICE TO APPLICANT: Pursuant to Business and Professions Code section 19604, ADW providers may accept wagers on races conducted in California from a resident of California if : 1) the ADW provider is licensed by the Board; 2) a written agreement allowing those wagers exists with the racing association or fair conducting the races on which the wagers are made; 3) the agreement shall have been approved in writing by the horsemen's organization responsible for negotiating purse agreements for the breed on which the wagers are made. ADW providers may accept wagers on races conducted outside of California from a resident of California if: 1) the ADW provider is licensed by the Board; 2) there is a hub agreement between the ADW provider and one or both of (i) one or more racing associations or fairs that together conduct no fewer than five weeks of live racing on the breed on which wagering is conducted during the calendar year during which the wagers are placed and (ii) the horsemen's organization responsible for negotiating purse agreements for the breed on which wagering is conducted.

12. SIMULCAST WAGERING PROGRAM

- A. Simulcast organization engaged by the association to conduct simulcast wagering:
- B. Attach the agreement between the association and simulcast organization permitting the organization to use the association's live audiovisual signal for wagering purposes and providing access to its totalizator for the purpose of combining on-track and off-track pari-mutuel pools.
- C. California simulcast facilities the association proposes to offer its live audiovisual signal:
- D. Out-of-state wagering systems the association proposes to offer its live audiovisual signal:
- E. Out-of-state wagering systems that will combine their pari-mutuel pools with those of the association:
- F. California minisatellite wagering facilities the association proposes to offer its live audiovisual signal:
- G. For **THOROUGHBRED** racing associations, list the host track from which the association proposes to import out-of-state and/or out-of-country Thoroughbred races. Include the dates imported races will be held, and indicate whether a full card will be accepted. If the full card will not be imported, state "selected feature and/or stakes races".

NOTICE TO APPLICANT: Business and Professions Code section 19596.2(a) stipulates that on days when live Thoroughbred or fair racing is being conducted in the state, the number of Thoroughbred races that may be imported by an association or fair during the calendar period the association or fair is conducting its racing meeting cannot exceed a combined daily total of 50 imported Thoroughbred races statewide. The limitation of fifty (50) imported Thoroughbred races per day statewide does not apply to those races specified in Business and Professions Code section 19596.2(a)(1), (2), (3) and (4).

THOROUGHBRED SIMULCAST RACES TO BE IMPORTED

Name of Host Track	Race Dates	Full Card or Selected Feature and/or Stakes Races
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- H. For **QUARTER HORSE** racing associations, list the host track from which the association proposes to import out-of-state and/or out-of-country Quarter Horse races. Include the dates imported races will be held, and indicate whether a full card will be accepted. If the full card will not be imported, state "selected feature and/or stakes races".

QUARTER HORSE SIMULCAST RACES TO BE IMPORTED

Name of Host Track	Race Dates	Full Card or Selected Feature and/or Stakes Races
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- I. For **STANDARD BRED** racing associations, list the host tracks from which the association proposes to import out-of-state and/or out-of-country harness races. Include the dates imported races will be held, and indicate whether a full card will be accepted. If the full card will not be imported, state “selected feature and/or stakes races”.

HARNESS SIMULCAST RACES TO BE IMPORTED

Name of Host Track	Race Dates	Full Card or Selected Feature and/or Stakes Races
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- J. For **ALL** racing associations, list imported simulcast races the association plans to receive that use breeds other than the breed of the majority of horses racing at its live horse racing meeting. Include the name of the host track, the dates imported races will be held, and how many races will be imported.

OTHER BREED SIMULCAST RACES TO BE IMPORTED

Name of Host Track	Breed of Horse	Race Dates	Number of Races to be Imported
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- K. For **ALL** racing associations, if any out-of-state or out-of-country races will commence outside of the time constraints set forth in Business and Professions Code sections 19596.2 and 19596.3, attach a copy showing the agreement by the appropriate racing association(s).

NOTICE TO APPLICANT: All interstate wagering to be conducted by an association is subject to the provisions of Title 15, United States Codes, which require specific written approval of the CHRB and of the racing commission having jurisdiction in the out-of-state venue. All international wagering to be conducted by an association is subject to the provisions of Business and Professions Code sections 19596, 19596.1, 19596.2, 19596.3, 19601, 19602, and 19616.1 and will require specific written approval of the CHRB.

Every association shall pay over to the simulcast organization within three (3) calendar days following the closing of wagering for any day or night racing program, or upon receipt of the proceeds, such amounts that are retained from off-track simulcast wagering, interstate wagering, and out-of-state wagering and that are obligated by statute for guest commissions, simulcast operator's expenses and promotions, equine research, local government in-lieu taxes, and stabling and vanning deductions. Every association shall pay to its Paymaster of Purses' account within three calendar days following the closing of wagering for each day or night racing program, or upon receipt of the proceeds, such amounts that are retained or obligated from off-track simulcast wagering, interstate wagering, and out-of-state wagering for purses, breeders' awards, or other benefits to horsemen. (See Notice to Applicant, Section 7.)

13. CHARITY RACING DAYS

- A. Name and address of the distributing agent (charity foundation) for the net proceeds from charity racing days held by the association:
- B. Names and addresses of the trustees or directors of the distributing agent:
- C. Dates the association will conduct races as charity racing days OR:
- D. Will the association pay the distributing agent an amount equal to the maximum required under Business and Professions Code section 19550(b)? Yes ☐

NOTICE TO APPLICANT: Net proceeds from charity racing days shall be paid to the designated and approved distributing agent within 180 days following the conclusion of the association's race meeting in accordance with the provisions of Business and Professions Code section 19555. Thereafter, the distributing agent shall distribute not less than 90% of the aggregate proceeds from such charity racing days within twelve (12) calendar months after the last day of the meeting during which the charity racing days were conducted and shall distribute the remaining funds as soon thereafter as is practicable. At least 50% of the distribution shall be made to charities associated with the horse racing industry, in accordance with the provisions of Business and Professions Code section 19556(b) and (c).

14. RACING OFFICIALS, OFFICIALS, AND OFFICIATING EQUIPMENT

- A. Racing officials nominated:
 - Association Veterinarian(s)
 - Clerk of Scales
 - Clerk of the Course
 - Film Specialist
 - Horse Identifier
 - Horseshoe Inspector
 - Paddock Judge
 - Patrol Judges
 - Placing Judges
 - Starter
 - Timer
- B. Management officials in the racing department:
 - Director of Racing
 - Racing Secretary
 - Assistant Racing Secretary
 - Paymaster of Purses
 - Others (identify by name and title)
- C. Name, address, email, and telephone number of the reporter employed to record and prepare transcripts of hearings conducted by the stewards:

- D. Photographic device to be used for photographing the finish of all races, name of the person supplying the service, and expiration date of the service contract:
- E. Indicate photo patrol video equipment to be used to record all races, name of the person supplying the service, and expiration date of the service contract. Specify the number and location of cameras for dirt and turf tracks.
- F. Type of electronic timing device to be used for the timing of all races, name of the person supplying the service, and expiration date of the service contract:

15. SECURITY CONTROLS

- A. State the name and title of the person responsible for security controls on the premises. Include an organizational chart of the security department and a list of the names of security personnel and contact telephone numbers.
- B. Estimated number of security guards, gatemen, patrolmen, or others to be engaged in security tasks on a regular full-time basis:
 - 1. Attach a written plan for enhanced security for graded stakes races and races of \$100,000 or more, to include the number of security guards in the restricted areas during a 24-hour period and a plan for detention stalls.
 - 2. Detention Stalls:
 - a. Attach a plan for use of graded stakes or overnight races.
 - b. Number of security guards in the detention stall area during a 24-hour period:
 - c. Describe number and location of surveillance cameras in detention stall area.
 - 3. TCO2 Testing:
 - a. Number of races to be tested, and number of horses entered in each race to be tested:
 - b. Plan for enhanced surveillance for trainers with high-test results:
 - c. Plan for detention stalls for repeat offenders:
 - d. Number of security personnel assigned to the TCO2 program:
- C. Describe the electronic security system.
 - 1. Location and number of video surveillance cameras for the detention stall and stable gate:
- D. For night racing associations: Describe emergency lighting system.

16. EMERGENCY SERVICES

- A. Name, address, and emergency telephone number of ~~the~~each human and horse ambulance service to be used during workouts and during racing:
 - 1. Attach a certification from ~~the~~each human ambulance service(s) listed in 16.A. certifying that the paramedic staff are licensed with the California Emergency Medical Services Authority.
- B. Name, address, and emergency telephone number of ~~the~~each ambulance service to be used during workouts at auxiliary sites:
 - 1. Attach a certification from ~~the~~each ambulance service(s) listed in 16.B. certifying that the paramedic staff are licensed with the California Emergency Medical Services Authority.
- C. Describe the on-track first aid facility, including equipment and medical staffing.
- D. Name and emergency telephone number of the licensed physician on duty during the race meeting:
If Quarter Horse racing association, see D.1.
 - 1. Name, address, and emergency telephone number of a hospital located within 1.5 miles of the racetrack, with which an agreement is in place to provide emergency medical services, pursuant to Business and Professions Code section 19481.3(a):
- E. Name, address, and emergency telephone number of the hospital to be used for admittance and treatment of emergency injuries in the event of an on-track injury to a jockey:
- F. Attach, in English and Spanish, the emergency medical plan procedures that will be posted in each jockey's room to be used in the event of an on-track injury to a jockey.
- G. Names of health and safety manager and assistant manager responsible for compliance of health and safety provisions pursuant to Business and Professions Code section 19481.3(d):
- H. Attach a fire clearance from the fire authority having jurisdiction over the premises.
- I. Name of the workers' compensation insurance carrier for the association and the number of the insurance policy (if self-insured, provide details):
- J. Attach a Certificate of Insurance for workers' compensation coverage. The CHRB is to be named as a certificate holder and given not less than ten (10) days' notice of any

cancellation or termination of insurance that secures the liability of the association for payment of workers' compensation.

NOTICE TO APPLICANT: Every licensee conducting a horse racing meeting shall, pursuant to Business and Professions Code section 19481.3, maintain, staff, and supply an on-track first aid facility, which may be either permanent or mobile, that shall be staffed and equipped as directed by the Board. A qualified and licensed physician shall be on duty at all times during live racing, except that this provision shall not apply to any Quarter Horse racing at the racetrack if there is a hospital situated no more than 1.5 miles from the racetrack and the racetrack has an agreement with the hospital to provide emergency medical services to jockeys and riders. An ambulance licensed to operate on public highways provided by the track shall be available at all times during live racing and shall be staffed by two emergency medical technicians licensed in accordance with Division 2.5 (commencing with Section 1797) of the Health and Safety Code, one of whom may be an Emergency Medical Technician Paramedic, as defined in section 1797.84 of the Health and Safety Code. Each racing association and racing fair shall adopt and maintain an emergency medical plan detailing the procedures that shall be used in the event of an on-track injury. The plan shall be posted in each jockey room in English and Spanish. Prior to every race meeting, the racing association or racing fair shall contact area hospitals to coordinate procedures for the rapid admittance and treatment of emergency injuries. Each racing association or racing fair shall designate a health and safety manager and assistant manager, who shall be responsible for compliance with the provisions of this section, and one of whom shall be on duty at all times when live racing is conducted. -The health and safety manager may, at the discretion of the racing association, be the person designated to perform risk management duties on behalf of the association.

17. CONCESSIONAIRES AND SERVICE CONTRACTORS

Names and addresses of all persons to whom a concession or service contract has been given, **other than those already identified**, and the goods and/or services to be provided by each:

Does the association provide its own concessions? Yes ☐ No ☐

18. ON-TRACK ATTENDANCE/FAN DEVELOPMENT

- A. Attach a copy of the promotional and marketing plans for the race meeting.
- B. Promotional/Marketing budget for this race meeting:
 Promotional/Marketing budget for prior race meeting:
- C. Number of hosts and hostesses employed for meeting:
- D. Describe facilities set aside for new fans.
- E. Describe any improvements to the physical facility in advance of the meeting that

directly benefit:

1. Horsemen
2. Fans
3. Facilities in the restricted areas

19. SCHEDULE OF CHARGES

- A. List proposed charges. Note any changes from the previous year.
- Admission (general)
 - Admission (clubhouse)
 - Reserved seating (general)
 - Reserved seating (clubhouse)
 - Parking (general)
 - Parking (preferred)
 - Parking (valet)
 - Programs (on-track)
 - (off-track)
- B. Describe any "Season Boxes" and "Turf Club Membership" fees.
- C. Describe any "package" plans, such as combined parking, admission, and program.

20. JOCKEYS/DRIVERS' QUARTERS

- A. Check the applicable amenities available in the jockeys/drivers' quarters.
- | | | |
|---|---|---|
| ☐ Corners (lockers and cubicles) | How many | |
| ☐ Showers | ☐ Steam room, sauna, or steam cabinets | ☐ Lounge area |
| ☐ Masseur | ☐ Food/beverage service | ☐ Certified platform scale |
- B. Describe the quarters to be used for female jockeys/drivers.

21. BACKSTRETCH EMPLOYEE HOUSING

- A. Inspection of backstretch housing was completed by (name) on (date) .
- B. Number of rooms used for housing on the backstretch of the racetrack:
- C. Number of restrooms available on the backstretch of the racetrack:
- D. Estimated ratio of restroom facilities to the number of backstretch personnel:

22. TRACK SAFETY

- A. Total distance of the racecourse, measured from the finish line counterclockwise (3' from the inner railing) back to the finish line: feet.

- B. Describe the type of track surface at the facility, including the specific track surface composition.
- C. The percent of cross slope in the straightaways is:
The percent of cross slope in the center of the turns is:
- D. Describe the type(s) of materials used for the inner and outer railings of the race course, the type of inner railing supports (e.g., metal gooseneck, wood 4" x 4" uprights, offset wood 4" x 4" supports, etc.), the coverings, if any, on the top of the inner railing, and the approximate height of the top of the inner railing from the level of the race course.
- E. Name of the person responsible for supervision of the maintenance of the racetrack safety standards pursuant to CHRB Rule 1474:
- F. Attach a Track Safety Maintenance Program pursuant to CHRB Rule 1474.
- G. If the association is requesting approval to implement alternate methodologies to the provisions of Article 3.5, Track Safety Standards, pursuant to CHRB Rule 1471, attach a Certificate of Insurance for liability insurance that will be in force for the duration of the meeting specified in Section 2. -The CHRB is to be named as a certificate holder and given not less than ten (10) days' notice of any cancellation or termination of liability insurance. Additionally, the CHRB must be listed as additionally insured on the liability policy at a minimum amount of \$3 million per incident. The liability insurance certificate must be on file in the CHRB headquarters office prior to the conduct of any racing.

23. DECLARATIONS

- A. All labor and lease agreements and concession and service contracts necessary to conduct the entire meeting have been finalized, except as follows (if no exceptions, so state):
- B. Attach each horsemen's agreement pursuant to CHRB Rule 2044.
- C. Attach an agreement to provide for race-day furosemide administration, pursuant to CHRB Rule 1845.
- D. Attach a lease agreement permitting the association to occupy the racing facility during the entire term of the meeting. (In the absence of either a lease agreement or a horsemen's agreement, a request for an extension pursuant to CHRB Rule 1407 shall be made.)
- E. All service contractors and concessionaires have valid state, county, or city licenses authorizing each to engage in the type of service to be provided and have valid labor agreements, when applicable, which remain in effect for the entire term of the

meeting, except as follows (if no exceptions, so state):

- F. Absent natural disasters or causes beyond the control of the association, its service contractors, concessionaires, or horsemen participating at the meeting, no reasons are believed to exist that may result in a stoppage to racing at the meeting or the withholding of any vital service to the association, except as follows (if no exceptions, so state):

NOTICE TO APPLICANT: Pursuant to CHRB Rule 1870 and Rule 1871, the CHRB shall be given fifteen (15) days' notice in writing of any intention to terminate a horse racing meeting or the engagements or services of any licensee, approved concessionaire, or approved service contractor.

24. CERTIFICATION BY APPLICANT

I hereby certify under penalty of perjury that I have examined this application, that all of the foregoing statements in this application are true and correct, and that I am authorized by the association to attest to this application on its behalf.

X

Signature

Print Name

Print Title

Date

ADDENDUM

Background and Ownership Information

FULL DISCLOSURE: By authority of sections 19440 and 19480 of the California Business and Professions Code, Chapter 4, Division 8, Horse Racing Law, and in order to allow an evaluation of the competency, integrity, and character of potential racetrack operator, contractor, subcontractor and concessionaire licensees of the California Horse Racing Board (CHRB), any applicant for such a license shall comply with the provisions set forth below. Where applicable, supply the requested information and submit with your application documents. (If necessary, attach additional pages showing the corresponding numbers for the questions you are answering.) If a question does not apply to you, so state with "N/A".

NOTE: All information contained in this Addendum may be disclosed pursuant to the California Public Records Act.

I. BACKGROUND INFORMATION

- A. **PERSONAL INFORMATION** - Application documents must include for each individual who is a director, officer, or partner in the application, or an owner of an interest in the applicant of 5% or more:
 - 1. Full name and any previous names or aliases;
 - 2. date of birth;
 - 3. physical description;
 - 4. business address and telephone number; and
 - 5. disclosure of employment, education and military history for the past 20 years or since the age of 18.
- B. **PERSONAL HISTORY** - Application documents must include a completed Personal History Record, CHRB-25A, for each individual named in Addendum Section I.A.
- C. **RELATIONSHIP** - The application documents must state, for each individual providing information under Addendum Section I.A., whether the individual is related to a member or an employee of the CHRB. A half-relationship or step-relationship is considered to be a familial relationship.
- D. **CORPORATIONS** - If the applicant is a corporation, the application documents must state:
 - 1. The state in which the applicant is incorporated; and
 - 2. name and address of the applicant's agent for service of process in California.
- E. **INDICTMENTS OR CONVICTIONS** - If the applicant is a corporation, the application documents must include a statement disclosing whether the corporation is presently or has ever been indicted or convicted of a criminal offense, e.g., felony or misdemeanor.
- F. **PENDING LEGAL PROCEEDINGS** - An applicant for a license to operate a racetrack must describe any pending legal proceedings of \$250,000 or more:

1. To which the applicant, a director, officer, or partner of the applicant, or an individual who owns an interest in the applicant of 5% or more is a party; or
2. that involves property owned by the applicant, a director, officer, or partner of the applicant, an individual who owns an interest in the applicant of 5% or more, or a related entity identified under Addendum Section I.
3. Applicant must state the name of the court or agency before which the proceeding is or was pending, the case number, date the proceeding was instituted, and the names of the principal parties to the proceeding.

II. OWNERSHIP

A. IDENTIFICATION AND LOCATION - The application documents must include:

1. All names used by the applicant; and
2. name of the agent and the address and telephone number of the office of the applicant for service of process in California.

B. BUSINESS STRUCTURE - The application documents must describe the applicant's business structure and include an organizational chart.

C. ORGANIZERS - If the applicant is not an individual and was organized less than five years before the date on which the application documents are submitted to the CHRB, the application documents must state:

1. Name of each individual who was an organizer or promoter of the applicant;
2. nature and amount of assets, services, or other consideration contributed to the applicant by an organizer or promoter of the applicant; and
3. nature and amount of anything of value given by the applicant to an organizer or promoter of the applicant.

D. ORGANIZATIONAL DOCUMENTS

1. If the applicant is a corporation, the application documents must include:
 - a. Statement of when and in what state the corporation was organized;
 - b. certified copy of the articles of incorporation and bylaws of the applicant;
 - c. statement and documentation of whether the corporation has been reorganized or reincorporated during the five-year period preceding the date on which the application documents are submitted to the CHRB; and
 - d. statement and documentation of whether the corporation has filed restated articles of incorporation.
2. If the applicant is an unincorporated business association, the application documents must include:
 - a. Certified copy of each organizational document for the applicant, including any partnership agreement; and
 - b. description of any oral agreements involving the organization of the partnership.

E. CAPITOL STOCK

1. If the applicant is authorized to issue capital stock, the application documents must state the classes of stock authorized and the total shares of each class authorized.
2. For each class of stock, applicant must also state:
 - a. Par value, if any;
 - b. voting rights;
 - c. current rate of dividend; and
 - d. number of shares outstanding and the market value of each share.
3. Application documents must list the name and address of each person who owns, of record or beneficially, at least 5% of stock. For each person listed under this subsection, the application documents must describe the nature of the person's ownership interest and the person's percentage of the total ownership interest.
4. Application documents must include a certified copy of each voting trust or voting agreement in which at least 5% of the capital stock is held and must state:
 - a. Name and address of each stockholder participating in the trust or agreement;
 - b. class of stock involved; and total number of shares held by the trust or agreement.

F. DIRECTORS, OFFICERS, AND PARTNERS

1. If the applicant is not an individual, the application documents must include a list of the individuals who are serving or who are designated to serve, during the first year after the date the application documents are submitted to the CHRB, as a director, officer, or partner of the applicant. The list must state for each individual:
 - a. Name and business address;
 - b. each position or office of the applicant held by the individual;
 - c. principal occupation during the five-year period preceding the date on which the application documents are submitted to the CHRB; and
 - d. nature and extent of any ownership interest in the applicant.
2. Application documents must include a completed Personal History Record, CHRB-25A, for each individual named under Addendum Section II.F.1.

G. CONTROLLING ENTITY

1. Application documents must state whether another entity exercises or is in a position to exercise control in the management or financial affairs of the applicant. The documents must describe the nature of the relationship between the entity and the applicant and the extent of control exercised by the entity.
2. If a nonindividual entity owns an interest of 5% or more in the applicant, the application documents must include the information required by Addendum Section II.G.1., as it relates to the nonindividual entity.
3. Application documents must include information required by Addendum Section II.G.2., for each nonindividual entity identified in the application documents to the extent necessary to determine the identity of each individual who is an indirect holder of an ownership interest in the applicant.

- H. OUTSIDE INTERESTS AND LICENSE HISTORY - Application documents must state whether the applicant or a director, officer, or partner of the applicant
1. Ever held an ownership interest in a licensee of the CHRB; or is currently engaged in the business of racing in another state.

STATE OF CALIFORNIA
CALIFORNIA HORSE RACING BOARD
APPLICATION FOR LICENSE TO CONDUCT A HORSE RACING MEETING OF A
CALIFORNIA FAIR
CHRB-18 (Rev. ~~7/21~~3/23)

Application is hereby made to the California Horse Racing Board (CHRB) for a license to conduct a horse racing meeting of a California fair, as authorized by Article 6.5 of the California Business and Professions Code, Chapter 4, Division 8, Horse Racing Law, and in accordance with applicable provisions and the California Code of Regulations, Title 4, Division 4, CHRB Rules and Regulations.

1. APPLICANT FAIR ASSOCIATION

- A. Name, mailing address, telephone, and fax numbers of fair:
- B. Fair association is a: ☐ District Fair ☐ County Fair ☐ Citrus Fruit Fair
☐ California Exposition and State Fair ☐ Other qualified fair
- C. Provide the name, telephone, and email address for the fair contact person.

NOTICE TO APPLICANT: Application must be filed not later than ninety (90) days before the scheduled start date for the proposed meeting, pursuant to CHRB Rule 1433.

2. DATES OF RACE MEETING

- A. Inclusive dates allocated for race meeting:
- B. Actual dates racing will be held:
- C. Dates racing will NOT be held:
- D. Total number of racing days:
- E. Days of the week races will be held:
☐ Wednesday – Sunday ☐ Tuesday – Saturday ☐ Other (specify)

3. RACING PROGRAM

- A. Total number of races:
- B. Number of races by breed:
Thoroughbreds Quarter Horses Appaloosas
Arabians Paints Mules

C. Number of races daily:

	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Thoroughbred							
Other Breeds							
Total							

D. Total number of stakes races by breed:

Thoroughbreds	Quarter Horses	Appaloosas
Arabians	Paints	Mules

E. Attach a listing of all stakes races and indicate the date to be run and the added money or guaranteed purse for each.

1. Attach a listing of all stakes races for the past two (2) race meetings. The information provided must be for the same timeframe in which the association is applying. Include the date the stakes races were run and the added money or guaranteed purse for each. Note the races that were designated for California-bred horses.
2. Identify the stakes races listed under item E that have been altered or added or are new for the current race meeting. Provide details regarding any alterations to the identified stakes races (e.g., changes in the age, sex, eligibility, purse, or substantial calendar changes).
3. Identify the stakes races listed under item E.1. that have been dropped or deleted and the reasons the stakes were dropped or deleted.

F. Will provisions be made for owners and trainers to use their own registered colors?

☐ Yes ☐ No

If no, which racing colors are to be used?

G. List all post times for the daily racing program:

NOTICE TO APPLICANT: Every licensee conducting a horse racing meeting shall, each racing day, provide for the running of at least one race limited to California-bred horses, to be known as the "California-bred race," pursuant to CHRB Rule 1813.

4. FAIR ASSOCIATION

A. Names of the fair directors:

B. Names of the directors serving on the Racing Committee or otherwise responsible for the conduct of the racing program:

- C. Name and title of the fair manager or executive officer and the names and titles of all department managers and fair staff, other than those listed in 12.B., who will be listed in the official program:
- D. Name and title of the person(s) authorized to receive notices on behalf of the fair association and the mailing and email address of such person(s).

5. TAKE OUT PERCENTAGE

- A. Will the percentage deducted for any type of wager be adjusted pursuant to Business and Professions Code section 19601.01? If no, proceed to subsection 6. If yes, identify the wager and the proposed takeout percentage.

☐ Yes ☐ No

Wager(s) to be adjusted:

Proposed percentage: %

- 1. Attach copy of written notice requesting the proposed takeout adjustment, the proposed percentage, and the wager(s) affected. The notice must include the written agreement of the fair association and the horsemen's organization for the meeting of the fair association accepting the wager.

NOTICE TO APPLICANT: Pursuant to Business and Professions Code section 19601.01, notwithstanding any other provision of law, a Thoroughbred association or fair, upon the filing of a written notice with, and approval by, the Board specifying the percentage to be deducted, may deduct from the total amount handled in the pari-mutuel pool for any type of wager an amount of not less than ten (10) percent nor more than twenty-five (25) percent. The written notice shall include the written agreement of the Thoroughbred association or fair and the horsemen's organization for the meeting of the Thoroughbred association or fair accepting the wager. The established percentage to be deducted shall remain in effect until the filing of a subsequent notice with, and approval by, the Board, unless otherwise specified in the notice.

6. HANDLE HISTORY

- A. Complete the table below, providing the last five (5) years of handle and attendance for the fair association. If your association has been operating for fewer than five years, provide information for the period of time it has been in operation.

Year	Handle	Attendance

7. **PURSE PROGRAM (excluding supplements, nominations, sponsorships, and starter fees):**

A. Purse distribution:

1. All overnight races ~~other than~~ including overnight stakes:

Current meet estimate:

Prior meet actual:

Average Daily Purse ($7A1 \div \text{number of days}$):

Current meet estimate:

Prior meet actual:

2. ~~Overnight~~ Graded or Listed stakes:

Current meet estimate:

Prior meet actual:

Average Daily Purse ($7A2 \div \text{number of days}$):

Current meet estimate:

Prior meet actual:

3. ~~Non-overnight~~ California-bred stakes:

Current meet estimate:

Prior meet actual:

Average Daily Purse ($7A3 \div \text{number of days}$):

Current meet estimate:

Prior meet actual:

a. Percentage of the purse distribution for all stakes races that will
be distributed for California-bred stakes races:

Current meet estimate:

Prior meet actual:

4. Total Purses: ($7A1 + 7A2 + 7A3$)

Current meet estimate:

Prior meet actual:

Average Daily Purses ($7A4 \div \text{number of race days}$)

Current meet estimate:

Prior meet actual:

B. Purse Account Information:

1. Amount in Purse Account earmarked for purses:

2. Last 5 completed meets' actual overpayment/underpayment (most recent = 1):

<u>Meet</u>	<u>Start Month/Year</u>	<u>\$Amount</u>	<u>Over/Under?</u>
<u>1</u>			
<u>2</u>			
<u>3</u>			
<u>4</u>			
<u>5</u>			

BC. Funds to be generated for all California-bred incentive awards (including breeder awards and owners' premiums):

Current meet estimate:

Prior meet actual:

CD. Payment to each recognized horsemen's organization contracting with the fair:

Current meet estimate:

Prior meet actual:

CTT

TOC

NTRA

PCQHRA

CWRA

ARAC

AMRA

CHBPAPEN

CTHF

Total:

Total:

DE. Amount from all sources to be distributed at the meeting in the form of purses or other benefits to horsemen (7A + 7B + 7C):

Current meet estimate:

Prior meet actual:

Average Daily Purse (7D ÷ number of days):

Current meet estimate:

Prior meet actual:

EE. Purse funds to be generated from on-track handle and intrastate off-track handle (excluding carry-overs from prior race meet(s):

Current meet estimate:

Prior meet actual:

Average Daily Purse (7E ÷ number of days):

Current meet estimate:

Prior meet actual:

~~FG~~. Purse funds to be generated from interstate handle:
Current meet estimate:
Prior meet actual:

Average Daily Purse ($7F \div \text{number of days}$):
Current meet estimate:
Prior meet actual:

~~GH~~. Bank and account number for the Paymaster of Purses' purse account:

~~HI~~. Name, address, email, and telephone number of the pari-mutuel audit firm engaged for the meeting:

NOTICE TO APPLICANT: All funds generated and retained from on-track pari-mutuel handle that are obligated by law for distribution in the form of purses, breeders' awards, or other benefits to horsemen **shall not** be deemed as income to the fair and **shall**, within three (3) calendar days following receipt, be deposited in a segregated and separate liability account in a depository approved by the CHRB and shall be at the disposition of the Paymaster of Purses, who shall pay or distribute such funds to the persons entitled thereto. All funds generated from off-track simulcast wagering, interstate wagering, and out-of-state wagering that are obligated by law for distribution in the form of purses and breeders' awards shall also be deposited within three calendar days following receipt into such liability account. In the event the fair is obligated to the payment of purses prior to those obligated amounts being retained from pari-mutuel wagering for such purpose, or as a result of overpayment of earned purses at the conclusion of the meeting, the fair shall transfer from its own funds such amounts as are necessary for the Paymaster of Purses to distribute to the horse owners statutorily or contractually entitled thereto. The fair is entitled thereafter to recover such transferred funds from the Paymaster of Purses' account, and if insufficient funds remain in the account at the conclusion of the meeting, the fair is entitled to carry forward the deficit to its next succeeding meeting, as provided by Business and Professions Code section 19615(c) or (d). In the event of **underpayment** of purses that results in a balance remaining in the Paymaster of Purses' account at the conclusion of the meeting after distribution of amounts due to horsemen, breeders, and horsemen's organizations, the fair may carry forward the surplus amount to its next succeeding meeting, provided, however, that the amount so retained does not exceed an amount equivalent to the average daily distribution of purses and breeders' awards during the meeting. All amounts in excess shall be distributed retroactively and proportionally in the form of purses and breeders' awards to the horse owners and breeders having earned purses or awards during the conduct of the meeting.

8. STABLE ACCOMMODATIONS

- A. Number of usable stalls available for racehorses at the track where the meeting is held:
- B. Minimum number of stalls believed necessary for the meeting:
- C. Total number of usable stalls to be made available off-site at approved auxiliary stabling areas or approved training centers:

- D. Name and location of each off-site auxiliary stabling area and the number of stalls to be maintained at each site:
- E. Attach each contract or agreement between the fair and the person(s) furnishing off-site stabling accommodations for eligible racehorses that cannot be provided stabling on-site.

Complete subsections F through H if the fair will request reimbursement for off-site stabling, as provided by Business and Professions Code sections 19607, 19607.1, 19607.2, and 19607.3. Otherwise, proceed to section 9.

- F. Total number of usable stalls made available on-site for the **1986** meeting, pursuant to Business and Professions Code section 19535(c).
- G. State estimated cost to provide off-site stalls for this meeting. Show cost per day per stall.
- H. State estimated cost to provide vanning from off-site stalls for this meeting. Show fees to be paid for vanning per-horse.

9. EQUINE EMERGENCY SERVICES

- A. Name and emergency telephone number of the racing veterinarian onsite during training hours, workouts, and racing for the association and auxiliary sites:
 - 1. Attach a schedule listing the dates and times that the racing veterinarian will be available on-site during training hours, workouts, and racing for the association and auxiliary sites.

10. PARI-MUTUEL WAGERING PROGRAM

- A. Is the fair applicant a member of the California Authority of Racing Fairs (CARF)?
If yes, attach a copy of the CARF recommended wagering format. ☐ Yes ☐ No
- B. Pursuant to Business and Professions Code section 19599, and with the approval of the CHRB, fairs may elect to offer wagering programs using CHRB Pari-mutuel Rules, the Association of Racing Commissioners International (ARCI) Uniform Rules of Racing, Chapter 9, Pari-mutuel Wagering, or a combination of both. Please complete the following schedule for the types of wagering other than WPS and the minimum wager amount for each. If applicant is a member of CARF, also indicate if wager is a part of the CARF recommended wagering format.

Use DD for daily double, E for exacta (special quinella), PK3 for pick three, PK4 for select four, PNP for pick (n) pool, PPN for place pick (n), Q for quinella, SF for superfecta, TRI

for trifecta, and US for unlimited sweepstakes (pick 9).

	TYPE OF WAGERS	APPLICABLE RULES	CARF WAGERING FORMAT	
Example Race:	\$1 E; \$1 Double	CHRB #1959; ARCI #VE	☐ Yes	☐ No
Race #1			☐ Yes	☐ No
Race #2			☐ Yes	☐ No
Race #3			☐ Yes	☐ No
Race #4			☐ Yes	☐ No
Race #5			☐ Yes	☐ No
Race #6			☐ Yes	☐ No
Race #7			☐ Yes	☐ No
Race #8			☐ Yes	☐ No
Race #9			☐ Yes	☐ No
Race #10			☐ Yes	☐ No
Race #11			☐ Yes	☐ No
Race #12			☐ Yes	☐ No
Race #13			☐ Yes	☐ No

- C. Identify any wagers noted in 10.A. (the current pari-mutuel wagering program) that were not in the prior year's pari-mutuel program or that are not being carried forward from the previous year's pari-mutuel wagering program.
- D. Maximum carryover pool to be allowed to accumulate before its distribution **OR** the date(s) designated for distribution of the carryover pool:
- E. List any options requested with regard to exotic wagering.
- F. Will "advance" or "early bird" wagering be offered? Yes ☐ No ☐
If yes, when will such wagering begin? Specify days and time for "early bird" wagering.
- G. Type(s) of pari-mutuel or totalizator equipment to be used by the fair and the simulcast organization, the name of the person(s) supplying equipment, and expiration date of the service contract:
- H. List below the takeout percentage for each type of wager identified in 10.B.:

TAKEOUT PERCENTAGE
(Example) PNP5-14%

Race #1
Race #2
Race #3
Race #4
Race #5
Race #6

Race #7
Race #8
Race #9
Race #10
Race #11
Race #12
Race #13

11. ADVANCE DEPOSIT WAGERING (ADW)

- A. Identify the ADW provider(s) to be used by the fair for this race meeting.
- B. Attach a copy of the agreement/contract with each ADW provider to be used for this race meeting.
- C. Have the agreements/contracts been approved by the respective horsemen's groups?
☐ Yes ☐ No
If yes, attach a copy of the approval.
If no, explain the status of the approval.

NOTICE TO APPLICANT: Pursuant to Business and Professions Code section 19604, ADW providers may accept wagers on races conducted in California from a resident of California if : 1) the ADW provider is licensed by the Board; 2) a written agreement allowing those wagers exists with the racing association or fair conducting the races on which the wagers are made; 3) the agreement shall have been approved in writing by the horsemen's organization responsible for negotiating purse agreements for the breed on which the wager are made. ADW providers may accept wagers on races conducted outside of California from a resident of California if: 1) the ADW provider is licensed by the Board; 2) there is a hub agreement between the ADW provider and one or both of (i) one or more racing associations or fairs that together conduct no fewer than five weeks of live racing on the breed on which wagering is conducted during the calendar year during which the wagers are placed and (ii) the horsemen's organization responsible for negotiating purse agreements for the breed on which wagering is conducted.

12. SIMULCAST WAGERING PROGRAM

- A. Simulcast organization engaged by the fair to conduct simulcast wagering:
- B. Attach the agreement between the fair and simulcast organization permitting the organization to use the fair's live audiovisual signal for wagering purposes and providing access to its totalizator for the purpose of combining on-track and off-track pari-mutuel pools.
- C. California simulcast facilities the fair proposes to offer its live audiovisual signal:
- D. Out-of-state wagering systems the fair proposes to offer its live audiovisual signal:
- E. Out-of-state wagering systems that will combine their pari-mutuel pools with those

of the fair:

- F. California minisatellite wagering facilities the fair proposes to offer its live audiovisual signal:
- G. List the host tracks from which the fair proposes to import out-of-state and/or out-of-country Thoroughbred races. Include the dates imported races will be held and whether a full card will be accepted. If the full card will not be imported, state "selected feature and/or stakes races".

NOTICE TO APPLICANT: Business and Professions Code section 19596.2(a) stipulates that on days when live Thoroughbred or fair racing is being conducted in the state, the number of Thoroughbred races that may be imported by an association or fair during the calendar period the association or fair is conducting its racing meeting cannot exceed a combined daily total of fifty (50) imported Thoroughbred races statewide. The limitation of fifty imported Thoroughbred races per day statewide does not apply to those races specified in Business and Professions Code section 19596.2(a)(1), (2), (3) and (4).

THOROUGHBRED SIMULCAST RACES TO BE IMPORTED

Name of Host Track	Race Dates	Full Card or Selected Feature and/or Stakes Races
--------------------	------------	---

- H. List imported simulcast races the fair plans to receive during the racing meeting that use breeds other than the breed of the majority of horses racing at its live horse racing meeting. Include the name of the host track, the dates imported races will be held, and how many races will be imported.

OTHER BREED SIMULCAST RACES TO BE IMPORTED

Name of Host Track	Breed of Horse	Race Dates	Number of Races to be Imported
--------------------	----------------	------------	--------------------------------

- I. If any out-of-state or out-of-country races will commence outside of the time constraints set forth in Business and Professions Code sections 19596.2 and 19596.3, attach a copy showing agreement by the appropriate racing association(s).

NOTICE TO APPLICANT: All interstate wagering to be conducted by a fair is subject to the provisions of Title 15, United States Codes, which require specific **written** approval of the CHRB and of the racing commission having jurisdiction in the out-of-state venue. All international wagering to be conducted by a fair is subject to the provisions of Business and Professions Code sections 19596, 19596.1, 19596.2, 19596.3, 19601, 19602, and 19616.1 and will require specific written approval of the CHRB.

Every fair shall pay to the simulcast organization within three (3) calendar days following the closing of wagering for each racing program, or upon receipt of the proceeds, such amounts that are retained from off-track simulcast wagering, interstate wagering, and out-of-state wagering and that are obligated by statute for guest commissions, simulcast operator's expenses and promotions, equine research, local government in-lieu taxes, and stabling and vanning deductions. Every fair shall pay to its Paymaster of Purses' account within three calendar days following the closing of wagering for each racing program, or upon receipt of the proceeds, such amounts that are retained or

obligated from off-track simulcast wagering, interstate wagering, and out-of-state wagering for purses, breeders' awards, or other benefits to horsemen. (See Notice to Applicant, Section 7.)

13. RACING OFFICIALS, OFFICIALS, AND OFFICIATING EQUIPMENT

- A. Racing officials nominated:
 - Association Veterinarian(s)
 - Clerk of Scales
 - Clerk of the Course
 - Film Specialist
 - Horse Identifier
 - Horseshoe Inspector
 - Paddock Judge
 - Patrol Judges
 - Placing Judges
 - Starter
 - Timer
- B. Management officials in the racing department:
 - Director of Racing
 - Racing Secretary
 - Assistant Racing Secretary
 - Paymaster of Purses
 - Others (identify by name and title)
- C. Name, address, email, and telephone number of the reporter employed to record and prepare transcripts of hearings conducted by the stewards:
- D. Photographic device to be used for photographing the finish of all races, name of the person supplying the service, and expiration date of the service contract:
- E. Indicate photo patrol video equipment to be used to record all races, name of the person supplying the service, and expiration date of the service contract. Specify the number and location of cameras for dirt and turf tracks.
- F. Type of electronic timing device to be used for the timing of all races, name of the person supplying the service, and expiration date of the service contract:

14. SECURITY CONTROLS

- A. State the name and title of the person responsible for security controls on the premises. Include an organizational chart of the security department and a list of the names of security personnel and contact telephone numbers.
- B. Estimated number of security guards, gatemen, patrolmen, or others to be engaged in security tasks on a regular full-time basis:

1. Attach a written plan for enhanced security for graded stakes races and races of \$100,000 or more, to include the number of security guards in the restricted areas during a 24-hour period and a plan for detention stalls.
 2. Detention Stalls:
 - a. Attach a plan for use of graded stakes or overnight races.
 - b. Number of security guards in the detention stall area during a 24-hour period.
 - c. Describe number and location of surveillance cameras in detention stall area.
 3. TCO2 Testing:
 - a. Number of races to be tested and number of horses entered in each race to be tested.
 - b. Plan for enhanced surveillance for trainers with high-test results:
 - c. Plan for detention stalls for repeat offenders:
 - d. Number of security personnel assigned to the TCO2 program:
- C. Describe the electronic security system.
1. Location and number of video surveillance cameras for the detention stall and stable gate:

15. EMERGENCY SERVICES

- A. Name, address, and emergency telephone number of ~~the~~each human and horse ambulance service to be used during workouts and during racing:
 1. Attach a certification from ~~the~~each human ambulance service(s) listed in 15.A. certifying that the paramedic staff are licensed with the California Emergency Medical Services Authority.
- B. Name, address, and emergency telephone number of ~~the~~each ambulance service to be used during workouts at auxiliary sites:
 1. Attach a certification from ~~the~~each ambulance service(s) listed in 15.B. certifying that the paramedic staff are licensed with the California Emergency Medical Services Authority.
- C. Describe the on-track first aid facility, including equipment and medical staffing.
- D. Name and emergency telephone number of the licensed physician on duty during the race meeting:
- E. Name, address, and emergency telephone number of the hospital to be used for admittance and treatment of emergency injuries in the event of an on-track injury to

a jockey:

- F. Attach, in English and Spanish, the emergency medical plan procedures that will be posted in each jockey's room to be used in the event of an on-track injury to a jockey.
- G. Names of health and safety manager and assistant manager responsible for compliance of health and safety provisions pursuant to Business and Professions Code section 19481.3(d):
- H. Attach a fire clearance from the fire authority having jurisdiction over the premises.
- I. Name of the workers' compensation insurance carrier for the fair and the number of the insurance policy (if self-insured, provide details):
- J. Attach a Certificate of Insurance for workers' compensation coverage. The CHRB is to be named as a certificate holder and given not less than ten (10) days' notice of any cancellation or termination of insurance that secures the liability of the fair for payment of workers' compensation.

NOTICE TO APPLICANT: Every licensee conducting a horse racing meeting shall, pursuant to Business and Professions Code section 19481.3, maintain, staff, and supply an on-track first aid facility, which may be either permanent or mobile, that shall be staffed and equipped as directed by the Board. A qualified and licensed physician shall be on duty at all times during live racing, except that this provision shall not apply to any Quarter Horse racing at the racetrack if there is a hospital situated no more than 1.5 miles from the racetrack and the racetrack has an agreement with the hospital to provide emergency medical services to jockeys and riders. An ambulance licensed to operate on public highways provided by the track shall be available at all times during live racing and shall be staffed by two (2) emergency medical technicians licensed in accordance with Division 2.5 (commencing with Section 1797) of the Health and Safety Code, one of whom may be an Emergency Medical Technician Paramedic, as defined in Section 1797.84 of the Health and Safety Code. Each racing association and racing fair shall adopt and maintain an emergency medical plan detailing the procedures that shall be used in the event of an on-track injury. The plan shall be posted in each jockey room in English and Spanish. Prior to every race meeting, the racing association or racing fair shall contact area hospitals to coordinate procedures for the rapid admittance and treatment of emergency injuries. Each racing association or racing fair shall designate a health and safety manager and assistant manager, who shall be responsible for compliance with the provisions of this section, and one of whom shall be on duty at all times when live racing is conducted. The health and safety manager may, at the discretion of the racing association, be the person designated to perform risk management duties on behalf of the association.

16. CONCESSIONAIRES AND SERVICE CONTRACTORS

- A. Names and addresses of all persons to whom a concession or service contract has been given, **other than those already identified**, and the goods and/or services to be

provided by each:

- B. Does the fair plan to provide its own concessions? ☐ Yes ☐ No

17. ON- TRACK ATTENDANCE/FAN DEVELOPMENT

- A. Attach a copy of the promotional and marketing plans for the race meeting.
- B. Promotional/Marketing budget for this race meeting:
Promotional/Marketing budget for prior race meeting:
- C. Number of hosts and hostesses employed for meeting:
- D. Describe facilities set aside for new fans.
- E. Describe any improvements to the physical facility in advance of the meeting that directly benefit:
1. Horsemen
 2. Fans
 3. Facilities in the restricted areas

18. SCHEDULE OF CHARGES

- A. List proposed charges. Note any changes from previous year.
Admission (general)
Admission (clubhouse)
Reserved seating (general)
Reserved seating (clubhouse)
Parking (general)
Parking (preferred)
Parking (valet)
Programs (on-track)
(off-track)
- B. Describe any "Season Boxes" or other special accommodation fees.
- C. Describe any "package" plans such as combined parking, admission, and program.

19. JOCKEYS' QUARTERS

- A. Check the applicable amenities available in the jockeys' quarters.
- | | | |
|---|---|--------------------------------------|
| ☐ Corners (lockers and cubicles) | How many | |
| ☐ Showers | ☐ Steam room, sauna, or steam cabinets | ☐ Lounge area |

- ☐ Masseur ☐ Food/beverage service ☐ Certified
platform scale

B. Describe the quarters to be used for female jockeys.

20. BACKSTRETCH EMPLOYEE HOUSING

- A. Inspection of backstretch housing was completed by (name) on (date) .
- B. Number of rooms used for housing on the backstretch of the racetrack:
- C. Number of restrooms available on the backstretch of the racetrack:
- D. Estimated ratio of restrooms to the number of backstretch personnel:

21. TRACK SAFETY

- A. Total distance of the racecourse, measured from the finish line counterclockwise (3' from the inner railing) back to the finish line: feet.
- B. Describe the type of track surface at the facility, including the specific track surface composition.
- C. The percent of cross slope in the straightaways is:
The percent of cross slope in the center of the turns is:
- D. Describe the type(s) of materials used for the inner and outer railings of the race course, the type of inner railing supports (e.g., metal gooseneck, wood 4" x 4" uprights, offset wood 4" x 4" supports, etc.), the coverings, if any, on the top of the inner railing, and the approximate height of the top of the inner railing from the level of the race course.
- E. Name of the person responsible for supervision of the maintenance of the racetrack safety standards pursuant to CHRB Rule 1474:
- F. Attach a Track Safety Maintenance Program pursuant to CHRB Rule 1474.
- G. If the fair is requesting approval to implement alternate methodologies to the provisions of Article 3.5, Track Safety Standards, pursuant to CHRB Rule 1471, attach a Certificate of Insurance for liability insurance that will be in force for the duration of the meeting specified in Section 2. The CHRB is to be named as a certificate holder and given not less than ten (10) days' notice of any cancellation or termination of liability insurance. Additionally, the CHRB must be listed as additionally insured on the liability policy at a minimum amount of \$3 million per incident. The liability insurance certificate must be on file in the CHRB headquarters office prior to the conduct of any racing.

22. DECLARATIONS

- A. All labor agreements, concession and service contracts, and other agreements necessary to conduct the entire meeting have been finalized, except as follows (if no exceptions, so state):
- B. Attach each horsemen's agreement pursuant to CHRB Rule 2044.
- C. Attach an agreement to provide for race-day furosemide administration pursuant to CHRB Rule 1845.
- D. All service contractors and concessionaires have valid state, county, or city licenses authorizing each to engage in the type of service to be provided and have valid labor agreements, when applicable, that remain in effect for the entire term of the meeting, except as follows (if no exceptions, so state):
- E. Absent natural disasters or causes beyond the control of the fair, its service contractors, concessionaires, or horsemen participating at the meeting, no reasons are believed to exist that may result in a stoppage to racing at the meeting or the withholding of any vital service to the fair, except as follows (if no exceptions, so state):

NOTICE TO APPLICANT: Pursuant to CHRB Rule 1870 and Rule 1871, the CHRB shall be given fifteen (15) days' notice in writing of any intention to terminate a horse racing meeting or the engagements or services of any licensee, approved concessionaire, or approved service contractor.

23. CERTIFICATION BY APPLICANT

I hereby certify under penalty of perjury that I have examined this application, that all of the foregoing statements in this application are true and correct, and that I am authorized by the fair to attest to this application on its behalf.

X

Signature

Print Name

Print Title

Date

CALIFORNIA CODE OF REGULATIONS
TITLE 4. BUSINESS REGULATIONS
DIVISION 4. CALIFORNIA HORSE RACING BOARD
ARTICLE 3. RACING ASSOCIATION
PROPOSED AMENDMENT OF RULE 1440,
APPROVAL OF CONCESSIONAIRES

Rule 1440. Approval of Concessionaires.

(a) No guest association, as defined in Article 24, Rule 2056(h) in this Division, or racing association or person licensed by the Board to conduct a horseracing meeting shall engage, contract with, or permit any person or entity to act as a concessionaire for the purpose of providing service to the association in the form of food and beverage service, janitorial service, or racing selection service unless such person or entity providing such service has been approved by the Board.

(b) In order to ~~be approved~~ apply for approval, a person or entity who contracts to act as a concessionaire shall submit to the Board ~~CHRB-87 (Rev. 5/97) Application for License/Contractor or Sub-contractor, Application for Approval/Concessionaire~~ an Application for Approval as a Concessionaire, CHRB-80 (New 02/23), which is hereby incorporated by reference. ~~The completed CHRB-87 shall accompany CHRB-17 Application for License to Conduct a Horseracing Meeting or CHRB-18 Application For License to Conduct a Horseracing Meeting of a California Fair.~~

(c) The initial approval term shall be from the date of Board approval through one year from the last day of the month of approval. Subsequent approval terms shall be from the first day of the month following the last day of the previous approval term, unless complete renewal documents are not received by the Board prior to that day, through one year from the last day of the previous approval.

(d) A person or entity who contracts to act as a concessionaire may apply to renew its approval by submitting to the Board a completed concessionaire renewal form, to be provided by the Board, prior to the end of its current approval. The Board may require the person or entity to submit a new Application for Approval as a Concessionaire if it is deemed that a lapse in approval or change in entity information warrants a new application. shall renew the concessionaire approval, unless the concessionaire provides changes to information contained in its application that result in the application failing to meet the requirements therein.

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

Reference: Sections 19420, 19440 and 19510,
Business and Professions Code.

State of California
CALIFORNIA HORSE RACING BOARD

Application for License/Contractor or Sub-contractor
Application for Approval/Concessionaire

Application is hereby made to the California Horse Racing Board for a license/approval to provide goods or services in connection with a horseracing meeting and/or parimutuel wagering in accordance with the Business and Professions Code, Chapter 4, Division 8 (Horse Racing Law) and the California Code of Regulations, Title 4, Division 4 (Rules and Regulations of the California Horse Racing Board).

(1) Name of applicant entity:

(A) Type of business:

(B) Mailing address:

(C) Telephone number:

(D) Fax number:

(2) Contract/Agreement: (Supply the following information on each contract/agreement):

(A) Names of racing entities with whom you have or intend to have a contract or agreement:

(B) Addresses of racing entities:

(C) Racing entities phone numbers:

(D) Proposed contract dates: From: _____ To: _____ (inclusive):

(E) Location(s) where services or goods are to be delivered:

(F) Describe the goods or services to be provided:

Attach a certified check payable to the Treasurer of the State of California in the amount of \$1,000 for a totalizator company and simulcast service supplier or \$250 for a video production, timing and photo finishing company for the required license fee. Fees are not required for approval as a concessionaire.

CHRB CERTIFICATION

Application filed on: _____	14-day Notice Letter: _____
Fee received by: _____	Approved on: _____
Reviewed by: _____	License number issued: _____

~~(3) THE CONTRACTOR/CONCESSIONAIRE~~

- ~~-(A) The applicant contractor/concessionaire is a:~~
~~Corporation [] Please complete subsections B, C, and D.~~

~~Partnership [] Sole proprietorship [] Other business entity []~~
~~Please complete subsections C and D.~~

All entities must fulfill the instructions for Full Disclosure Statement on Pages 4-6 of this application.

~~-(B) Corporation~~

- ~~(1) The registered name of the corporation:~~
- ~~(2) State where incorporated:~~
- ~~(3) Registry or file number for the corporation:~~
- ~~(4) The names of all officers and directors, their respective offices, and the number of shares of the corporation held by each:~~
- ~~(5) The names (true names if known) of all persons other than the officers and directors heretofore listed holding 5% or more of the outstanding shares in the corporation and the number of shares held by each:~~
- ~~(6) The number of outstanding shares in the corporation:~~
- ~~(7) Are the shares listed for public trading? YES [] NO []~~
~~If YES, on what exchange and how is the stock listed:~~
- ~~(8) Give the name of the custodian of the list of shareholders and/or the transfer agent for the shareholdings of the corporation:~~
- ~~(9) If 100% of the shares are held by a "parent" corporation or are paired with any other corporation or entity, give the name of the parent and/or the paired corporation or entity:~~

California Horse Racing Board – Application for License/Approval

~~Attach the most current annual financial statement for the corporation including balance sheet and profit and loss statement and a copy of the most recent report made to shareholders in the corporation and/or the Securities and Exchange Commission and/or the California Corporations Commission.~~

~~(C) MANAGEMENT AND STAFF OF THE CONTRACTOR/
CONCESSIONAIRE~~

~~(1) The name and title of the managing officer and/or General Manager of the contractor:~~

~~(2) The names and titles of all managers and staff who are employed by the contractor or concessionaire and, who will operate, install or maintain equipment or otherwise provide service on a premises licensed by the California Horse Racing Board:~~

~~(D) THE CONTRACT/AGREEMENT~~

~~(1) Attach a copy of all contract(s)/agreement(s) covered by this application.~~

CERTIFICATION BY APPLICANT

~~I hereby certify under penalty of perjury that I have examined this application, that all of the foregoing statements in this application are true and correct, and that I am authorized by the contractor or concessionaire to attest to this application on its behalf.~~

Name

Signature

Title

Date

INSTRUCTION SHEET FOR FULL DISCLOSURE STATEMENT

Background Information and Ownership

By authority of Chapter 4, Division 8, Sections 19440 and 19480 of the California Business and Professions Code; and in order to allow an evaluation of the competence, integrity, and character of potential licensees, all applicants for license as contractors, sub-contractors and all concessionaires applying for Board approval, including any person, corporation, trust, association, partnership or joint venture which submits an application for license or approval shall comply with the provisions set forth below. Please use a separate sheet of paper to supply the requested information.

I. ~~BACKGROUND INFORMATION~~

~~(A) PERSONAL INFORMATION~~ Application documents must include for each individual who is a director, officer, or partner in the application, or an owner of an interest in the applicant of 5% or more:

- ~~(1) The individual's full name and any previous names or aliases;~~
- ~~(2) the individual's date of birth;~~
- ~~(3) a physical description of the individual;~~
- ~~(4) the individual's business addresses and telephone numbers and~~
- ~~(5) a disclosure of employment, educational and military history for the past 20 years or since the age of 18 years.~~

~~(A1) PERSONAL HISTORY~~ Application documents must include a completed Personal History Record, CHRB-25A, for each individual named in subsection (A) who is a director, officer, or partner in the application or an owner of an interest in the applicant of 5% or more.

~~(B) RELATIONSHIP~~ The application documents must state, for each individual providing information under subsection (A) of this section, whether the individual is related to a member of the California Horse Racing Board or an employee of the Board. A half-relationship or step-relationship is considered to be a familial relationship for purposes of this section.

~~(C) CORPORATIONS~~ If the applicant is a corporation, the application documents must state:

- ~~(1) The state in which the applicant is incorporated and~~
- ~~(2) the name and address of the applicant's agent for service of process in California.~~

~~California Horse Racing Board – Application for License/Approval~~

~~(D) — INDICTMENTS OR CONVICTIONS~~

~~If the applicant is a corporation, the application documents must include a statement disclosing whether the corporation is presently or has ever been indicted or convicted of a criminal offense, e.g., felony or misdemeanor.~~

~~II. — OWNERSHIP~~

~~(A) — IDENTIFICATION AND LOCATION — The application documents must include:~~

- ~~(1) — A list of all names used by the applicant; and~~
- ~~(2) — the name of the agent and the address and telephone number of the office of the applicant for service of process in California.~~

~~(B) — BUSINESS STRUCTURE — The application documents must describe the applicant's business structure and include an organizational chart.~~

~~(C) — ORGANIZERS — If the applicant is not an individual and was organized less than five years before the date on which the application documents are submitted to the Board, the application documents must state:~~

- ~~(1) — The name of each individual who was an organizer or promoter of the applicant;~~
- ~~(2) — the nature and amount of assets, services, or other consideration contributed to the applicant by an organizer or promoter of the applicant; and~~
- ~~(3) — the nature and amount of anything of value given by the applicant to an organizer or promoter of the applicant.~~

~~(D) — ORGANIZATIONAL DOCUMENTS~~

~~(1) — If the applicant is a corporation, the application documents must include:~~

- ~~(a) — A statement of when and in what state the corporation was organized;~~
- ~~(b) — a certified copy of the articles of incorporation and by-laws of the applicant;~~
- ~~(c) — a statement and documentation of whether the corporation has been reorganized or reincorporated during the five year period preceding the date on which the application documents are submitted to the Board; and~~

~~California Horse Racing Board – Application for License/Approval~~

- ~~(d) — a statement and documentation of whether the corporation has filed restated articles of incorporation.~~
- ~~(2) — If the applicant is an unincorporated business association, the application documents must include:~~
 - ~~(a) — A certified copy of each organizational document for the applicant, including any partnership agreement; and~~
 - ~~(b) — a description of any oral agreements involving the organization of the partnership.~~

~~(E) — CAPITAL STOCK~~

- ~~(1) — If the applicant is authorized to issue capital stock, the application documents must include the information required by this section.~~
- ~~(2) — The applicant must state the classes of stock authorized and the total shares of each class authorized. The applicant must state, for each class of stock:~~
 - ~~(a) — The par value, if any;~~
 - ~~(b) — the voting rights;~~
 - ~~(c) — the current rate of dividend; and~~
 - ~~(d) — the number of shares outstanding and the market value of each share.~~
- ~~(3) — The application documents must list the name and address of each person who owns, of record or beneficially, at least 5% of stock. For each person listed under this subsection, the application documents must describe the nature of the person's ownership interest and the person's percentage of the total ownership interest.~~
- ~~(4) — The application documents must include a certified copy of each voting trust or voting agreement in which at least 5% of the capital stock is held and must state:~~
 - ~~(a) — The name and address of each stockholder participating in the trust or agreement;~~
 - ~~(b) — the class of stock involved; and~~
 - ~~(c) — the total number of shares held by the trust or agreement.~~

California Horse Racing Board—Application for License/Approval

~~(F) DIRECTORS, OFFICERS, AND PARTNERS~~

- ~~(1) If the applicant is not an individual, the application documents must include a list of the individuals who are serving or who are designated to serve, during the first year after the date the application documents are submitted to the Board, as a director, officer, or partner of the applicant.~~
- ~~(2) The list must state, for each individual listed under subsection (1) of this section:~~
 - ~~(a) The individual's name and business address;~~
 - ~~(b) each position or office of the applicant held by the individual;~~
 - ~~(c) the individual's principal occupation during the five-year period preceding the date on which the application documents are submitted to the Board; and~~
 - ~~(d) the nature and extent of any ownership interest that the individual has in the applicant.~~
- ~~(3) Application documents must include a completed Personal History Record, CHRB-25A, for each individual named under subsection (1) of this section.~~

~~(G) CONTROLLING ENTITY~~

- ~~(1) The application documents must state whether another entity exercises or is in a position to exercise control in the management or financial affairs of the applicant. The documents must describe the nature of the relationship between the entity and the applicant and the extent of control exercised by the entity.~~
- ~~(2) If a nonindividual entity owns an interest of 5% or more in the applicant, the application documents must include the information required by subsection (1) of this section as it relates to the nonindividual entity.~~
- ~~(3) The application documents must include information required by subsection (2) of this section for each nonindividual entity identified in the application documents to the extent necessary to determine the identity of each individual who is an indirect holder of an ownership interest in the applicant.~~

~~California Horse Racing Board – Application for License/Approval~~

~~(H) — OUTSIDE INTERESTS AND LICENSE HISTORY~~

- ~~(1) — The application must state whether the applicant or a director, officer, or partner of the applicant;~~
- ~~(a) — Has ever held an ownership interest in a licensee of the Board; or~~
- ~~(b) — is currently engaged in the business of racing in another state.~~

STATE OF CALIFORNIA
CALIFORNIA HORSE RACING BOARD (CHRB)
APPLICATION FOR APPROVAL AS A CONCESSIONAIRE
CHRB-80 (New 02/23)

Application is hereby made to the CHRB for an approval to provide goods or services in connection with a horseracing meeting and/or parimutuel wagering in accordance with the Business and Professions Code (BPC), Division 8, Chapter 4 (Horse Racing Law) and the California Code of Regulations, Title 4, Division 4 (CHRB Rules and Regulations).

I. APPLICANT INFORMATION

A. Name of applicant entity:

B. Type of business:

☐ Food and beverage service ☐ Janitorial Service ☐ Racing selection service

C. Mailing address:

D. Telephone number:

E. Email address:

II. AGREEMENTS WITH RACING ENTITIES

A. Names of racing entities with which you have or intend to have a contract/agreement:

B. Addresses of racing entities:

C. Phone numbers of racing entities:

D. Proposed contracts dates:

E. Locations where goods or services are to be delivered:

F. Description of goods or services to be provided:

III. BUSINESS STRUCTURE

A. Applicant entity business structure:

☐ Corporation

☐ Limited liability company ☐ Limited partnership ☐ Sole proprietorship

☐ Other

If corporation, continue to subsection B. Otherwise, continue to subsection C.

B. Corporation

1. Registered name of corporation:

2. State where incorporated:

3. Registry or file number:

4. Names of officers and directors, their respective titles, and number of shares of the corporation held by each:

5. Names (true names, if known) of all persons other than the officers and directors heretofore listed who hold five percent or more of the outstanding shares in the corporation and the number of shares held by each:

6. Number of outstanding shares in the corporation:

7. Are the shares listed for public trading? ☐ Yes ☐ No
If Yes, on which exchange, and how is the stock listed?

8. Name of custodian of list of shareholders and/or transfer agent for shareholdings of corporation:

9. If 100 percent of the shares are held by a parent corporation or are paired with any other corporation or entity, give the name of the parent and/or paired corporation or entity.

C. Management and Staff of Applicant Entity

1. Names and titles of all managers and staff employed by the concessionaire who will operate, install, or maintain equipment or otherwise provide service on a premises licensed by the CHRB:

D. Contracts/Agreements

1. Attach a copy of all contracts/agreements covered by this application.

CERTIFICATION BY APPLICANT

I hereby certify under penalty of perjury that I have examined this application, that all of the foregoing statements in this application are true and correct, and that I am authorized by the concessionaire to attest to this application on its behalf.

Name

Signature

Title

Date

INSTRUCTION SHEET FOR FULL DISCLOSURE STATEMENT

Background Information and Ownership

By authority of Chapter 4, Division 8, sections 19440 and 19480 of the BPC, and in order to allow an evaluation of the competence, integrity, and character of potential licensees, all concessionaires applying for Board approval, including any person, corporation, trust, association, partnership, or joint venture that submits an application for approval, shall comply with the provisions set forth below. Please use a separate sheet of paper to supply the requested information.

I. BACKGROUND INFORMATION

A. PERSONAL INFORMATION—Application documents must include, for each individual who is a director, officer, or partner in the application or an owner of an interest in the applicant of 5% or more, the following:

1. The individual's full name and any previous names or aliases;
2. The individual's date of birth;
3. A physical description of the individual;
4. The individual's business addresses and telephone numbers; and
5. A disclosure of employment and educational and military history for the past 20 years or since the age of 18 years.

B. PERSONAL HISTORY—Application documents must include a completed Personal History Record, CHRB-25A, for each individual named in subsection A who is a director, officer, or partner in the application or an owner of an interest in the applicant of 5% or more.

C. RELATIONSHIP—The application documents must state, for each individual providing information under subsection A of this section, whether the individual is related to a member of the CHRB or an employee of the Board. A half-relationship or step-relationship is considered to be a familial relationship for purposes of this section.

D. CORPORATIONS—If the applicant is a corporation, the application documents must state the following:

1. The state in which the applicant is incorporated; and
2. The name and address of the applicant's agent for service of process in California.

E. INDICTMENTS OR CONVICTIONS

If the applicant is a corporation, the application documents must include a statement disclosing whether the corporation is presently or has ever been indicted or convicted of a criminal offense (i.e., felony or misdemeanor).

II. OWNERSHIP

A. IDENTIFICATION AND LOCATION—The application documents must include the following:

1. A list of all names used by the applicant; and
2. The name of the agent and the address and telephone number of the office of the applicant for service of process in California.

B. BUSINESS STRUCTURE—The application documents must describe the applicant's business structure and include an organizational chart.

C. ORGANIZERS—If the applicant is not an individual and was organized less than five years before the date on which the application documents are submitted to the Board, the application documents must state the following:

1. The name of each individual who was an organizer or promoter of the applicant;
2. The nature and amount of assets, services, or other consideration contributed to the applicant by an organizer or promoter of the applicant; and
3. The nature and amount of anything of value given by the applicant to an organizer or promoter of the applicant.

D. ORGANIZATIONAL DOCUMENTS

1. If the applicant is a corporation, the application documents must include the following:

- a. A statement of when and in which state the corporation was organized;
- b. A certified copy of the articles of incorporation and by-laws of the applicant;
- c. A statement and documentation of whether the corporation has been reorganized or reincorporated during the five-year period preceding the date on which the application documents are submitted to the Board; and
- d. A statement and documentation of whether the corporation has filed restated articles of incorporation.

2. If the applicant is an unincorporated business association, the application documents must include the following:

- a. A certified copy of each organizational document for the applicant, including any partnership agreement; and
- b. A description of any oral agreements involving the organization of the partnership.

E. CAPITAL STOCK

1. If the applicant is authorized to issue capital stock, the application documents must include the information required by this section.

2. The applicant must state the classes of stock authorized and the total shares of each class authorized. The applicant must state, for each class of stock, the following:
 - a. The par value, if any;
 - b. The voting rights;
 - c. The current rate of dividend; and
 - d. The number of shares outstanding and the market value of each share.
3. The application documents must list the name and address of each person who owns, of record or beneficially, at least 5% of stock. For each person listed under this subsection, the application documents must describe the nature of the person's ownership interest and the person's percentage of the total ownership interest.
4. The application documents must include a certified copy of each voting trust or voting agreement in which at least 5% of the capital stock is held and must state the following:
 - a. The name and address of each stockholder participating in the trust or agreement;
 - b. The class of stock involved; and
 - c. The total number of shares held by the trust or agreement.

F. DIRECTORS, OFFICERS, AND PARTNERS

1. If the applicant is not an individual, the application documents must include a list of the individuals who are serving or who are designated to serve, during the first year after the date the application documents are submitted to the Board, as a director, officer, or partner of the applicant.
2. The list must state, for each individual listed under subsection 1 of this section, the following:
 - a. The individual's name and business address;
 - b. Each position or office of the applicant held by the individual;
 - c. The individual's principal occupation during the five-year period preceding the date on which the application documents are submitted to the Board;
and
 - d. The nature and extent of any ownership interest that the individual has in the applicant.
3. Application documents must include a completed Personal History Record, CHRB-25A, for each individual named under subsection 1 of this section.

G. CONTROLLING ENTITY

1. The application documents must state whether another entity exercises or is in a position to exercise control in the management or financial affairs of the applicant. The documents must describe the nature of the relationship between the entity and the applicant and the extent of control exercised by the entity.
2. If a nonindividual entity owns an interest of 5% or more in the applicant, the application documents must include the information required by subsection 1 of this section as it relates to the nonindividual entity.
3. The application documents must include information required by subsection 2 of this section for each nonindividual entity identified in the application documents to the extent necessary to determine the identity of each individual who is an indirect holder of an ownership interest in the applicant.

H. OUTSIDE INTERESTS AND LICENSE HISTORY

1. The application must state whether the any of following holds for the applicant or a director, officer, or partner of the applicant:
 - a. Has ever held an ownership interest in a licensee of the Board; or
 - b. Is currently engaged in the business of racing in another state.

CALIFORNIA CODE OF REGULATIONS
TITLE 4. BUSINESS REGULATIONS
DIVISION 4. CALIFORNIA HORSE RACING BOARD
ARTICLE 3. RACING ASSOCIATION
PROPOSED AMENDMENT OF RULE 1440.5,
LICENSING OF CONTRACTORS AND SUB-CONTRACTORS

Rule 1440.5. Licensing of Contractors and Sub-contractors.

(a) An entity acting in any of the following capacities shall procure the appropriate license by completing and submitting to the Board, ~~CHRB-87 (Rev. 5/97), Application for License/Contractor or Sub-contractor, Application for Approval/Concessionaire~~an Application for License as a Contractor or Sub-contractor, CHRB-81 (New 02/23), which is hereby incorporated by reference, at least ninety (90) calendar days before the date the entity intends to commence business at live race meetings and/or simulcast wagering facilities and pay the required fee as follows:

(1) Totalizator Company.....	\$1,000
(2) Simulcast Service Supplier.....	\$1,000
(3) Video Production Company.....	\$250
(4) Timing Company.....	\$250
(5) Photo Finish Company.....	\$250

~~(b) Every license granted by the Board under this rule shall expire on the last day of the issuance month and is renewable annually. The initial license term shall be from the date of Board approval through one year from the last day of the issuance month. Renewal license terms shall be from the first day of the month following the last day of the previous license term through one year from the last day of the previous license term, unless complete renewal documents are not submitted in a timely fashion.~~

(1) An entity acting as a contractor or sub-contractor pursuant to subsection (a) of this section may apply to renew its license by submitting to the Board a completed contractor renewal form, to be provided by the Board, prior to the end of its current approval. The Board may require the entity to submit a new Application for License as a Contractor or Sub-contractor if it is deemed that a lapse in licensure or change in entity information warrants a new application.

(c) (1) The Board shall notify an applicant in writing within ~~fourteen (14)~~30 calendar days from the receipt date by the Board's Administrative office if its application is complete or deficient. If the application is deficient, the notice shall include:

~~(1) Instructions~~instructions as to what is required of the applicant to complete the application.

~~(2) Instructions for requesting additional time to satisfy the requirements listed in the notification, if needed.~~If the applicant fails to submit all documents needed to complete

the application within one year from the receipt date of the application by the Board, the Board shall purge said application and all documents submitted thereto and require resubmittal of an application if the applicant, thereafter, intends to procure a license pursuant to this section.

(d) The Board shall approve or deny an application within ~~ninety (90)~~60 calendar days from the ~~receipt date~~ the application is deemed complete by the Board ~~unless the applicant requests and is granted additional time to supply information.~~

(e) If the Board denies an application, the applicant has thirty (30) calendar days, from the receipt date of the Board's denial notification, to request a reconsideration of the Board's decision. This request must be in writing and sent to the Board's Administrative office. The Board shall respond in writing to the reconsideration request within thirty (30) working days from the receipt date of the request. If reconsideration is denied, the applicant may file for judicial review in accordance with Section 11523 of the Government Code.

(f) The Board may deny, suspend, or revoke the license on grounds or reasons ~~which~~that include, but are not limited to, the following determinations:

(1) The contractor/sub-contractor is ineligible to conduct business in this state pursuant to any federal or state statute.

(2) The contractor/sub-contractor or any of its officers, directors, partners, or principal management employees have engaged in any activity ~~which~~that is a ~~grounds~~basis for denial, suspension, or revocation of a license pursuant to this Division; or has failed, refused, or neglected to comply with any Board order, rule, or regulation; or order by the Board's Stewards reasonably related to its operations as a contractor/sub-contractor. The license shall remain denied, suspended, or revoked until all parties of the licensee comply with Board conditions. The remaining parties of the licensee shall not be prohibited from applying for a new license if compliance cannot be obtained from the offending party.

(g) If the Board fails to comply with the time frames outlined in this rule, the entity applicant may appeal, in writing, directly to the Board's Executive Director. Upon receipt of an appeal, the Executive Director shall render a decision, in writing to the applicant, within thirty (30) working days. If the appeal is decided in the applicant's favor, the license fee shall be refunded within fourteen (14) working days.

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

Reference: Sections 19510 and 19521,
Business and Professions Code.

STATE OF CALIFORNIA
CALIFORNIA HORSE RACING BOARD (CHRB/Board)
APPLICATION FOR LICENSE AS A CONTRACTOR OR SUB-CONTRACTOR
CHRB-81 (New 02/23)

Application is hereby made to the CHRB for an approval to provide goods or services in connection with a horseracing meeting and/or parimutuel wagering in accordance with the Business and Professions Code (BPC), Division 8, Chapter 4 (Horse Racing Law) and the California Code of Regulations, Title 4, Division 4 (CHRB Rules and Regulations).

I. APPLICANT INFORMATION

A. Name of applicant entity:

B. Type of business:

☐ Totalizator company ☐ Simulcast service supplier
☐ Video production company ☐ Timing company ☐ Photo finish company

Attach certified check payable to Treasurer of the State of California in the amount of \$1,000 for totalizator company or simulcast service supplier or \$250 for video production, timing, or photo finish company for the required license fee.

C. Mailing address:

D. Telephone number:

E. Email address:

II. AGREEMENTS WITH RACING ENTITIES

A. Names of racing entities with which you have or intend to have a contract/agreement:

B. Addresses of racing entities:

C. Phone numbers of racing entities:

D. Proposed contracts dates:

E. Locations where services are to be delivered:

F. Description of services to be provided:

III. BUSINESS STRUCTURE

A. Applicant entity business structure:

☐ Corporation

☐ Limited liability company ☐ Limited partnership ☐ Sole proprietorship

☐ Other

If corporation, continue to subsection B. Otherwise, continue to subsection C.

B. Corporation

1. Registered name of corporation:

2. State were incorporated:

3. Registry or file number:

4. Names of officers and directors, their respective offices, and number of shares of the corporation held by each:

5. Names (true names, if known) of all persons other than the officers and directors heretofore listed who hold five percent or more of the outstanding shares in the corporation and the number of shares held by each:

6. Number of outstanding shares in the corporation:

7. Are the shares listed for public trading? ☐ Yes ☐ No
If Yes, on which exchange, and how is the stock listed?

8. Name of custodian of list of shareholders and/or transfer agent for shareholdings of corporation:

9. If 100 percent of the shares are held by a parent corporation or are paired with any other corporation or entity, give the name of the parent and/or paired corporation or entity.

Attach the most current annual report for the corporation, including balance sheet and profit and loss statement, and a copy of the most recent report made to shareholders in the corporation and/or the Securities and Exchange Commission and/or the California Department of Financial Protection and Innovation.

C. Management and Staff of Applicant Entity

1. Name and title of the managing officer and/or General Manager of the contractor:

2. Names and titles of all managers and staff who are employed by the contractor and will operate, install, or maintain equipment or otherwise provide service on a premises licensed by the CHRB:

D. Contracts/Agreements

1. Attach a copy of all contracts/agreements covered by this application.

CERTIFICATION BY APPLICANT

I hereby certify under penalty of perjury that I have examined this application, that all of the foregoing statements in this application are true and correct, and that I am authorized by the concessionaire to attest to this application on its behalf.

Name

Signature

Title

Date

INSTRUCTION SHEET FOR FULL DISCLOSURE STATEMENT

Background Information and Ownership

By authority of Chapter 4, Division 8, sections 19440 and 19480 of the BPC, and in order to allow an evaluation of the competence, integrity, and character of potential licensees, all applicants for license as contractors and subcontractors, including any person, corporation, trust, association, partnership, or joint venture that submits an application for license, shall comply with the provisions set forth below. Please use a separate sheet of paper to supply the requested information.

I. BACKGROUND INFORMATION

A. PERSONAL INFORMATION—Application documents must include, for each individual who is a director, officer, or partner in the application or an owner of an interest in the applicant of 5% or more, the following:

1. The individual's full name and any previous names or aliases;
2. The individual's date of birth;
3. A physical description of the individual;
4. The individual's business addresses and telephone numbers; and
5. A disclosure of employment and educational and military history for the past 20 years or since the age of 18 years.

B. PERSONAL HISTORY—Application documents must include a completed Personal History Record, CHRB-25A, for each individual named in subsection A who is a director, officer, or partner in the application or an owner of an interest in the applicant of 5% or more.

C. RELATIONSHIP—The application documents must state, for each individual providing information under subsection A of this section, whether the individual is related to a member of the CHRB or an employee of the Board. A half-relationship or step-relationship is considered to be a familial relationship for purposes of this section.

D. CORPORATIONS—If the applicant is a corporation, the application documents must state the following:

1. The state in which the applicant is incorporated; and
2. The name and address of the applicant's agent for service of process in California.

E. INDICTMENTS OR CONVICTIONS

If the applicant is a corporation, the application documents must include a statement disclosing whether the corporation is presently or has ever been indicted or convicted of a criminal offense (i.e., felony or misdemeanor).

II. OWNERSHIP

A. IDENTIFICATION AND LOCATION—The application documents must include the following:

1. A list of all names used by the applicant; and
2. The name of the agent and the address and telephone number of the office of the applicant for service of process in California.

B. BUSINESS STRUCTURE—The application documents must describe the applicant's business structure and include an organizational chart.

C. ORGANIZERS—If the applicant is not an individual and was organized less than five years before the date on which the application documents are submitted to the Board, the application documents must state the following:

1. The name of each individual who was an organizer or promoter of the applicant;
2. The nature and amount of assets, services, or other consideration contributed to the applicant by an organizer or promoter of the applicant; and
3. The nature and amount of anything of value given by the applicant to an organizer or promoter of the applicant.

D. ORGANIZATIONAL DOCUMENTS

1. If the applicant is a corporation, the application documents must include the following:

- a. A statement of when and in which state the corporation was organized;
- b. A certified copy of the articles of incorporation and by-laws of the applicant;
- c. A statement and documentation of whether the corporation has been reorganized or reincorporated during the five-year period preceding the date on which the application documents are submitted to the Board; and
- d. A statement and documentation of whether the corporation has filed restated articles of incorporation.

2. If the applicant is an unincorporated business association, the application documents must include the following:

- a. A certified copy of each organizational document for the applicant, including any partnership agreement; and

- b. A description of any oral agreements involving the organization of the partnership.

E. CAPITAL STOCK

1. If the applicant is authorized to issue capital stock, the application documents must include the information required by this section.
2. The applicant must state the classes of stock authorized and the total shares of each class authorized. The applicant must state, for each class of stock, the following:
 - a. The par value, if any;
 - b. The voting rights;
 - c. The current rate of dividend; and
 - d. The number of shares outstanding and the market value of each share.
3. The application documents must list the name and address of each person who owns, of record or beneficially, at least 5% of stock. For each person listed under this subsection, the application documents must describe the nature of the person's ownership interest and the person's percentage of the total ownership interest.
4. The application documents must include a certified copy of each voting trust or voting agreement in which at least 5% of the capital stock is held and must state the following:
 - a. The name and address of each stockholder participating in the trust or agreement;
 - b. The class of stock involved; and
 - c. The total number of shares held by the trust or agreement.

F. DIRECTORS, OFFICERS, AND PARTNERS

1. If the applicant is not an individual, the application documents must include a list of the individuals who are serving or who are designated to serve, during the first year after the date the application documents are submitted to the Board, as a director, officer, or partner of the applicant.
2. The list must state, for each individual listed under subsection 1 of this section, the following:
 - a. The individual's name and business address;
 - b. Each position or office of the applicant held by the individual;
 - c. The individual's principal occupation during the five-year period preceding the date on which the application documents are submitted to the Board; and

- d. The nature and extent of any ownership interest that the individual has in the applicant.
3. Application documents must include a completed Personal History Record, CHRB-25A, for each individual named under subsection 1 of this section.

G. CONTROLLING ENTITY

1. The application documents must state whether another entity exercises or is in a position to exercise control in the management or financial affairs of the applicant. The documents must describe the nature of the relationship between the entity and the applicant and the extent of control exercised by the entity.
2. If a nonindividual entity owns an interest of 5% or more in the applicant, the application documents must include the information required by subsection 1 of this section as it relates to the nonindividual entity.
3. The application documents must include information required by subsection 2 of this section for each nonindividual entity identified in the application documents to the extent necessary to determine the identity of each individual who is an indirect holder of an ownership interest in the applicant.

H. OUTSIDE INTERESTS AND LICENSE HISTORY

1. The application must state whether any of the following holds for the applicant or a director, officer, or partner of the applicant:
 - a. Has ever held an ownership interest in a licensee of the Board; or
 - b. Is currently engaged in the business of racing in another state.

CALIFORNIA CODE OF REGULATIONS
TITLE 4. BUSINESS REGULATIONS
DIVISION 4. CALIFORNIA HORSE RACING BOARD
ARTICLE 24. INTRASTATE SIMULCAST WAGERING
PROPOSED AMENDMENT OF RULE 2057,
INITIAL APPLICATION AND APPROVAL OF A SIMULCAST FACILITY

2057. ~~Initial~~ Application and Approval of a Simulcast Facility.

No person, which includes any individual, partnership, corporation, or other association or organization, shall conduct or attempt to conduct wagering on the results of races simulcast from a race meeting held in this State unless authorized and permitted to do so by the Board as follows:

(a) A racing association, fair, or other entity proposing to act as a guest association shall complete an Application for Authorization to Operate a Simulcast Wagering Facility, (Form CHRB-25, (Rev. 4/921/23), which is hereby incorporated by reference. Form CHRB-25 shall be available at the Board's administrative office. ~~The application must include a certified check in the amount of \$500.00 payable to the Treasurer of the State of California for a nonrefundable application fee.~~ The application shall be filed with the Board at least ninety (90) days prior to the first day of racing for review, investigation, and approval based on the following conditions:

(1) In order to allow an evaluation of the competence, integrity, and character of the applicant to operate a simulcast wagering facility, any person, corporation, trust association, partnership, or joint venture shall submit with the application, a Personal History Record, (Form CHRB-25A, (Rev. 7/93Rev. 04/23), which is hereby incorporated by reference, for the following:

(A) If the applicant is a corporation, the officers, the directors, and each owner, directly or indirectly, of any equity, security, or other ownership interest in the corporation. However, in the case of owners of publicly held equity securities of a publicly traded corporation, only the names and addresses of those known to the corporation to beneficially own five (5) percent or more of the publicly held securities need be disclosed.

(B) If the applicant is a trust, the trustee and all persons entitled to receive income or benefit from the trust.

(C) If the applicant is an association, the members, officers, and directors.

(D) If the applicant is a subsidiary, the officers, directors, and stockholders of the parent company thereof. However, in the case of owners of a publicly held equity securities of a publicly traded corporation, only the names and addresses of those known to the corporation to beneficially own five (5) percent or more of the publicly held securities need be disclosed.

(E) If the applicant is a partnership or joint venture, all of the general partners, limited partners, or joint venturers.

(F) If the parent company, general partner, limited partner, or joint venturer of any applicant is itself a corporation, trust, association, subsidiary, partnership, or joint venture, then the disclosure of such information, shall be made, as necessary, to determine ultimate ownership. However, in the case of owners of publicly held equity securities of a publicly traded corporation, only the names and addresses of those known to the corporation to beneficially own five (5) percent or more of the publicly held securities need be disclosed.

(G) If the applicant employs a management company, disclosure shall apply to the management as set forth in subsections A through F, as appropriate.

(2) The applicant has executed an agreement with a simulcast organization for the conduct of simulcast wagering at its facility; or may act on its own behalf by contracting with simulcast service suppliers and each individual racing association or fair to act as a guest association. A copy of each signed contract must accompany the application, (Form CHRB-25; (Rev. 4/921/23).

(3) Every licensed simulcast facility shall be inspected by the fire authority having jurisdiction, as dictated by that authority's inspection schedule. After each inspection, a fire clearance by the fire authority must be obtained by the simulcast facility and filed with the Board within ten (10) calendar days of its receipt. This clearance must indicate that the facility meets the standard of fire safety set by the fire authority and that said facility is in compliance with fire safety codes as are applicable in that jurisdiction.

(4) Every simulcast facility shall be equipped with a downlink system consisting of a network broadcast quality satellite receiving antenna coupled with a broadcast specification Ku and/or C band receiver compatible with the encryption system used, with motorized directional control, electrical service, coaxial cabling, or equivalent or industry-accepted cabling, closed-circuit TV monitors and audio system, and a public address system.

(5) The guest association shall provide a patron area for parimutuel wagering and the observation of the satellite signal as received from the host association. The patron area shall be designated on the application by the applicant. Such area shall be the inclosure-public, as defined in Section 2056(j) in this Article, of the simulcast facility. No form of horse racing wagering, either in person, or by the use of runners, messengers, or otherwise, shall be permitted outside the inclosure. All odds data made available to the guest association by the host association shall be displayed at all times. ~~Effective January 1, 1994 for~~ For new facilities, the only offices permitted in restricted parimutuel access areas will be those required for operation of the parimutuel system.

(6) The guest association shall appoint, and have on duty while racing is being conducted, a simulcast facility supervisor or an assistant simulcast facility supervisor as defined in Section 2056 (a) and (n) in this Article.

(7) Every person employed by a guest association within the restricted area of the inclosure, as defined in Section 1420(v) in this Division and Section 2056(j) in this Article, of the simulcast facility is required to be licensed pursuant to Sections 1440 and 1481 in this Division.

(8) Every guest association shall provide security personnel to protect the public and maintain the peace within the simulcast wagering facility. Additionally, the guest association shall maintain such security controls over its inclosure and premises, as defined in Section ~~1420(g)~~1420(g) in this Division, the areas where uplink and downlink equipment is located, fencing, access gates, cables, wires and power lines and warning notifications where uplink and exterior equipment is located, and the equipment room where inside downlink receiving components are located, as the Board's Executive Director or his/her designee shall direct. Guest associations shall also remove, deny access to, eject, or exclude persons as provided by Sections 1980 and 1989 in this Division.

Guest associations shall have the right to request, in writing, that the Chairman of the Board grant a stay from such security controls directed by the Executive Director within seventy-two (72) hours of the directive. If granted, such a stay shall remain in force until an appeal can be considered at the next regularly scheduled public meeting of the Board. An appeal must be submitted, in writing, at least two (2) weeks prior to the meeting date. The directive will be in force until a stay is issued or the Board renders its decision on the appeal. Decisions by the Board shall be final.

(9) No guest association shall conduct wagering on any race or races other than those approved by the Board or simulcast by its host association.

(10) No guest association, except as provided for in Business and Professions Code Section 19605.3, may discontinue its operation nor conduct any activity ~~which~~that would cause interruption of the signal without giving the Board and the host association prior written notice within fifteen (15) calendar days of such discontinuance or other change.

(11) Plans for new, proposed simulcast facility sites or for the remodeling or alteration of existing sites shall be submitted to the Board for review prior to the preparation of construction drawings. The Board shall review and approve said plans relative to security for the parimutuel operations, placement of data lines, and overall compatibility with Board policy and regulation within thirty (30) working days from the date the plans were received. If applicable, the simulcast organization named in the agreement described in (a)(2) of this Section shall be notified by the guest association of the availability of the plans and shall have the right to review them relative to security for the parimutuel operations and placement of data lines and comment to the Board prior to Board approval or denial of the plans.

(12) In the case of a fair, the Department of Food and Agriculture must approve the application pursuant to the provisions of Sections 19605.1, 19605.2, and 19605.6 of the Business and Professions Code. Such approval is not required for the California Exposition and State Fair and the Los Angeles County Fair.

(b) ~~(1)~~ The Board will notify an applicant in writing within ~~fourteen (14)~~ thirty (30) calendar days from the receipt date by the Board's Administrative office if its application is incomplete. This notice will include:

~~(1) Instructions~~ instructions as to what is required of the applicant to complete the application.

~~(2) Instructions for requesting additional time to satisfy the requirements listed in the notification, if needed. If the applicant fails to submit all documents needed to complete the application within one year from the receipt date of the application by the Board, the Board shall purge said application and all documents submitted thereto and require resubmittal of an application if the applicant, thereafter, intends to procure a license pursuant to this section.~~

(c) The Board shall approve or deny an completed application within sixty (60) calendar days from the receipt date the application is deemed complete by the Board ~~unless the applicant requests and is granted additional time to supply information.~~

(d) If the Board denies approval of the application, the applicant has thirty (30) calendar days, from the receipt date of the Board's denial notification, to request a reconsideration of the Board's decision. This request must be in writing and sent to the Board's Administrative office. If reconsideration is denied, the applicant has thirty (30) days to file for Superior Court review in accordance with Section 19463 of the Business and Professions Code.

(e) The approval of the application by the Board shall constitute a license to operate as a simulcast wagering facility, the term of which shall be five years from the date the license is issued, subject to the compliance provisions of Section 19433 of the Business and Professions Code.

~~(f) Subsequent to the issuance of a license to operate as a simulcast wagering facility under this article, if changes or amendments are made to information or operating procedures contained in an Application, the applicant shall submit a written request to the Board for approval of those changes or amendments. will be permitted by order of the Board or by Board approval of a request submitted in writing by the Applicant. The Board shall approve the request, unless said changes or amendments result in the application failing to meet the requirements of this section.~~

(g) Each guest association licensed prior to January 1, ~~2024~~2025, pursuant to subsection (a), shall file a new application, form CHRB-25 (Rev. 10/23), by January 1, ~~2025~~2026, to renew its license.

Authority: Sections 19420, 19440 and 19590,
Business and Professions Code.

Reference: Sections 19410, 19410.5, ~~19460~~, 19433, 19460, 19463, 19601, 19605, 19605.1, 19605.2, 19605.6, 19608, 19608.1 and 19608.2,
Business and Professions Code; and
Sections 15376 and 15378,
Government Code.

STATE OF CALIFORNIA
CALIFORNIA HORSE RACING BOARD
APPLICATION FOR AUTHORIZATION TO OPERATE A SIMULCAST WAGERING FACILITY
CHRB-25 (Rev. 4/921/23)

Application is hereby made to the California Horse Racing Board (CHRB) for authorization to operate a simulcast wagering facility in accordance with the California Business and Professions Code (~~B&P~~BPC), Chapter 4, Division 8 (Horse Racing Law) and the California Code of Regulations, Title 4, Division 4 (CHRB Rules and Regulations).

Attach a certified check payable to the Treasurer of the State of California in the amount of \$500 for the nonrefundable simulcast wagering facility application fee.

1. APPLICANT INFORMATION

- A. Name of applicant association, fair, or tribal facility:
- B. Location of facility (City and County):
- C. Mailing address of association, fair, or tribal facility:
- D. Telephone number:
- E. Name and title of the managing officer or tribal council representative of the applicant association, fair, or tribal facility:
- F. Name of the affiliated (simulcast) organization(s) that will operate the pari-mutuel wagering at the facility:
- G. The regular schedule for operation of the facility will be as follows:
- H. Inclusive date during which the applicant proposes to operate as a simulcast wagering facility during the current racing year:

Application must be filed not later than 90 days before the scheduled start date for operation of the proposed facility pursuant to CHRB Rule 2057.

Notice to Applicant: If approved for license, the term of license shall not exceed five years, pursuant to CHRB Rule 2057.

2. OPERATION OF THE SIMULCAST WAGERING FACILITY

- A. Inclusive hours and days for operation of the facility:
☐ Daily ☐ Wed - Sun ☐ Tues - Sat ☐ Other - specify:

B. Inclusive time periods during the calendar year the facility **will not** be utilized as a simulcast wagering facility:

Exceptions to the foregoing:

C. If approved, wagering will be offered on live race meetings being held or conducted by the following racing associations:

Race Meeting

Breed

Day or Night

D. Dates during which the applicant will conduct or has conducted live horse racing during the current racing year (if none, so state):

3. ELIGIBILITY FOR APPROVAL AS A GUEST ASSOCIATION

A. The applicant association is: ☐ Racing Association ☐ Fair
☐ Tribal Facility ☐ Other Business Entity

Complete the applicable subsection (B, C, or D):. Then continue to E.

B. RACING ASSOCIATION - approval pursuant to ~~B&P Section~~ BPC section 19605.

1. The name under which the association is licensed by the Board:

2. The names and titles of management personnel assigned to the facility:

C. FAIR

1. Approval is requested pursuant to ~~B&P Section~~ BPC section ☐ 19605.1
OR ☐ 19605.2.

2. Correct title of the fair or fair association:

3. Names and titles of the present fair directors:

4. Names and titles of management personnel assigned to the simulcast wagering facility:

D. TRIBAL FACILITY

1. Approval is requested pursuant to the Tribal-State Compact signed on:

2. The name of the tribe under which the Tribal-State Compact was approved:

3. Names and titles of management personnel assigned to the facility:

E. If applicable, names and titles of management personnel comprising management company or other entity operating gaming and simulcast wagering at the facility:

F. Has the management company or other entity been approved by the U.S.U.S. Bureau of Indian Affairs? ☐ Yes ☐ No If yes, the date of that approval:

Notice to Applicant: Changes to management personnel and Simulcast Facility Supervisor(s) must be immediately reported to the Board.

4. CONCESSIONAIRES AND VENDORS

A. The concessionaires, vendors, and other entities providing food service, beverage service, racing selection services, janitorial or custodial service, or other service or supplies within the simulcast wagering facility are (specify the name and type of service or supplies):

B. Other vendors to be permitted to sell products or services outside, but on the premises of, the simulcast wagering facility are:

5. SUPERVISION, SECURITY, AND FIRE PREVENTION

A. The names of all persons to be employed as a Simulcast Facility Supervisor at the simulcast wagering facility:

B. The workers' compensation insurance carrier and the policy number securing the applicant's liability for payment of workers' compensation is (if self-insured, give details):

C. Attach a copy of the Certificate of Insurance.

D. Attach a fire clearance from the fire authority having jurisdiction.

E. The name of the person having responsibility for security controls at the facility is:

F. The number of security officers and/or guards to be regularly employed at the facility is:

G. The police or sheriff's department having jurisdiction for criminal law enforcement over the premises of the facility is:

H. Specify the name, address, and telephone number of the emergency ambulance service the applicant will utilize in event of illness or injury at the facility:_____

I. Does the applicant propose to have emergency medical care available at the facility:

☐ Yes

☐ No

If yes, describe:_____

6. EQUIPMENT PROVIDED BY THE GUEST ASSOCIATION

A. Describe the television equipment (simulcast receivers, decoders, controls, monitors, etc.) to be utilized at the facility:_____

B. Describe the public address equipment (controls, microphones, speakers, etc.) to be utilized at the facility:_____

C. Attach a detailed scale plan of the facility indicating all points of access, emergency exits, and the placement of offices and food and beverage service locations.

7. PARI-MUTUEL EQUIPMENT AND WAGERING SERVICES

A. Describe the pari-mutuel equipment, odds displays, modems or muxes, and method of data transmission to be utilized (include the number of pari-mutuel terminals to be on-site):_____

B. Will the applicant be responsible for maintenance of the pari-mutuel equipment?

☐ Yes

☐ No

C. Describe the method by which patron complaints regarding wagering operation and/or the facility or its employees may be filed:_____

D. Has the applicant made arrangements to provide for the encashment of valid pari-mutuel tickets issued at other facilities or at California race meetings?

☐ Yes

☐ No

8. ADMISSIONS, CHARGES, AND SERVICE FEES

A. The admissions charges are:

Level 1 (Gen. Adm.):
Level 2 (Premium CH):
Level 3 (Membership):

B. Parking Charges are:

Level 1 (General):
Level 2 (Premium):
Level 3 (Valet):

C. Program costs are:

D. Seating costs, if any, are:

9. FOOD AND BEVERAGE SERVICE

A. Describe the food and beverage services to be offered (full meals served; cafeteria-style full meals; short-order counter service; pre-ordered prepared sandwiches and fast foods available; full bar services; barn counters; or other description as appropriate):

B. The seating capacity in the general admission area is:

C. The number of tables in the general admission area is:

D. The seating capacity in the premium area is:

E. The number of tables in the premium area is:

F. Overall square footage in the public general admission area is:

G. Overall square footage in the public premium admission area is:

H. Overall square footage available for "overflow" attendance:

I. Describe occupancy restrictions, if any, imposed by the fire authority having jurisdiction:

J. The total number of parking spaces available in the combined parking areas can accommodate (number of standard sized automobiles):

K. Describe any other activities to be scheduled on or near the facility premises that may have a negative impact on available parking:

10. AGREEMENTS

A. Fair applicants must attach the resolution of its governing body that determined that the conduct of simulcast wagering at its fair facility best serves the interest of the fair.

B. Attach a copy of the agreement between the applicant and the (simulcast) organizations(s) that sets forth therein the duties of the respective parties.

C. Attach a copy of the written consent of the horsemen's organization(s), if applicable, consenting to the acceptance of wagers at the facility.

NOTICES TO APPLICANT

Notice is given to the applicant that its application, if approved by the Board, authorizes the applicant to offer pari-mutuel wagering at its simulcast facility until notified otherwise.

Notice is also given that retention of and control over all moneys generated from pari-mutuel wagering held or conducted at the facility is the responsibility of the (simulcast organization(s) ~~which~~that contract(s) to provide the pari-mutuel equipment and pari-mutuel employees; and that such organization(s) is (are) responsible for its proper distribution in accordance with the law and the rules and regulations of the Board.

Notice is also given that CHRB ~~Rules~~rules 1870 and 1871 require that the Board be given 15 ~~days~~days' notice in writing of any intention to terminate operations, engagements, or services by any licensee, approved concessionaire, or approved service contractor.

11. DECLARATIONS

- A. All labor agreements, concession contracts, service contracts, horsemen's agreements, lease agreements, and agreements with the (simulcast) organization(s) necessary to conduct and operate the simulcast wagering program at the facility have been finalized, except as follows (if there are no exceptions, so state):
- B. All service contractors and concessionaires have valid State, County, or City licenses authorizing each to engage in the type of service to be provided and have valid labor agreements (when applicable) ~~which~~that remain in effect for the entire term of the approval, except as follows (if there are no exceptions, so state):
- C. Absent natural disasters or causes beyond the control of the applicant, its service contractors, concessionaires, or employees engaged at the facility, no reasons are believed to exist that may result in a stoppage to the conduct of pari-mutuel wagering at the facility or the withholding of any vital service to the applicant, except as follows (if there are no exceptions, so state):

12. CERTIFICATION BY APPLICANT

I hereby certify under penalty of perjury that I have examined this application, that all of the foregoing statements in this application are true and correct, and that I am authorized by the applicant to attest to this application on its behalf.

Print Name

Signature

Print Title

Date

INSTRUCTION SHEET FOR FULL DISCLOSURE STATEMENT

Background Information and Ownership

By authority of Article 9.2, of the California B&P Business and Professions Code; and the Federal Indian Gaming Act, in order to allow an evaluation of the competence, integrity, and character of potential simulcast facility operators authorized by the CHRB, any person, corporation, trust association, partnership, joint venture, or management firm ~~who~~that submits an application for such authorization or ~~who~~that is named in such application and ~~who~~that is not a State or County entity, or has not previously completed such disclosure when filing for a horseracing application pursuant to Article 4, Section 19480 of the California B&P Business and Professions Code, shall be required to complete and submit a full disclosure statement.

I. BACKGROUND INFORMATION

A. PERSONAL INFORMATION—Application documents must include, for each individual who is a director, officer, or partner in the application or an owner of an interest in the applicant of 5% or more, the following:

1. The individual's full name and any previous names or aliases;
2. The individual's date of birth;
3. A physical description of the individual;
4. The individual's business addresses and telephone numbers; and
5. A disclosure of employment and educational and military history for the past 20 years or since the age of 18 years.

B. PERSONAL HISTORY—Application documents must include a completed Personal History Record, CHRB-25A, for each individual named in subsection A who is a director, officer, or partner in the application or an owner of an interest in the applicant of 5% or more.

C. RELATIONSHIP—The application documents must state, for each individual providing information under subsection A of this section, whether the individual is related to a member of the CHRB or an employee of the Board. A half-relationship or step-relationship is considered to be a familial relationship for purposes of this section.

D. CORPORATIONS—If the applicant is a corporation, the application documents must state the following:

1. The state in which the applicant is incorporated; and
2. The name and address of the applicant's agent for service of process in California.

E. INDICTMENTS OR CONVICTIONS

If the applicant is a corporation, the application documents must include a statement disclosing whether the corporation is presently or has ever been indicted or convicted of a criminal offense (i.e., felony or misdemeanor).

II. OWNERSHIP

A. IDENTIFICATION AND LOCATION—The application documents must include the following:

1. A list of all names used by the applicant; and
2. The name of the agent and the address and telephone number of the office of the applicant for service of process in California.

B. BUSINESS STRUCTURE—The application documents must describe the applicant's business structure and include an organizational chart.

C. ORGANIZERS—If the applicant is not an individual and was organized less than five years before the date on which the application documents are submitted to the Board, the application documents must state the following:

1. The name of each individual who was an organizer or promoter of the applicant;
2. The nature and amount of assets, services, or other consideration contributed to the applicant by an organizer or promoter of the applicant; and
3. The nature and amount of anything of value given by the applicant to an organizer or promoter of the applicant.

D. ORGANIZATIONAL DOCUMENTS

1. If the applicant is a corporation, the application documents must include the following:

- a. A statement of when and in which state the corporation was organized;
- b. A certified copy of the articles of incorporation and by-laws of the applicant;
- c. A statement and documentation of whether the corporation has been reorganized or reincorporated during the five-year period preceding the date on which the application documents are submitted to the Board; and
- d. A statement and documentation of whether the corporation has filed restated articles of incorporation.

2. If the applicant is an unincorporated business association, the application documents must include the following:

- a. A certified copy of each organizational document for the applicant, including any partnership agreement; and
- b. A description of any oral agreements involving the organization of the partnership.

E. CAPITAL STOCK

1. If the applicant is authorized to issue capital stock, the application documents must include the information required by this section.
2. The applicant must state the classes of stock authorized and the total shares of each class authorized. The applicant must state, for each class of stock, the following:
 - a. The par value, if any;
 - b. The voting rights;
 - c. The current rate of dividend; and
 - d. The number of shares outstanding and the market value of each share.
3. The application documents must list the name and address of each person who owns, of record or beneficially, at least 5% of stock. For each person listed under this subsection, the application documents must describe the nature of the person's ownership interest and the person's percentage of the total ownership interest.
4. The application documents must include a certified copy of each voting trust or voting agreement in which at least 5% of the capital stock is held and must state the following:
 - a. The name and address of each stockholder participating in the trust or agreement;
 - b. The class of stock involved; and
 - c. The total number of shares held by the trust or agreement.

F. DIRECTORS, OFFICERS, AND PARTNERS

1. If the applicant is not an individual, the application documents must include a list of the individuals who are serving or who are designated to serve, during the first year after the date the application documents are submitted to the Board, as a director, officer, or partner of the applicant.
2. The list must state, for each individual listed under subsection 1 of this section, the following:
 - a. The individual's name and business address;
 - b. Each position or office of the applicant held by the individual;
 - c. The individual's principal occupation during the five-year period preceding the date on which the application documents are submitted to the Board; and
 - d. The nature and extent of any ownership interest that the individual has in the applicant.

3. Application documents must include a completed Personal History Record, CHRB-25A, for each individual named under subsection 1 of this section.

G. CONTROLLING ENTITY

1. The application documents must state whether another entity exercises or is in a position to exercise control in the management or financial affairs of the applicant. The documents must describe the nature of the relationship between the entity and the applicant and the extent of control exercised by the entity.
2. If a nonindividual entity owns an interest of 5% or more in the applicant, the application documents must include the information required by subsection 1 of this section as it relates to the nonindividual entity.
3. The application documents must include information required by subsection 2 of this section for each nonindividual entity identified in the application documents to the extent necessary to determine the identity of each individual who is an indirect holder of an ownership interest in the applicant.

H. OUTSIDE INTERESTS AND LICENSE HISTORY

1. The application must state whether the any of following holds for the applicant or a director, officer, or partner of the applicant:
 - a. Has ever held an ownership interest in a licensee of the Board; or
 - b. Is currently engaged in the business of racing in another state.

CALIFORNIA CODE OF REGULATIONS
TITLE 4. BUSINESS REGULATIONS
DIVISION 4. CALIFORNIA HORSE RACING BOARD
ARTICLE 24. INTRASTATE SIMULCAST WAGERING
PROPOSED AMENDMENT OF RULE 2059,
INITIAL APPLICATION AND APPROVAL OF A SIMULCAST ORGANIZATION

2059. Initial Application and Approval of a Simulcast Organization.

(a) Any association, fair, entity, or person proposing to act as a simulcast organization shall file an Application for Approval to Operate a Simulcast Organization, (~~Form~~ CHRB-34, (Rev. ~~4/94~~3/23), which is hereby incorporated by reference, with the Board for approval based on the following conditions:

(1) The applicant is an entity authorized by law to conduct business in this state.

(2) The applicant establishes its banking accounts with an insured institution, has a principal office in California for the conduct of its business, retains a certified public account to conduct an annual audit of its financial statements or operations, agrees to submit an annual financial statement of its operations to the Board, and agrees to the inspection of its accounts and financial records by the Board or its agents.

(3) The applicant demonstrates, by including a copy of the organization's charter, articles, or bylaws with the application (~~Form CHRB-34~~, form CHRB-34 (Rev. ~~4/94~~3/23), that it offers meaningful representation on its governing board to any non-racing fair or any horsemen's organization as provided in Section 19608.2 of the Business and Professions Code.

(4) The governing board of the applicant organization must hold one public meeting during each calendar year. At least fifteen (15) calendar days prior notice must be given in the Daily Racing Form or other newspaper of general circulation for the purpose of reporting the organization's activities and for receiving public comments as to its simulcasting operations. The simulcast organization shall give fifteen (15) calendar days prior notice, in writing, to its associations, and fairs, ~~and~~ the horsemen's organizations eligible to vote at the simulcast organization's governing board meeting, and the Board of any simulcast organization meeting. The organization shall maintain a minute record of the proceedings of its governing board.

(b) (1) The Board will notify an applicant in writing within ~~fourteen (14)~~30 calendar days from the receipt date by the Board's Administrative office if its application is incomplete. This notice will include:

~~(1)~~ Instructions ~~instructions~~ as to what is required of the applicant to complete the application.

~~(2) Instructions for requesting additional time to satisfy the requirements listed in the notification, if needed. If the applicant fails to submit all documents needed to complete the application within one year from the receipt date of the application by the Board, the Board shall purge said application and all documents submitted thereto and require resubmittal of an application if the applicant, thereafter, intends to apply for approval pursuant to this section.~~

(c) The Board will approve or deny an ~~completed~~ application within sixty (60) calendar days from the ~~receipt date~~ the application is deemed complete by the Board. The Board may withdraw, suspend, or revoke its approval on grounds or reasons ~~which~~ that include, but are not limited to, the following determinations:

(1) The simulcast organization is ineligible to conduct business in this state pursuant to any federal or state statute.

(2) The simulcast organization or any of its officers, directors, partners, or principal management employees have engaged in any activity ~~which~~ that is a ~~ground~~ basis for denial, suspension, or revocation of a license pursuant to this Division, or has failed, refused, or neglected to comply with any Board order, rule, regulation, or order by the Board's stewards reasonably related to its operations as a simulcast organization. The approval shall remain denied, suspended, or revoked until all parties of the organization comply with Board conditions. The remaining parties of the organization shall not be prohibited from applying for a new approval if compliance cannot be obtained from the offending party.

(3) The simulcast organization has failed, refused, or neglected to perform any duty imposed by this Division or by the provisions of Sections 19608.2, 19605.7, 19605.71, or 19608.4 of the Business and Professions Code.

Authority: Sections 19420, 19440 and 19590,
Business and Professions Code.

Reference: Sections 19608.2 and 19608.4,
Business and Professions Code; and
Sections 15376 and 15378,
Government Code.

STATE OF CALIFORNIA
CALIFORNIA HORSE RACING BOARD
APPLICATION FOR APPROVAL TO OPERATE A SIMULCAST ORGANIZATION
CHRB-34 (Rev. ~~1/91~~3/23)

Application is hereby made to the California Horse Racing Board (Board) for approval of an organization formed to operate an audiovisual signal system as provided by Section 19608.2 of the Business and Professions Code and pursuant to applicable provisions in Title 4, California Code of Regulations.

1. APPLICANT INFORMATION

~~(1)~~A. Name of Simulcast Organization:

~~(2)~~B. Business Address:

~~(3)~~C. Telephone Number(s):

~~(4)~~D. Name of Managing Officer:

~~(5)~~E. The organization has been formed by the following associations and fairs providing audiovisual signals:

~~(6)~~F. The business structure of the organization is a:

- ~~(☐)~~ ~~sole~~Sole proprietorship
~~(☐)~~ ~~general~~General partnership
~~(☐)~~ ~~limited~~Limited partnership
~~(☐)~~ ~~corporation~~Corporation
~~(☐)~~ ~~other~~Other (describe):

G. For an original application only (not required for renewal), attach as Exhibit A, a copy of any partnership agreement, registry with the Secretary of State, filing of fictitious name, constitution and bylaws of the corporation, and other documents supporting a determination that the business entity is entitled to do business in the State of California. -Any change to the business entity during the term of Board approval must be reported to the Board in writing within 30 calendar days of the change.

CALIFORNIA CODE OF REGULATIONS
TITLE 4. BUSINESS REGULATIONS
DIVISION 4. CALIFORNIA HORSE RACING BOARD
ARTICLE 25.5. MINISATELLITE WAGERING
PROPOSED AMENDMENT OF RULE 2066, APPLICATION FOR LICENSE TO
OPERATE A MINISATELLITE WAGERING FACILITY

2066. Application for License to Operate a Minisatellite Wagering Facility.

(a) An applicant for license to operate a minisatellite wagering facility shall complete an Application for License to Operate a Minisatellite Wagering Facility, CHRB-228 (Rev. 04/22), hereby incorporated by reference, which is available at the Board's headquarters office. Note: CHRB-228 incorporates by reference the Personal History Record, CHRB-25A (Rev. ~~9/08~~^{04/23}). The application must be filed not later than 90 days in advance of the scheduled start date of operation. The application must include a certified check in the amount of \$500.00 payable to the Treasurer of the State of California for a nonrefundable application fee. The term of the license shall be five years from the date the license is issued.

(b) The Board may conduct investigations or inspections or request additional information from the applicant as it deems appropriate in determining whether to approve the license.

(1) Upon the written request of the applicant, the Board may waive the requirement for submission of a Full Disclosure Statement and CHRB-25A for persons who have a current valid state gambling license and/or finding of suitability issued by the California Gambling Control Commission.

(c) The Board, or its designee, shall be given access for review and audit of all records. The applicant shall, at its location during hours of operation, make such information available. The Board may require the applicant to annually submit audited financial statements.

(d) All advertisements shall contain a statement that persons under 21 are not allowed access to the minisatellite wagering site. All advertisements shall contain contact information for a recognized problem-gambling support organization.

(e) (1) The Board shall notify the applicant in writing within 30 calendar days from the date the application is received by the Board's administrative office if the application is complete or deficient. If the application is deficient, the notice shall include:

~~(1) Instructions~~ instructions as to what is required of the applicant to complete the application.

~~(2) Instructions for requesting additional time to satisfy the requirements listed in the notification, if needed.~~ If the applicant fails to submit all documents needed to complete the application within one year from the receipt date of the application by the Board, the

Board shall purge said application and all documents submitted thereto and require resubmittal of an application if the applicant, thereafter, intends to procure a license pursuant to this section.

(f) The Board shall approve or deny an application within ~~90~~60 calendar days from the date it is received~~the application is deemed complete~~ by the Board~~unless the applicant requests and is granted additional time to supply information.~~

(g) If the Board denies an application, the applicant has 30 calendar days from the date of receipt of the Board's denial notification to request a reconsideration of the Board's decision. The request must be in writing and sent to the Board's headquarters office. The Board shall respond in writing to the reconsideration request within 30 working days from the date of receipt of the request. If reconsideration is denied, the applicant may file for judicial review in accordance with Business and Professions Code section 19463.

(h) After a license to operate a minisatellite wagering facility is issued under this article, changes or amendments to information or operating procedures contained in the application for the license will be permitted by order of the Board or by Board approval of a request submitted in writing by the applicant.

Authority: Sections 19420, 19440 and 19605.25,
Business and Professions Code.

Reference: Sections 19410.7, 19460 and 19605.25,
Business and Professions Code.

CALIFORNIA CODE OF REGULATIONS
TITLE 4. BUSINESS REGULATIONS
DIVISION 4. CALIFORNIA HORSE RACING BOARD
ARTICLE 26. ADVANCE DEPOSIT WAGERING
PROPOSED AMENDMENT OF
RULE 2071. LICENSE TO CONDUCT ADVANCE DEPOSIT WAGERING BY A
CALIFORNIA APPLICANT

2071. License to Conduct Advance Deposit Wagering by a California Applicant.

(a) Prior to an Account being established or wagering being conducted, the Applicant located in California must be licensed by the Board. All licenses granted shall be subject to the provisions of Business and Professions Code section 19460 et. seq.

(b) An Applicant for license shall complete an Application for License to Conduct Advance Deposit Wagering, CHRB-132 (Rev. ~~02/19~~12/22), hereby incorporated by reference, which is available at the Board's administrative office. The Application must be filed not later than 90 days in advance of the scheduled start date of operation. A bond from a surety company admitted in the state of California or other form of financial security in the amount of \$500,000 must accompany the Application. The term of the license shall be two years from the date the license is issued.

(c) Applicants shall establish security access policies and safeguards pursuant to Business and Professions Code section 19604.

(d) Applicants that accept wagers from California residents shall provide a full accounting and verification of the source of the wagers, and a detailed wagering information file that includes, but is not limited to, dollar amount wagered, pool on which the wager was placed, race number and racing venue, zone, breed, zip code of the Account Holder, time wagering stopped, and time of the wager in the form of a daily download of pari-mutuel data to the ~~Board-designated~~Board-designated database, CHRIMS, Inc., that is compatible with a Comma Delimited Text File.

(e) Applicants shall provide financial information that demonstrates the financial resources to operate Advance Deposit Wagering and provide a detailed budget that shows anticipated revenue, expenditures, and cash flows by month projected for the term of the license.

(f) The Board may conduct investigations, or inspections or request additional information from the Applicant as it deems appropriate in determining whether to approve the license.

(g) The Board, or its designee, shall be given access for review and audit of all records. The Applicant shall, at their location during hours of operation, make such information available. The Board may require the Applicant to annually submit audited financial statements.

(h) All advertisements shall contain a statement that persons under 18 are not allowed to open or have access to Accounts. All advertisements shall contain contact information for a recognized problem-gambling support organization.

(i) Applicants shall enter into a written contractual agreement with the bona fide labor organization that has historically represented the same or similar classifications of employees at the nearest horse racing meeting.

(j) (1) The Board shall notify the Applicant in writing within 30 calendar days from the receipt date by the Board's administrative office if the Application is complete or deficient. If the Application is deficient, the notice shall include:

~~(1)~~ ~~Instructions~~instructions as to what is required of the Applicant to complete the Application.

~~(2) Instructions for requesting additional time to satisfy the requirements listed in the notification, if needed. If the applicant fails to submit all documents needed to complete the application within one year from the receipt date of the application by the Board, the Board shall purge said application and all documents submitted thereto and require resubmittal of an application if the applicant, thereafter, intends to procure a license pursuant to this section.~~

(k) The Board shall approve or deny an Application within ~~90~~60 calendar days from the receipt date ~~the Application is deemed complete by the Board unless the Applicant requests and is granted additional time to supply information.~~

(l) If the Board denies an Application, the Applicant has 30 calendar days, from the receipt date of the Board's denial notification, to request a reconsideration of the Board's decision. The request must be in writing and sent to the Board's administrative office. The Board shall respond in writing to the reconsideration request within 30 working days from the receipt date of the request. If reconsideration is denied, the Applicant may file for judicial review in accordance with section 11523 of the Government Code.

(m) Subsequent to the issuance of a license to conduct Advance Deposit Wagering under this article, changes or amendments to information or operating procedures contained in an Application will be permitted by order of the Board or by Board approval of a request submitted in writing by the Applicant.

Authority: Sections 19440 and 19590,
Business and Professions Code.

Reference: Sections 19460 and 19604,
Business and Professions Code.

STATE OF CALIFORNIA
CALIFORNIA HORSE RACING BOARD (CHRB)
APPLICATION FOR LICENSE TO CONDUCT ADVANCE DEPOSIT WAGERING
CHRB-132 (Rev. ~~02/19~~12/22)

Application is made to the CHRB for a license to conduct Advance Deposit Wagering in accordance with the California Business and Professions Code and CHRB Rules and Regulations (Rule) and the provisions of the Interstate Horseracing Act, 15 U.S.C. 3001 to 3007.

Application must be filed not later than 90 days in advance of the date scheduled to conduct Advance Deposit Wagering and must be accompanied by a bond from a surety company admitted in the state of California or other form of financial security in the amount of \$500,000.

1. APPLICANT

- A. ☐ Racing Association (Licensee) ☐ Racing Fair (Licensee)
- ☐ Betting System ☐ CA Multi-jurisdictional Wagering Hub (CA Hub)
- B. Name, mailing address, and telephone and fax numbers:
- C. Name, title, and CHRB license number of all management personnel directly involved in the management of advance deposit wagering operations:

Name and title	License Number

NOTICE — All management personnel must be ~~CHRB licensed~~CHRB-licensed.

- D. Racing Fairs are not required to complete Section 3, Business Structure.
- ~~E. Betting Systems and CA Hubs — attach the contract with the Licensee and the required horsemen's approval under the Interstate Horseracing Act that permits you to provide Advance Deposit Wagering services and identify the amount of the market access fee to be paid to the Licensee for access to the California market for wagering purposes.~~

E. Betting Systems and CA Hubs - attach the contract with the Licensee and/or horsemen's organization, pursuant to Business and Professions Code section 19604(b)(2)(B), that permits you to provide advance deposit wagering services on races conducted outside of California for a specific breed of horse.

Note: Applicant may accept wagers on races conducted by a Licensee if the Board approves a race meet application submitted by the Licensee that includes an agreement allowing Applicant to accept wagers on the races pertaining to the race meet application, along with the appropriate horsemen's approval, pursuant to Business and Professions Code section 19604(b)(1).

2. DATES OF OPERATION

A. Dates Advance Deposit Wagering will be conducted:

B. Hours Advance Deposit Wagering will be conducted:

3. BUSINESS STRUCTURE

A. ☐ Corporation (complete subsection B)

☐ LLC (complete subsection C)

☐ Other (specify, and complete subsection D)

Complete the applicable subsection.

B. CORPORATION

1. Registered name of the corporation:

2. State where incorporated:

3. Registry or file number for the corporation:

4. List Names~~names~~ and CHRB license numbers of all officers and directors. Include titles, and number of shares of the corporation held by each.

5. List Names~~names~~ (true names) of all persons, **other than the officers and directors listed above**, that hold 5% or more of the outstanding shares in the corporation and the number of shares held by each. –Include each person's CHRB license number (Notice: per Rule 1481, all persons that hold 5% or more of outstanding shares must hold a CHRB license-);.

6. Number of outstanding shares in the corporation:

7. Are the shares listed for public trading? ☐ Yes ☐ No
If yes, on ~~what~~which exchange, and how is the stock listed?;
8. Name of the custodian of the list of shareholders and/or the transfer agent for the share holdings of the corporation:
9. If more than 50% of the shares are held by a parent corporation or are paired with any other corporation or entity, give the name of the parent and/or paired corporation or entity?;
10. Attach the prior two years' annual financial statements for the corporation, including balance sheets and profit and loss statements, and a copy of all reports issued during the preceding 24 months to shareholders in the corporation and/or the Securities and Exchange Commission and/or the Department of ~~Business Oversight~~Financial Protection and Innovation.
11. Applicants not previously licensed by the CHRB to conduct ADW, proceed to subsection 12. Applicants previously licensed by the CHRB to conduct ADW: Attach the prior two years' annual profit and loss statements for the California ADW operations only. Include the methodology used to determine the cost allocation for the profit and loss statements.
12. Attach a business plan ~~to that~~that includes a detailed budget ~~that shows~~showing anticipated revenue, expenditures, and cash flow by month projected for the term of the license.

C. LLC

1. Registered name of the LLC:
2. State where articles of organization are filed:
3. Registry or file number for the LLC:
4. ~~List Names~~names and CHRB license numbers of all officers and directors. Include titles, and the ~~number of shares of the LLC~~membership interest held by each?;
5. ~~List Names~~names (true names) of all members, **other than the officers and directors listed above**, that hold a 5% or more of the outstanding shares~~membership interest~~ in the LLC and the ~~number of shares~~membership interest held by each. Include each person's CHRB license number ~~(Notice: per Rule 1481, all persons that hold 5% or more of outstanding shares must hold a CHRB license.)~~;.
6. ~~Are the shares listed for public trading? ☐ Yes ☐ No~~
~~If yes, on what exchange and how is the stock listed:~~

76. ~~If more than 50% of the shares are~~ a membership interest greater than 50% is held by a parent corporation or ~~are~~ is paired with any other corporation or entity, give the name of the parent and/or paired corporation or entity.
87. Attach the prior two years' annual financial statements for the LLC, including balance sheets and profit and loss statements, and a copy of all reports issued during the preceding 24 months to ~~shareholders~~ members in the LLC and/or the ~~Securities and Exchange Commission and/or the Department of Business Oversight~~ Financial Protection and Innovation.
98. Applicants not previously licensed by the CHRB to conduct ADW, proceed to subsection 409. Applicants previously licensed by the CHRB to conduct ADW: Attach the prior two years' annual profit and loss statements for the California ADW operations only. -Include the methodology used to determine the cost allocation for the profit and loss statements.
409. Attach a business plan ~~to that~~ includes a detailed budget ~~that shows~~ showing anticipated revenue, expenditures, and cash flow by month projected for the term of the license.

D. OTHER

1. Name(s) of partners/sole proprietor:
2. If a partnership, attach partnership agreement.
3. Attach the prior two years' annual financial statements for the partnership/sole proprietorship. Include balance sheets, ~~and~~ profit and loss statements, and a copy of all reports issued during the preceding 24 months to ~~shareholders~~ partners and/or the ~~Securities and Exchange Commission, and/or the Department of Business Oversight~~ Financial Protection and Innovation, if required.
4. Applicants not previously licensed by the CHRB to conduct ADW, proceed to subsection 5. Applicants previously licensed by the CHRB to conduct ADW: Attach the prior two years' annual profit and loss statements for the California ADW operations only. -Include the methodology used to determine the cost allocation for the profit and loss statements.
5. Attach a business plan ~~to that~~ includes a detailed budget ~~that shows~~ showing anticipated revenue, expenditures, and cash flow by month projected for the term of the license.

4. ESTABLISHING ADVANCE DEPOSIT WAGERING ACCOUNTS – must comply with Rule 2074.

- A. List the procedures to establish an Account:.
- B. If an application form is used to establish an Account, attach a copy of the form.
- C. Name and address of the third party you will use to verify identity, residence, and age-verification:

5. OPERATION OF ADVANCE DEPOSIT WAGERING ACCOUNTS – must comply with Rule 2073.

- A. Submit a copy of your plan for operation.
- B. List the type of deposits you will accept:.
- C. Identify any fees or transaction-related charges and the amount that will be assessed:.

6. SECURITY ACCESS

- A. Attach your security access policy and safeguards pursuant to Business and Professions Code section 19604(c)(2). -Policy must include the following:
 - 1. Description of the technology to ensure identity, residence, and age verification when an Account is established:
 - 2. Description of the technology to ensure confidentiality of the Means of Personal Identification:
 - 3. Methods and locations available for Account Holders to withdraw funds from their Account:
 - 4. If the Advance Deposit Wagering records will be maintained at a site other than the ~~applicant's~~ applicant's, provide the name, address, telephone and fax numbers, and the hours of operation:.

7. PARI-MUTUEL

- A. Name, address, and telephone number of the pari-mutuel audit firm:
- B. Type(s) of pari-mutuel or totalizator equipment to be used and the simulcast organization, name of the entity supplying equipment, and expiration date of the service contract:
- C. List the locations of the racing venues on which Advance Deposit Wagering will be accepted:.

NOTICE – The pari-mutuel system used must use a device or combination of devices authorized and operated exclusively for placing, receiving, or otherwise making a wager and by which a person must subscribe to in order to place, receive, or otherwise make a wager; an effective customer and age verification system; and the appropriate data security standards to prevent unauthorized access by any person who has not subscribed or who is under the age of 18.

8. CONTRACTS AND AGREEMENTS

- A. List name and address of all organizations you will contract with to facilitate Advance Deposit Wagering that are not provided in other sections of this application:
- B. List each contract or agreement to facilitate Advance Deposit Wagering that is not finalized and signed:

NOTICE – Pursuant to Business and Professions Code section 19604(c)(1), you must contract with the bona fide labor organization that has historically represented the same or similar classifications of employees at the nearest horse racing meeting.

9. ADVERTISING

Name and address of the advertising agency you will use:

NOTICE – Pursuant to Rule 2071(h), all advertisements shall contain a statement that persons under 18 are not allowed to open or have access to Accounts. -All advertisements shall contain contact information for a recognized problem-gambling support organization. Additionally, pursuant to Business and Professions Code section 19604(d)(3), advertisements shall not be deceptive to the public.

10. CERTIFICATION

I hereby certify under penalty of perjury that I have examined this Application, that all the foregoing statements in this Application are true and correct, and that I am authorized to attest to this Application.

X

Signature

Print Name

Print Title

Date

CALIFORNIA CODE OF REGULATIONS
TITLE 4. BUSINESS REGULATIONS
DIVISION 4. CALIFORNIA HORSE RACING BOARD
ARTICLE 26. ADVANCE DEPOSIT WAGERING
PROPOSED AMENDMENT OF RULE 2072, APPROVAL TO CONDUCT ADVANCE
DEPOSIT WAGERING BY AN OUT-OF-STATE APPLICANT

2072. Approval to Conduct Advance Deposit Wagering by an Out-of-State Applicant.

(a) Prior to an Account being established or wagering being conducted, the Applicant located out-of-state must be Board-approved. All approvals granted shall be subject to the provisions of Business and Professions Code section 19460 et. seq.

(b) An out-of-state Applicant shall complete an Application For Approval to Conduct Advance Deposit Wagering, CHRB-133 (Rev. ~~02/19~~12/22), hereby incorporated by reference, which is available at the Board's administrative office. The Application must be filed not later than 90 days in advance of the scheduled start date of operation. A bond from a surety company admitted in the state of California or other form of financial security in the amount of \$500,000 must accompany the Application. The term of approval is two years from the date the approval is issued.

(c) Out-of-state Applicants shall establish security access policies and safeguards pursuant to Business and Professions Code section 19604.

(d) Out-of-state Applicants that accept wagers from California residents shall provide a full accounting and verification of the source of the wagers, and a detailed wagering information file that includes, but is not limited to, dollar amount wagered, pool on which the wager was placed, race number and racing venue, zone, breed, zip code of the Account Holder, time wagering stopped, and time of the wager in the form of a daily download of pari-mutuel data to the ~~Board-designated~~Board-designated database, CHRIMS, Inc., that is compatible with a Comma Delimited Text File.

(e) Out-of-state Applicants shall provide financial information that demonstrates the financial resources to operate Advance Deposit Wagering and provide a detailed budget that shows anticipated revenue, expenditures, and cash flows by month projected for the term of the approval.

(f) The Board may conduct investigations, or inspections or request additional information from the out-of-state Applicant as it deems appropriate in determining whether to approve the Application.

(g) The Board, or its designee, shall be given access for review and audit of all records. The out-of-state Applicant shall, at their location during hours of operation, make such information available. The Board may require the out-of-state Applicant to annually submit audited financial statements.

(h) All advertisements shall contain a statement that persons under 18 are not allowed to open or have access to Accounts. All advertisements shall contain contact information for a recognized problem-gambling support organization.

(i) (1) The Board shall notify the out-of-state Applicant in writing within 30 calendar days from the receipt date by the Board's administrative office if the Application is complete or deficient. If the Application is deficient, the notice shall include:

~~(4) Instructions~~instructions as to what ~~are~~is required of the out-of-state Applicant to complete the Application.

~~(2) Instructions for requesting additional time to satisfy the requirements listed in the notification, if needed. If the applicant fails to submit all documents needed to complete the application within one year from the receipt date of the application by the Board, the Board shall purge said application and all documents submitted thereto and require resubmittal of an application if the applicant, thereafter, intends to apply for an approval pursuant to this section.~~

(j) The Board shall approve or deny an Application within ~~90~~60 calendar days from the receipt date the Application is deemed complete by the Board ~~unless the out-of-state Applicant requests and is granted additional time to supply information.~~

(k) If the Board denies an Application, the out-of-state Applicant has 30 calendar days from the receipt date of the Board's denial notification, to request a reconsideration of the Board's decision. This request must be in writing and sent to the Board's administrative office. The Board shall respond in writing to the reconsideration request within 30 working days from the receipt date of the request. If reconsideration is denied, the out-of-state Applicant may file for judicial review in accordance with section 11523 of the Government Code.

(l) Subsequent to the issuance of an approval to conduct Advance Deposit Wagering under this article, changes or amendments to information or operating procedures contained in an Application will be permitted by order of the Board or by Board approval of a request submitted in writing by the Applicant.

(m) As a condition of approval, the out-of-state Applicant shall designate a California agent for receipt of service of process.

(n) By submitting the Application, the out-of-state Applicant consents to the jurisdiction of California courts and the application of California law as to all California wagers and operations.

Authority: Sections 19440 and 19590,
Business and Professions Code.

Reference: Sections 19460 and 19604,
Business and Professions Code.

STATE OF CALIFORNIA
CALIFORNIA HORSE RACING BOARD (CHRB)
APPLICATION FOR APPROVAL TO CONDUCT ADVANCE DEPOSIT WAGERING
CHRB-133 (Rev. ~~02/19/22~~ 12/22)

Application is made to the CHRB for approval to conduct Advance Deposit Wagering in accordance with the California Business and Professions Code and CHRB Rules and Regulations (Rule) and the provisions of the Interstate Horseracing Act, 15 U.S.C. 3001 to 3007.

NOTICE – By submitting the Application, the out-of-state Applicant consents to the jurisdiction of California courts and the application of California law as to all California wagers and operations.

Application must be filed not later than 90 days in advance of the date scheduled to conduct Advance Deposit Wagering and must be accompanied by a bond from a surety company admitted in the state of California or other form of financial security in the amount of \$500,000.

1. OUT-OF-STATE MULTI-JURISDICTIONAL WAGERING HUB (out-of-state Hub)

A. Name, mailing address, and telephone and fax numbers:

B. Name, title, license number, and racing jurisdiction where licensed for all management personnel. –Identify which management staff is responsible for California operations:_____

NOTICE: Rule 1481 provides that all management personnel responsible for California operations must hold a CHRB license.

Name and title	Racing Jurisdiction Where Licensed	License Number	Responsible for California Operations
			☐ Yes ☐ No
			☐ Yes ☐ No
			☐ Yes ☐ No
			☐ Yes ☐ No
			☐ Yes ☐ No
			☐ Yes ☐ No
			☐ Yes ☐ No
			☐ Yes ☐ No

C. Name, title, and mailing address of the California agent for receipt of service of process:

~~D. Attach the contract with the California racing association or fair and the required horsemen's approval under the Interstate Horseracing Act that permits you to provide Advance Deposit Wagering services and identify the amount of the market access fee to be paid to the California racing association or fair for access to the California market for wagering purposes.~~

D. Attach the contract with the California association or fair and/or horsemen's organization, pursuant to Business and Professions Code section 19604(b)(2)(B), that permits you to provide advance deposit wagering services on races conducted outside of California for a specific breed of horse.

Note: Applicant may accept wagers on races conducted by a California association or fair if the Board approves a race meet application submitted by the association or fair that includes an agreement allowing Applicant to accept wagers on the races pertaining to the race meet application, along with the appropriate horsemen's approval, pursuant to Business and Professions Code section 19604(b)(1).

2. DATES OF OPERATION

A. Dates Advance Deposit Wagering will be conducted:

B. Hours Advance Deposit Wagering will be conducted:

3. BUSINESS STRUCTURE

A. ☐ Corporation (complete subsection B)

☐ LLC (complete subsection C)

☐ Other (specify, and complete subsection D)

Complete the applicable subsection.

B. CORPORATION

1. Registered name of the corporation:

2. State where incorporated:

3. Registry or file number for the corporation:

4. List Namesnames and CHRB license numbers of all officers and directors. Include titles, and the number of shares of the corporation held by each.

5. List Namesnames (true names) of all persons, **other than the officers and directors listed above**, that hold 5% or more of the outstanding shares in

the corporation and the number of shares held by each. –Include each person’s CHRB license number (Notice: per Rule 1481, all persons that hold 5% or more of outstanding shares must hold a CHRB license):_

6. Number of outstanding shares in the corporation:
7. Are the shares listed for public trading? ☐ Yes ☐ No
If yes, on ~~what~~which exchange_ and how is the stock listed:?
8. Name of the custodian of the list of shareholders and/or the transfer agent for the share holdings of the corporation:
9. If more than 50% of the shares are held by a parent corporation or are paired with any other corporation or entity, give the name of the parent and/or paired corporation or entity: _
10. Attach the prior two years’ annual financial statements for the corporation, including balance sheets and profit and loss statements, and a copy of all reports issued during the preceding 24 months to shareholders in the corporation and/or the Securities and Exchange Commission and/or the corresponding state where you registered your corporation.
11. Applicants not previously licensed by the CHRB to conduct ADW, proceed to subsection 12. Applicants previously licensed by the CHRB to conduct ADW: Attach the prior two years’ annual profit and loss statements for the California ADW operations only. -Include the methodology used to determine the cost allocation for the profit and loss statements.
12. Attach a business plan ~~to that~~ includes a detailed budget ~~that shows~~ showing anticipated revenue, expenditures_ and cash flow by month projected for the term of the approval.

C. LLC

1. Registered name of the LLC:
2. State where articles of organization are filed:
3. Registry or file number for the LLC:
4. List Names~~names~~ and CHRB license numbers_ of all officers and directors. Include titles; and the ~~number of shares of the LLC~~ membership interest held by each: _
5. List Names~~names~~ (true names) of all members, **other than the officers and directors listed above**, that hold a 5% or more ~~of the outstanding~~

~~shares~~membership interest in the LLC and the ~~number of shares~~membership interest held by each. -Include each person's CHRB license number (~~Notice: per Rule 1481, all persons that hold 5% or more of outstanding share must hold a CHRB license.~~);

~~6. Are the shares listed for public trading? ☐ Yes ☐ No
— If yes, on what exchange and how is the stock listed:~~

~~76. If more than 50% of the shares are a~~membership interest greater than 50% is held by a parent corporation or ~~are~~is paired with any other corporation or entity, give the name of the parent and/or paired corporation or entity;

~~87. Attach the prior two years' annual financial statements for the LLC, including balance sheets and profit and loss statements, and a copy of all reports issued during the preceding 24 months to~~ shareholdersmembers in the LLC and/or ~~the Securities and Exchange Commission and/or the corresponding state where you registered your corporation~~LLC.

~~98. Applicants not previously licensed by the CHRB to conduct ADW, proceed to subsection 109. Applicants previously licensed by the CHRB to conduct ADW: Attach the prior two years' annual profit and loss statements for the California ADW operations only. -Include the methodology used to determine the cost allocation for the profit and loss statements.~~

~~109. Attach a business plan to~~that includes a detailed budget that shows~~showing~~ anticipated revenue, expenditures, and cash flow by month projected for the term of the approval.

D. OTHER

1. Name(s) of partners/sole proprietor:

2. If a partnership, attach partnership agreement.

3. Attach the prior two years' annual financial statements for the partnership/sole proprietorship. Include balance sheets, ~~and~~ profit and loss statements, and a copy of all reports issued during the preceding 24 months to ~~shareholders~~partners and/or the ~~Securities and Exchange Commission and/or the corresponding state where you registered your corporation~~partnership, if required.

4. Applicants not previously licensed by the CHRB to conduct ADW, proceed to subsection 5. Applicants previously licensed by the CHRB to conduct ADW: Attach the prior two years' annual profit and loss statements for the California ADW operations only. -Include the methodology used to determine the cost allocation for the profit and loss statements.

~~5. Names of all officers and directors, titles, and the number of shares of the LLC held by each:~~

~~65. Attach a business plan to that includes a detailed budget that shows showing anticipated revenue, expenditures, and cash flow by month projected for the term of the approval.~~

4. ESTABLISHING ADVANCE DEPOSIT WAGERING ACCOUNTS – must comply with Rule ~~2074~~2075.

- A. List the procedures to establish an Account:.
- B. If an application form is used to establish an Account, attach a copy of the form.
- C. Name and address of the third party you will use to verify identity, residence, and age verification:

5. OPERATION OF ADVANCE DEPOSIT WAGERING ACCOUNTS – must comply with Rule 2073.

- A. Submit a copy of your plan for operation.
- B. List the type of deposits you will accept:.
- C. Identify any fees or transaction-related charges and the amount that will be assessed:.

6. SECURITY ACCESS

- A. Attach your security access policy and safeguards pursuant to Business and Professions Code section 19604(c)(2). -Policy must include the following:
 - 1. Description of the technology to ensure identity, residence, and age verification when an Account is established:
 - 2. Description of the technology to ensure confidentiality of the Means of Personal Identification:
 - 3. Methods and locations available for Account Holders to withdraw funds from their Account:
 - 4. If the Advance Deposit Wagering records will be maintained at a site other than the out-of-state Hub, provide the name, address, telephone and fax numbers, and the hours of operation:.

7. PARI-MUTUEL

- A. Name, address, and telephone number of the pari-mutuel audit firm:
- B. Type(s) of pari-mutuel or totalizator equipment to be used and the simulcast organization, name of the entity supplying equipment, and expiration date of the service contract:
- C. List the locations of the racing venues on which Advance Deposit Wagering will be accepted:

NOTICE – *The pari-mutuel system used must use a device or combination of devices authorized and operated exclusively for placing, receiving, or otherwise making a wager and by which a person must subscribe to in order to place, receive, or otherwise make a wager; an effective customer and age verification system; and the appropriate data security standards to prevent unauthorized access by any person who has not subscribed or who is under the age of 18.*

8. CONTRACTS AND AGREEMENTS

- A. List name and address of all organizations you will contract with to facilitate Advance Deposit Wagering that are not provided in other sections of this application:
- B. List each contract or agreement to facilitate Advance Deposit Wagering that is not finalized and signed:

9. ADVERTISING

Name and address of the advertising agency you will use:

NOTICE – *Pursuant to Rule ~~2072(h)~~2072(h), all advertisements shall contain a statement that persons under 18 are not allowed to open or have access to Accounts. –All advertisements shall contain contact information for a recognized problem-gambling support organization. –Additionally, pursuant to Business and Professions Code section 19604(d)(3), advertisements shall not be deceptive to the public.*

10. CERTIFICATION

I hereby certify under penalty of perjury that I have examined this Application, that all the foregoing statements in this Application are true and correct, and that I am authorized to attest to this Application.

X

Signature

Print Name

Print Title

Date

GENERAL INSTRUCTIONS

This form is to be completed in conjunction with California Horse Racing Board (CHRB) forms, Application for License to Operate a Minisatellite Wagering Facility CHRB 88, Application For License to Conduct a Horse Racing Meeting, (CHRB 17), Application for Authorization to Operate a Simulcast Wagering Facility, (CHRB 25), and Application for License/Contractor or Sub-contractor; Application for Approval/Concessionaire, (CHRB 87). If a CHRB 25A has been filed previously, submit only that information which has changed.

Print or type an answer to every question. If a question does not apply to you, so state with N/A. If more space is required, continue on page 5 or use a separate sheet and precede the answer with appropriate title. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Applicant must initial each page, as provided in the lower right hand corner. By placing his/her initials on each page, the applicant is attesting to the accuracy and completeness of the information contained on that page.

All applicants are advised that this personal history record is an official document and misrepresentation or failure to reveal information requested may be deemed to be sufficient cause for the refusal or revocation of a license or Board approval. **Further information may be required upon written request by the Board.**

All applicants are further advised that forms CHRB 17, CHRB 25, CHRB 87, CHRB 88, and CHRB 25A may not be withdrawn without the permission of the CHRB.

1. PERSONAL INFORMATION:

The information contained in this section may be disclosed pursuant to the Public Records Act.

Last Name _____ First Name _____ Middle Name _____				
Alias, Nicknames, Maiden Name, Other Name Changes Legal or Otherwise _____				
Business Address Street or RFD _____		City _____	State/Zip _____	Since _____
Date of Birth _____		Place of Birth (City, County, State) _____		
Business Phone (____) _____				

A. _____ Are you a citizen of the United States? _____ Yes () _____ No ()

If no, what is your current immigration status?

Explain _____

Registration/Document Number _____

Applicant Initials _____

2. MARITAL INFORMATION: (Circle One)

Single _____ Married _____ Separated _____ Divorced _____ Widowed _____ Domestic Partner _____

A. Current Marriage

Spouse's (Maiden)/Domestic Partner's full name _____

Date of Birth _____ Place of Birth _____ (City and State) _____

Telephone: Business () _____

Spouse's/Domestic Partner's employer _____ Occupation _____

Address of employer _____

3. EMPLOYMENT:

Beginning with your current employment, list your work history, all businesses with which you have been involved, and/or all periods of unemployment for the past twenty years, or since your eighteenth birthday, whichever is less. Use page 5 if more space is required.

Month and Year (From To)	Name/Mailing Address of Employer/Business	Reason for Leaving
Title	Description of Duties	Was Racing or Gaming Present? Yes () No ()
Month and Year (From To)	Name/Mailing Address of Employer/Business	Reason for Leaving
Title	Description of Duties	Was Racing or Gaming Present? Yes () No ()
Month and Year (From To)	Name/Mailing Address of Employer/Business	Reason for Leaving
Title	Description of Duties	Was Racing or Gaming Present? Yes () No ()

Applicant Initials _____

4. CONVICTIONS OR PENDING CHARGES:

- ~~A. Have you ever been convicted of any criminal offense, or are there now any criminal charges pending against you. (Exclude MINOR traffic offenses.) Yes No (Circle One)~~

~~If yes, give details in space provided below. List all cases without exception.~~

Date of Conviction or Filing of Charges	Charge	Location/City & State	Arresting or Filing Agency	Location of Court

5. LICENSING/AUTHORIZATION TO OPERATE:

- ~~A. Have you ever held or been approved to hold a privileged or professional license in any state including but not limited to the following:~~

~~Real Estate Broker Real Estate Salesperson Racetrack Owner/Operator Horse Trainer
Boxing Promoter Jockey Securities Dealer Harness Driver
Liquor Doctor Lawyer Gaming Ownership/Work permit~~

~~Yes No (Circle One) If yes, state where, years held, and the nature of any disciplinary actions taken against you.~~

- ~~B. Have you ever held a financial interest in a gambling venture, including a horse race track, dog track, racehorse or dog, lottery, bingo, casino, sports book operation, card room, or pari-mutuel operation, OUTSIDE the State of California?~~

~~Yes No (Circle One)~~

- ~~C. Have you ever been refused or withdrawn an application for a racing or gaming license or an Authorization to Operate a Simulcast Wagering Facility for any reason or been a participant in any group which has had a racing or gaming license or an Authorization to Operate a Simulcast Wagering Facility denied, revoked, or suspended for any reason?~~

~~Yes No (Circle One) If yes to the above, state type of license, where, when, and for what reason.~~

- ~~D. Have you ever been granted a racing or gaming license or an Authorization to Operate a Simulcast Wagering Facility or been a participant in any group, which has been issued a racing or gaming license or Authorization to Operate a Simulcast Wagering Facility by the State of California? Yes No (Circle One)~~

~~If yes, state type of license or Authorization to Operate a Simulcast Wagering Facility, name of establishment, location, and period held.~~

~~Applicant Initials _____~~

- ~~E. Do you, to the best of your knowledge, have any relatives associated with or employed in the racing or gaming industry? (Include blood relatives of yourself or your spouse/domestic partner, to the first cousin family extension.)~~

~~Yes No (Circle One) If yes, state the name, relation, and association or employment.~~

~~F. If currently or previously employed or engaged in California racing or Simulcasting give years of issuance and types of licenses.~~

6. FINANCIAL

~~A. Have you made or do you intend to make any monetary investment into this business: Yes No (Circle one)~~

~~State the percentage of ownership: _____ %.~~

~~B. Are you to receive any form of consideration, i.e. monetary, for the services you or your company are to provide?
Yes No (Circle One)~~

~~If yes, explain fully on page 5.~~

~~C. Are you to receive or do you expect to receive a percentage of ownership of this operation or business for the services you or your company are providing? Yes No (Circle One)~~

~~If yes, explain fully on page 5.~~

~~D. List those person(s) who share a financial interest with you in the operation of this facility, live race meet contract or concession:~~

~~1. _____ 2. _____ 3. _____~~

~~4. _____ 5. _____ 6. _____~~

~~E. Has your interest in this facility or operation been assigned, pledged, or hypothecated to any person, firm, or corporation, or has any agreement been entered into whereby your interest is to be assigned, pledged, or sold either in part or in whole?~~

~~Yes No (Circle One) If yes, please explain on Page 5.~~

~~F. Have you ever filed bankruptcy? Yes No (Circle One)~~

~~If yes, please explain below. If more space is needed, use page 5.~~

Applicants Initials _____

PUBLIC INFORMATION

~~7. CONFIDENTIAL INFORMATION~~

~~*Applicants are advised that furnishing their Social Security Number is mandatory. The Social Security Number will be used to identify~~

personal records which may be required during the background investigation. (Authority: Business and Professions Code Section 19440, Public Law 93-579, Section 7).

Last Name _____			First Name _____			Middle Name _____		
Present Residence Address Street or RFD _____			City _____			State/Zip _____		
Since _____								
Residence Telephone (____)								
Social Security Number _____			Driver's License No. & State _____					
Spouse's/Domestic Partner's Social Security Number _____			Driver's License No. & State _____					
Spouse's/Domestic Partner's Residential Address if different than above _____								
Residence Telephone if different than above (____)								

Applicant Initials _____

AFFIDAVIT OF APPLICANT

I, _____, certify under penalty of perjury that the above statements are true and correct

Print Name

to the best of my knowledge and belief, and that this statement is executed with the knowledge that misrepresentation or failure to reveal information requested may be deemed sufficient cause for denial of the application applied for, and that later discovery of an omission or misrepresentation made in the above statements may be grounds for denial or revocation of a license or Board approval; further, that I am voluntarily submitting this application under oath with full knowledge that the California Business and Professions Code, Section 19439, provides that any person who willfully makes and subscribes any certification made under penalty of perjury which is materially false in any particular, is guilty of a felony and shall be punished in the manner prescribed by the Penal Code for the punishment of perjury; and further, that I understand and agree that I must accept any risk of adverse public notice, embarrassment, criticism or other action arising from the application processes, or financial loss which may result from action with respect to my application, and I expressly waive any claim for damages as a result of such risk and action, provided that any disclosure occurs in the normal course of business by Board staff acting in a reasonable manner when using due care to protect my privacy.

APPLICANT: _____

Signature

DATE: _____

Applicant Initials _____

APPLICANT'S REQUEST TO RELEASE INFORMATION

TO: _____

FROM: _____

Applicant's Full Name (Please Print)

1. ~~This authorization is not valid for bank, investment or tax records.~~
2. ~~I hereby authorize and request all persons to whom this request is presented having information relating to or concerning me to furnish such information to a duly appointed representative of the California Horse Racing Board.~~
3. ~~I hereby authorize and request all persons to whom this request is presented having documents relating to or concerning me to permit a duly appointed representative of the California Horse Racing Board to review and copy any such documents.~~
4. ~~I have filed with the California Horse Racing Board an "application" as that term is defined in Section 19480 of the California Business and Professions Code. I understand that I am seeking the granting of a privilege and acknowledge that the burden of proving my qualifications for a favorable determination is at all times on me.~~
5. ~~I do, for myself, my heirs, executors, administrators, successors and assigns, hereby release, remise, and forever discharge the person to whom this request is presented, and his representatives and employees from all and all manner of actions, causes of action, suits, debts, judgments, executions, claims, and demands whatsoever, known or unknown, in law or equity, which I ever had, now have, may have, or claim to have against the person to whom this request is presented or his representative or employees arising out of or by reason of complying with this request.~~
6. ~~I agree to indemnify and hold harmless the person to whom this request is presented and his representatives and employees from and against all claims, damages, losses, and expenses, including reasonable attorneys' fees arising out of or by reason of complying with this request, provided that Board staff act in a reasonable manner using due care to protect the privacy of this material.~~
7. ~~A reproduction of this request by the Xerox or similar process shall be for all intents and purposes as valid as the original.~~

In witness whereof, I have executed this request at _____,
 _____ City

_____ on the _____ day of
 _____ State
 _____, 19 _____.

 _____ Applicant's Signature

Notary Public in and for the County of _____, (If not signed in the presence of a CHRB Representative)

State of _____

Signature of California Horse Racing Board Representative witnessing the applicant's signature.

 Representative (Please Print)

 Signature _____ Date _____ Applicant Initials _____

CALIFORNIA HORSE RACING BOARD
PERSONAL HISTORY RECORD

GENERAL INSTRUCTIONS

This form is to be completed and submitted in conjunction with the following California Horse Racing Board forms:

CHRB-17 - Application for License to Conduct a Horse Racing Meeting

CHRB-25 - Application for Authorization to Operate a Simulcast Wagering Facility

CHRB-87 - Application for Approval as a Concessionaire

CHRB-86 - Application for License as a Contractor or Sub-contractor

CHRB-228 - Application for License to Operate a Minisatellite Wagering Facility

If a CHRB-25A, Personal History Record, has been provided within the past five years, submit only the information that has changed.

Answer every question. If a question does not apply, state N/A. Do not misstate or omit any material facts, as each statement made herein is subject to verification. After completing each page, place your initials in the lower right corner of the page, attesting to the accuracy and completeness of the information contained.

Applicants are advised that this Personal History Record is an official document, and any misrepresentations or failure to disclose relevant information may be deemed sufficient cause for the refusal, denial, or revocation of a license.

Applicants are advised that the forms listed above may not be withdrawn without the permission of the Board.

AFFIDAVIT OF APPLICANT

I certify under penalty of perjury that the above statements are true and accurate to the best of my knowledge and belief, that this statement is executed with the knowledge that any misrepresentation or failure to reveal information may be deemed sufficient cause for denial of the application applied for, and that later discovery of an omission or misrepresentation made in the above statements may be grounds for denial or revocation of a license.

Further, I acknowledge that I am voluntarily submitting this application under oath with full knowledge that California Business and Professions Code section 19439 provides that any person who willfully makes and subscribes any certification made under penalty of perjury that is materially false in any particular is guilty of a felony and shall be punished in the manner prescribed by the Penal Code for the punishment of perjury. I understand and agree that I must accept any risk of adverse public notice, embarrassment, criticism, or other action arising from the application processes or financial loss that may result from action with respect to my application, and I expressly waive any claim for damages as a result of such risk and action, provided that any disclosure occurs in the normal course of business by Board staff acting in a reasonable manner when using due care to protect my privacy.

Print Name: _____

Signature: _____ Dated: _____

CALIFORNIA HORSE RACING BOARD
PERSONAL HISTORY RECORD

<u>PERSONAL INFORMATION</u>					
Your Full Name (Last, First Middle)					
Other Names, Including Nicknames, You Have Used or Have Been Known By					
<u>RESIDENCE ADDRESS</u>	<u>Street</u>				<u>Apartment/Unit</u>
	<u>City</u>			<u>State</u>	<u>Zip Code</u>
<u>MAILING ADDRESS, IF DIFFERENT FROM ABOVE</u>	<u>Street</u>				<u>Apartment/Unit</u>
	<u>City</u>			<u>State</u>	<u>Zip Code</u>
<u>CONTACT NUMBERS</u>	<u>Home Telephone with Area Code</u>	<u>Business Telephone with Area Code</u>	<u>Extension</u>	<u>Other Telephone</u> ☐ <u>Cell</u> ☐ <u>Fax</u>	
<u>E-MAIL ADDRESS(ES)</u>	<u>Home E-Mail</u>		<u>Business E-Mail</u>		
<u>PHYSICAL DESCRIPTION</u>	<u>Height</u>	<u>Weight (lbs.)</u>	<u>Hair Color</u>	<u>Eye Color</u>	
<u>Social Security Number</u>		<u>Driver's License Number</u>	<u>Date of Birth</u>	<u>Place of Birth (City, State)</u>	
Are you a US Citizen: ☐ Yes ☐ No If "No", describe immigration status:					

<u>MARITAL INFORMATION</u>					
Marital Status: ☐ Single ☐ Married ☐ Domestic Partner ☐ Divorced ☐ Separated ☐ Widowed					
<u>Spouse/Domestic Partner Full Name (Last, First Middle)</u>					
Other Names, Including Nicknames, Used or Have Been Known By					
<u>RESIDENCE ADDRESS</u>	<u>Street</u>				<u>Apartment/Unit</u>
	<u>City</u>			<u>State</u>	<u>Zip Code</u>
<u>Occupation:</u>					
<u>Employer:</u>					
<u>City</u>				<u>State</u>	<u>Zip Code</u>
<u>CONTACT NUMBERS</u>	<u>Home Telephone with Area Code</u>	<u>Business Telephone with Area Code</u>	<u>Extension</u>	<u>Other Telephone</u> ☐ <u>Cell</u> ☐ <u>Fax</u>	
<u>E-MAIL ADDRESS(ES)</u>	<u>Home E-Mail</u>		<u>Business E-Mail</u>		
<u>Social Security Number</u>		<u>Driver's License Number</u>	<u>Date of Birth</u>	<u>Place of Birth (City, State)</u>	

CALIFORNIA HORSE RACING BOARD
PERSONAL HISTORY RECORD

EXPERIENCE AND EMPLOYMENT

Beginning with your most recent job you have had, list all jobs, including part-time, temporary, and volunteer positions for the past twenty years, or since or eighteen birthday, whichever is less.

If you have had military experience, which includes reserve duty, enter your military base, assignment(s), or unit assignment. List ALL periods of unemployment in excess of 30 days.

<u>Name of employer or military unit</u>				<u>From (MM/YYYY)</u>	<u>To (MM/YYYY)</u>
<u>Address (number / street / suite / or base)</u>				<u>Contact number</u>	<u>EXT</u>
<u>City</u>	<u>State</u>	<u>Zip Code</u>	<u>Email</u>		
<u>Job Title / Rank</u>	<u>Type of Employment (Check all that apply)</u> ☐ FT ☐ PT ☐ Temp ☐ Self-employed ☐ Volunteer				
<u>Duties / Assignments</u>	<u>Reason for leaving</u>				
Was racing or gaming present: ☐ Yes ☐ No					
If YES, explain:					

<u>Name of employer or military unit</u>				<u>From (MM/YYYY)</u>	<u>To (MM/YYYY)</u>
<u>Address (number / street / suite / or base)</u>				<u>Contact number</u>	<u>EXT</u>
<u>City</u>	<u>State</u>	<u>Zip Code</u>	<u>Email</u>		
<u>Job Title / Rank</u>	<u>Type of Employment (Check all that apply)</u> ☐ FT ☐ PT ☐ Temp ☐ Self-employed ☐ Volunteer				
<u>Duties / Assignments</u>	<u>Reason for leaving</u>				
Was racing or gaming present? ☐ Yes ☐ No					
If YES, explain:					

<u>Name of employer or military unit</u>				<u>From (MM/YYYY)</u>	<u>To (MM/YYYY)</u>
<u>Address (number / street / suite / or base)</u>				<u>Contact number</u>	<u>EXT</u>
<u>City</u>	<u>State</u>	<u>Zip Code</u>	<u>Email</u>		
<u>Job Title / Rank</u>	<u>Type of Employment (Check all that apply)</u> ☐ FT ☐ PT ☐ Temp ☐ Self-employed ☐ Volunteer				
<u>Duties / Assignments</u>	<u>Reason for leaving</u>				

CALIFORNIA HORSE RACING BOARD
PERSONAL HISTORY RECORD

Was racing or gaming present: ☐ Yes ☐ No

If YES, explain:

FINANCIAL INFORMATION

HAVE YOU EVER FILED FOR OR DECLARED BANKRUPTCY?

☐ YES ☐ NO IF YES, explain and include when, where, and the circumstances, as well as which chapter you filed under (i.e., Chapter 7, 11 or 13).

HAVE YOU MADE OR DO YOU INTEND TO MAKE ANY MONETARY INVESTMENT INTO THIS BUSINESS?

☐ YES ☐ NO IF YES, state the percentage of ownership.

WILL YOU RECEIVE ANY FORM OF CONSIDERATION (INCLUDING MONETARY) FOR THE SERVICES YOU OR YOUR COMPANY ARE TO PROVIDE?

☐ YES ☐ NO IF YES, explain in detail.

WILL YOU RECEIVE OR DO YOU EXPECT TO RECEIVE A PERCENTAGE OF OWNERSHIP OF THIS OPERATION OR BUSINESS IN EXCHANGE FOR THE SERVICES YOU OR YOUR COMPANY ARE PROVIDING?

☐ YES ☐ NO IF YES, explain in detail.

LIST ALL INDIVIDUALS WHO SHARE A FINANCIAL INTEREST IN THE OPERATION OF THIS FACILITY, LIVE RACE MEET CONTRACT, OR CONCESSION:

- | | |
|----------|----------|
| 1. _____ | 4. _____ |
| 2. _____ | 5. _____ |
| 3. _____ | 6. _____ |

HAS YOUR INTEREST IN THIS FACILITY OR OPERATION BEEN ASSIGNED, PLEDGED, OR HYPOTHECATED TO ANY PERSON, FIRM, OR CORPORATION, OR HAS ANY AGREEMENT BEEN ENTERED INTO WHEREBY YOUR INTEREST IS TO BE ASSIGNED, PLEDGED, OR SOLD EITHER IN PART OR IN WHOLE?

☐ YES ☐ NO If YES, explain in detail.

CONVICTION INFORMATION

- | | | |
|--|------------------------------|-----------------------------|
| 1. Have you ever been convicted of any criminal offense, excluding minor traffic offenses?..... | ☐ YES | ☐ NO |
| 2. Have you ever been convicted of a gambling-related offense, whether felony or misdemeanor?..... | ☐ YES | ☐ NO |
| 3. Do you have a pending court proceeding for any criminal offense?..... | ☐ YES | ☐ NO |

IF YOU ANSWERED "YES" TO ANY OF THE ABOVE QUESTIONS, YOU MUST COMPLETE THE FOLLOWING:

CALIFORNIA HORSE RACING BOARD
PERSONAL HISTORY RECORD

<u>Charge(s)</u>	<u>Place(s) Department(s)</u>	<u>Date of Conviction</u>
<u>Court (Federal, Superior, etc.)</u>	<u>Final Disposition</u>	
<u>Court Address</u>		
<u>Comments or Explanation</u>		

AUTHORIZATION TO
 OPERATE

HAVE YOU EVER HELD OR BEEN APPROVED TO HOLD A PRIVILEGED OR PROFESSIONAL LICENSE IN ANY STATE, INCLUDING BUT NOT LIMITED TO ANY OF THE FOLLOW?

☐ Racetrack Owner/Operator ☐ Horse Trainer ☐ Jockey ☐ Harness Driver
☐ Real Estate Broker ☐ Real Estate Salesperson ☐ Doctor ☐ Lawyer
☐ Securities Dealer ☐ Boxing Promoter ☐ Liquor Distribution ☐ Gaming—Ownership/Work Permit
☐ YES ☐ NO IF YES, state where, the years held, and the nature of any disciplinary actions taken against you.

HAVE ANY OF YOU EVER HELD A FINANCIAL INTEREST IN A GAMBLING VENTURE, INCLUDING A HORSE RACE TRACK, DOG TRACK, RACEHORSE OR DOG, LOTTERY, BINGO VENUE, CASINO, SPORTS BOOK OPERATION, CARD ROOM, OR PARI-MUTUEL OPERATION **OUTSIDE** THE STATE OF CALIFORNIA?

☐ YES ☐ NO

HAVE YOU EVER BEEN GRANTED A RACING OR GAMING LICENSE OR AN AUTHORIZATION TO OPERATE A SIMULCAST WAGERING FACILITY OR BEEN A PARTICIPANT IN ANY GROUP THAT HAS BEEN GRANTED A RACING OR GAMING LICENSE OR AN AUTHORIZATION TO OPERATE A SIMULCAST FACILITY?

☐ YES ☐ NO

IF YES, HAS THAT LICENSE EVER BEEN SUSPENDED OR REVOKED FOR ANY REASON?

☐ YES ☐ NO

HAVE YOU EVER BEEN REFUSED A RACING OR GAMING LICENSE OR AN AUTHORIZATION TO OPERATE A SIMULCAST WAGERING FACILITY FOR ANY REASON OR BEEN A PARTICIPANT IN ANY GROUP THAT HAS BEEN REFUSED A RACING OR GAMING LICENSE OR AN AUTHORIZATION TO OPERATE A SIMULCAST FACILITY?

☐ YES ☐ NO

HAVE YOU EVER WITHDRAWN A RACING OR GAMING LICENSE OR AN AUTHORIZATION TO OPERATE A SIMULCAST WAGERING FACILITY FOR ANY REASON OR BEEN A PARTICIPANT IN ANY GROUP THAT HAS WITHDRAWN A RACING OR GAMING LICENSE OR AN AUTHORIZATION TO OPERATE A SIMULCAST FACILITY?

☐ YES ☐ NO

TO THE BEST OF YOUR KNOWLEDGE, DO YOU HAVE ANY FAMILY MEMBERS, RELATIVES, ETC. ASSOCIATED WITH OR EMPLOYED IN THE RACING AND/OR GAMING INDUSTRY? (INCLUDE BLOOD RELATIVES OR YOURSELF AND YOUR SPOUSE/DOMESTIC PARTNER TO THE FIRST COUSIN FAMILY EXTENSION.)

☐ YES ☐ NO

CALIFORNIA HORSE RACING BOARD
PERSONAL HISTORY RECORD

IF YOU ANSWERED "YES" TO ANY OF THE QUESTIONS ABOVE, PROVIDE DETAILED INFORMATION BELOW (RELEVANT DATES, LOCATIONS, REASONS, ETC.)

ARE YOU CURRENTLY OR HAVE EVER BEEN EMPLOYED OR ENGAGED IN RACING OR SIMULCASTING WITHIN THE STATE OF CALIFORNIA?

☐ YES ☐ NO

IF "YES," PROVIDE DETAILED LICENSE INFORMATION (LICENSE TYPE, NUMBER, DATES OF LICENSURE, ETC.).