



HOUSE RULES FOR RACING PARTICIPANTS

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INTRODUCTION

The reputation and integrity of The New York Racing Association, Inc. (“NYRA”) is indispensable to its success. NYRA¹ must adhere to the highest standards of integrity to ensure the public’s trust and confidence and maintain an ethical and professional environment. Accordingly, NYRA requires all Racing Participants,² as that term is defined herein, and Covered Persons, as that term is defined by HISA, associated with each of its three racetracks³ (collectively and individually referred to hereinafter as the “Racetracks” or “Racetrack”) to comply with (1) all provisions set forth herein in these “House Rules”; (2) all other rules, regulations and policies of NYRA, at any time adopted or as they may be amended;⁴ and (3) all applicable statutes and administrative regulations of the New York State Gaming Commission (“Gaming Commission”), the Horseracing Integrity and Safety Authority (“HISA”) and the Horseracing Integrity and Welfare Unit (“HIWU”) (each a “Racetrack Regulator” or, collectively, “Racetrack Regulators”). **The failure to so comply may result in the imposition of serious penalties, including fines, denial or revocation of stall privileges and the denial or revocation of credentials and the privilege to enter the grounds of the Racetracks and conduct business thereon.**

Simply put, Racing Participants must conduct themselves in a way that is responsible, lawful and promotes the high degree of integrity on which thoroughbred racing relies and are required to avoid conduct detrimental to the best interest of racing. Illegal or irresponsible conduct does more than simply tarnish the offender, it puts innocent people and horses at risk, damages the reputation of others, and undermines public respect and support for NYRA and thoroughbred racing.

From time-to-time NYRA will provide notice relative to updates of these House Rules and other matters. However, because of the fast-paced and highly regulated nature of the thoroughbred

¹ As used herein, the term NYRA refers not only to the not-for-profit corporation established by State law, but also its subsidiaries, joint ventures, employees, trustees, directors, officers, agents and designees.

² As used herein, the term “racing participants” shall include, but is not limited to, owners, racing stables, racing officials, trainers, trainer’s agents, grooms, veterinarians, vendors, pony people, outriders, independent contractors, jockeys, jockeys’ agents, drivers, minors, guests, agents, and anyone else with a racing license or permit.

³ The Racetracks are: Aqueduct Racetrack in Ozone Park, New York; Belmont Park Racetrack in Elmont, New York; and Saratoga Race Course in Saratoga Springs, New York.

⁴ Places where such rules, regulations and policies may be accessed include NYRA’s Stall Applications, Condition Books, Stakes Books and Nomination Blanks, and other materials published or disseminated by NYRA, or posted in its Racing Secretary’s Office, NYRA’s website, entry booths, or other NYRA publications or facilities.

racing industry, NYRA reserves the right to alter or amend the House Rules and all other rules, regulations and policies of NYRA, at any time, in its discretion. While NYRA will use its best efforts to communicate such changes, Racing Participants are responsible for obtaining and familiarizing themselves with the most current standards of conduct with which they must comply. Rules not addressed herein are assumed to be enforceable by the Racetrack Regulators, and it is the responsibility of all Racing Participants to familiarize themselves with such rules/regulations. If any of these House Rules conflict with a rule, regulation or statute of a Racetrack Regulator, the Racetrack Regulator's rule, regulation or statute shall control. **The appendix containing documents referred to herein can be found on NYRA's website at the following links:** <https://www.nyra.com/aqueduct/horsemen/houserules>,
<https://www.nyra.com/saratoga/horsemen/houserules>, or
<https://www.nyra.com/belmont/horsemen/houserules>,

It is the sole responsibility of trainers to ensure that a copy of these rules are made available to those currently employed by them.

PART 1 — GENERAL STANDARDS

1. Reporting Guidelines and Whistleblower Protection

- (a) **Anonymous Reporting.** A Racing Participant covered by these House Rules may, in good faith, make anonymous reports to NYRA of:
- (1) Violations or suspected violations of NYRA House Rules, all other rules, regulations or policies enacted by NYRA, or any NYSGC, HISA or HIWU rule or law;
 - (2) The witnessing of a medication violation;
 - (3) Any activity witnessed on the backstretch or frontside which could result in harm to a horse or other animal; and/or
 - (4) Any information regarding an injury or condition of a horse which would put a horse or jockey at risk during training or in a race.
- (5) **Anonymous reports of a violation of these House Rules or any NYRA-issued policy can be made via NYRA's Ethics Hotline at the following phone numbers:**

English: (800) 605-1340

Espanol: (800) 297-8592

(6) **Anonymous reports related to HISA or HIWU may be made via phone or email:**

Telephone: (888) 714-HIWU

Email: hiwutips@hiwu.realresponse.com

(b) No Retaliation Permitted.

- (1) No retaliation whatsoever will be tolerated against any person who makes a report.
- (2) Any person who retaliates against an individual who has made a report will be subject to disciplinary action and serious penalties, including, but not limited to, fines and the denial or revocation of credentials and privileges to enter the grounds of any one or all of the Racetracks and conduct business thereon.

2. Assumption of Risks

Horses, horse riding, racing and training, caring for horses and all other equestrian-related activities can be extremely dangerous and routinely involve risk of serious injury, death and/or property damage. A Racing Participant assumes the risk of all of the aforementioned risks by participating in thoroughbred racing and/or voluntarily entering the grounds of a Racetrack. Further, a Racing Participant on its behalf and on behalf of its family members, successors, heirs and legatees, hereby releases and agrees to hold NYRA harmless from any and all liability, actions, causes of action, debts, claims, damages, demands and costs or any kind or nature whether now existing or arising in the future that may arise out of or in connection with its participation in thoroughbred racing and/or presence on a Racetrack.

3. Standards of Conduct — Generally

- (a) A Racing Participant shall not commit or engage in any of the following conduct:
- (1) Violations of the House Rules, or any other rule, condition, agreement or regulation of NYRA, at any time adopted or as they may be amended;
 - (2) Violations of any applicable statute or administrative regulation of the Racetrack Regulators;
 - (3) Unlawful activity of any kind;
 - (4) Criminal offenses of any kind;
 - (5) Violent or threatening behavior;
 - (6) Conduct that is improper, unethical, obnoxious, unbecoming, or otherwise detrimental to the best interests of racing; and/or
 - (7) Making a misrepresentation on any application/form and/or in any disclosure or

statement made to NYRA.

- (b) A Racing Participant who engages in such prohibited conduct is subject to the imposition of sanctions and penalties, including, but not limited to:
- (1) a fine;
 - (2) revocation of NYRA credentials;
 - (3) suspension, loss or revocation of privileges, including loss of stabling and/or racing privileges and entry privileges at the Racetracks;
 - (4) permanent disbarment of privileges to participate in thoroughbred horse racing at the Racetracks;
 - (5) loss or refund of any or all nomination, declaration and entry fees as well as any deposits on account with NYRA;
 - (6) eviction from the Racetracks; and/or
 - (7) any other remedy provided for herein or available by law.

4. Personal Conduct

- (a) Illegal Drugs.
- (1) The possession, sale or use of illegal drugs or drug paraphernalia is not permitted at any time on the grounds of the Racetracks. For the purposes of this rule, an illegal drug is any drug which is not legally obtainable, or one which is legally obtainable but has not been legally obtained, including prescription drugs not legally obtained and prescription drugs that were prescribed for someone else.
 - (2) Racing Participants who engage in disruptive, abusive, erratic or violent behavior, or who NYRA, in its sole discretion, suspects to be under the influence of an illegal drug and/or is deemed to be a threat to themselves or others, may be subject to any or all of the following, at NYRA's sole discretion:
 - A urine analysis screening or drug toxicology test.
 - Ejection from the racetracks.
 - Any other additional legal remedies available to NYRA.
 - (3) Any Racing Participant present in an automobile or dormitory room where illegal drugs or drug paraphernalia are found shall be held responsible for the possession of same.

(b) Weapons. The possession of any firearms, or other illegal weapons or ammunition of any kind are strictly prohibited on the grounds of the Racetracks, except by authorized NYRA security personnel.

(c) Sexual Harassment and Anti-Discrimination.

(1) **NYRA will not tolerate sexual harassment or discrimination from its employees, third-party vendors or anyone living and/or working on NYRA-operated property.**

(2) All Racing Participants must comply with NYRA's anti-sexual harassment/anti-discrimination policy, which can be found in its Code of Ethics and Business Conduct at https://www.nyrainc.com/uploads/wysiwyg/NYRA_Code_of_Ethics_2023.pdf.

(3) Harassment or discrimination on the basis of any protected characteristic is strictly prohibited. Unlawful conduct in this regard is defined as harassment or discrimination based on any characteristic protected by applicable U.S. federal, state, or local laws, including race, color, creed, religion, gender, sexual orientation, national origin, or age.

(4) Individuals who believe they have been subjected to harassment/discrimination should report that behavior to the NYRA Steward, NYRA Compliance Officer or via NYRA's Anonymous Ethics Hotline at 800-605-1340 (English) or 800-297-8592 (Spanish). If the harassment involves physical touching, threats or intimidation, call 911 or contact NYRA's Security Department immediately.

(d) Gifts, Gratuities and Tips to Key Racing Employees

(1) Trainers, assistant trainers, jockeys, owners and the employees of such persons are prohibited from offering individual gifts, gratuities or tips to any "Key Racing Employees." Key Racing Employees include, but are not limited to: the NYRA Steward, NYRA Safety Stewards, NYRA Veterinarians, Clerk of the Course, Entry Clerks, Starters, Head Starter or Assistant Starters, Clockers, Placing Judges, Paddock Judges, Racing Secretaries, the Clerk of Scales and/or any employees/assistants of the Key Racing Employees listed herein. More information about NYRA's gift policy can be found in its Code of Ethics and Business Conduct at https://www.nyrainc.com/uploads/wysiwyg/NYRA_Code_of_Ethics_2023.pdf

(2) This section does not prohibit department-wide gifts intended to be split amongst all members of the department or group. For example, it is acceptable for a trainer or owner to buy lunch for all of the Assistant Starters at the end of a meet or for a fruit basket to be given to the Racing Department. Such gifts should not be extravagant and cannot be gifts of cash or cash equivalents (cash cards, etc.). Department-wide gifts should only be given at appropriate times such as holidays or to celebrate big racing days/events. If there is any question about whether a gift is acceptable, please contact NYRA's Legal Department.

5. HISA Registration

All persons required to do so must register with HISA as a Covered Person, as that term is defined by HISA. This includes, but is not limited to, owners, trainers, assistant trainers, jockeys and/or their employees. Each horse must be registered with HISA by the time the horse is considered a Covered Horse, as that term is defined by HISA.

6. Workers' Compensation Insurance

All horsemen and trainers racing or stabling at one or more of NYRA's Racetracks are required, prior to entering the grounds of the Racetracks, to file with the Gaming Commission a certificate of worker's compensation insurance for the State of New York covering each of their agents and employees. NYRA shall not be responsible for benefits as they pertain to workers' compensation for jockeys, exercise riders, grooms, hot walkers, or any other employee, agent or invitee.

7. Surveillance, Inspection & Investigations

- (a) Consent to Surveillance. Horse racing in New York is a highly regulated industry. As such, NYRA employs extensive surveillance and security on its property. By participating at a Racetrack, Racing Participants consent to all surveillance, retention and/or inspection measures employed by NYRA on its grounds for both individuals and horses.
- (b) Inspection. Commercial areas of the Racetrack (barns, offices, veterinarian trailers, etc.), as well as vehicles entering or exiting the grounds of the Racetrack, are subject to inspection by authorized NYRA personnel and/or Racetrack Regulators.
- (c) No Liability. Responsibility for each horse in any surveillance program will remain solely with the horse's trainer. In no event will NYRA assume responsibility or liability for the horse.
- (d) Investigations. Racing Participants are required to participate in any investigation conducted by NYRA or the Racetrack Regulators. This includes, but is not limited to, engaging in interviews with authorized NYRA employees and/or Racetrack Regulators upon request, answering questions honestly, and maintaining confidentiality about the subject matter of such interviews.

8. Adjudication of House Rules Violations

- (a) Barn Area Violations Panel. In NYRA's sole discretion, violations of these rules may be subject to the review and adjudication by the Barn Area Violations Panel ("BAVP"), which may impose fines and penalties up to and including the revocation of both NYRA credentials and the privilege to enter the grounds of any one or all of the Racetracks and conduct business thereon. Refer to the Appendix for the BAVP Rules and Procedures and Fine Schedule.

- (b) Racing Rule Violations. Violations of certain House Rules, including but not limited to violations of racing office rules and policies, may be adjudicated solely by the NYRA Steward.
- (c) Revocation of NYRA Credentials. In the event NYRA seeks to revoke a Racing Participant's credentials as a result of a House Rules violation, NYRA will grant the Racing Participant an opportunity for a hearing to be conducted in accordance with NYRA's Hearing Rules and Procedures, unless, in NYRA's sole determination, such Racing Participant poses an immediate danger to health and/or safety, in which case NYRA may elect to immediately trespass⁵ such individual.
- (d) Environmental Rule Violations. Violations of NYRA's Sanitation Requirements for Barns and Stalls (See: Part 4, Section 7 herein) generally result in higher fine amounts than other violations given the cost to NYRA of remediation. These fines, regardless of whether the violation is committed by a trainer or a trainer's employees, will be charged to the trainer of record for whose barn the violation can be attributed to. Refer to the Appendix for the Summary of Environmental Rules.

PART 2 — GENERAL RACING POLICIES AND RULES

1. Animal Safety and Welfare

- (a) Anti-Slaughter Policy. In the event NYRA receives credible and verifiable information regarding a Racing Participant who knowingly, or without conducting proper due diligence, buys or sells a horse for slaughter, directly or indirectly, or who is associated with the shipment of horses for the purposes of slaughter, will lose stabling and racing privileges and may be subject to exclusion from NYRA property. NYRA highly encourages Racing Participants to obtain proper written documentation on the sale or transfer of any horse that they previously raced or was stabled on the NYRA grounds, and NYRA reserves the right to require a trainer(s) or individuals responsible for a horse to provide such documentation. Failure to cooperate under this section may lead to loss of stabling, racing privileges and/or possible exclusion from NYRA property.
- (b) Horse Retirement. Horsemen and their employees are required to conduct due diligence on those buying horses and NYRA encourages them to support rescue and adoption efforts and to find humane ways of dealing with horses unable to continue racing. Visit <https://nytha.com/aftercare/> or <https://www.thoroughbredaftercare.org/> for racehorse retirement options.

⁵ The term trespass as used herein means that a Racing Participant will be barred from the Racetracks for a time period to be determined in NYRA's discretion. A trespass notice will be issued to the Racing Participant noting the reason for the trespass, as well as the time period for which the individual is prohibited from entering the racetrack(s).

- (c) Attending Veterinarian. Per HISA rule 1020, an “Attending Veterinarian” is defined as “a veterinarian providing treatment or services to Covered Horses hired or authorized by the Trainer or Owner or his or her respective designee.”

As used herein, the term “Attending Veterinarian” shall include the designated veterinarian and any other veterinarian who is a member of their veterinary practice.

- (1) As a condition to, and in consideration for a Trainer being permitted to race, conduct an official timed workout (work), or train any horse at Aqueduct Racetrack, Belmont Park or Saratoga Race Course, the Trainer and the Trainer’s Attending Veterinarian shall sign an Attending Veterinarian Agreement and submit to the Racing Office each calendar year. Entries will not be accepted until the signed agreement has been received. Refer to the Appendix for the current Attending Veterinarian Agreement.
- (2) No veterinarian shall be recognized or considered an Attending Veterinarian unless and until the Trainer and such veterinarian have agreed to be bound by this agreement by submitting a fully executed copy of this agreement to the NYRA Racing Office. If a Trainer changes their Attending Veterinarian, a new agreement must be submitted. Only the most recent agreement shall be recognized.
- (3) It is the sole responsibility of the trainer to ensure that a licensed veterinarian is available at all times to ensure the health and welfare of such trainer’s horses and to attend to trainer’s horses at all times such horses are on NYRA-operated grounds in any and all emergency situations. If a trainer can demonstrate that, despite their best efforts, the veterinarian was unresponsive to their attempts at communication, NYRA will consider the attempt at communication as a potential mitigating circumstance in the adjudication of an alleged violation.
- (4) Each horse entered to race must have an Attending Veterinarian on the grounds during the race day who is available in the event that the horse needs veterinary care. The assigned Attending Veterinarian should remain onsite and be available until their horse leaves the test or claim barn (if applicable).
- (5) Refer to the Attending Veterinarian Agreement in the Appendix for current requirements for exam requirements for horses entering to race and for any horse working while on the Veterinarians’ List.
- (6) Attending Veterinarian Entry Exams must be completed and submitted via electronic medical records/HISA portal. Entries need to appear in the record as Mandatory Attending Vet Inspection or Vet Inspection with a note of entry exam.
- (7) Failure to submit Attending Veterinarian Exams may result in a fine or other action taken by the NYRA Steward. The penalty schedule will reset for each meet; however, multiple violations in a single NYRA meet or across several NYRA meets may result

in stronger penalties. All actions and penalties are at the sole discretion of the NYRA Steward.

- (d) Humane Treatment of Animals & Penalties for Mistreatment of Animals. NYRA requires all Racing Participants to humanely treat all animals under their care. Any Racing Participant who handles or treats any animal without regard for the well-being of the animal or causes physical injury or pain or suffering to the animal may lose stabling and/or racing privileges and/or be subject to exclusion from NYRA property.
- (1) Humane treatment includes the performance of reasonable diagnostics, at the expense of the Owner and/or Trainer, as suggested or recommended by a NYRA Veterinarian or an Attending Veterinarian.
 - (2) Humane treatment also includes the performance of procedures or surgeries, considered routine or that have a high likelihood of improving a horse's quality of life, at the expense of the Owner and/or Trainer, as suggested or recommended by a NYRA Veterinarian or an Attending Veterinarian.
 - (3) Mistreatment includes failure to provide medical care as described above, euthanasia against veterinarian recommendation, excessive training, excessive whip use outside of a race, or other conduct that, in the sole discretion of NYRA, jeopardizes animal safety or welfare.
 - (4) If a horse is injured, lame, or otherwise in need of routine or recommended diagnostics, failure to perform such diagnostics may be considered in violation of the House Rules.
- (e) Horses Shipping In and Out of NYRA Racetracks. Trainers and owners are responsible for following current NYRA processes and requirements for shipping in and out of NYRA facilities. Trainers and owners are required to provide NYRA with the exact location of the destination of horses that are leaving NYRA property per HISA rule 2143: Racehorse Monitoring. Trainers and owners shipping horses are responsible for performing the required due diligence to ensure horses in their care are transported in safety by humane methods. Failure to prevent the shipping of horses via cargo ship will result in the immediate removal of the associated owner or trainer's horses from NYRA-operated grounds.
- (f) Prohibited Devices. An electrical or mechanical device or other expedient designed to increase or hinder the speed of a horse, other than a riding crop approved by the stewards, shall not be possessed by anyone, or applied by anyone to a horse at any time on NYRA-operated grounds, per HISA rule 2273: Other Devices.
- (g) Age Restrictions. Horses 10 years of age or older and maidens six years of age or older are ineligible to be stabled, train, record timed workouts or race at NYRA racetracks, with the exception of horses working as pony horses or Outrider horses.

2. Training Rules and Protocols

(a) Communication With NYRA

- (1) NYRA employs a text system to provide updates and notifications to trainers. Trainers can request to be added to the system through the Racing Office.
- (2) Notifications include but are not limited to: hours of operation for training, schooling hours, break times, changes and updates during inclement weather.

(b) Training Rules

- (1) Racing Participants engaged in training activities must adhere to the direction of Outriders at all times.
- (2) Anyone mounted on horseback anywhere on Racetrack grounds must wear a fastened safety vest and a fastened helmet at all times per HISA rule 2293: Equipment.
- (3) All Racing Participants engaged in training activities shall follow the posted rules for each track, including but not limited to: hours of operation, jogging rules, gate procedures and ponying rules and limitations.

(c) Safety Protocols

- (1) When the siren and warning lights are on, the track is closed for training and all horses and riders during a breeze, gallop or workout should ease their horse to the best of their ability while exiting the track as safely as possible.
- (2) NYRA will inform all trainers via text of the track being closed and re-opened.
- (3) Outriders will notify track veterinarians, first responders, and security and safety personnel of an incident during training. The NYRA Safety Steward will document the incident.
- (4) When there is a human or equine ambulance on the track, no rider or horse should proceed past or around the location of the incident.
- (5) Cell phone use is prohibited while mounted on horseback.
- (6) Exercise riders and trainers will be subject to a BAVP hearing for violations of training or safety rules by order of the Stewards.

(d) Track Rules

- (1) All horses working or breezing must do so on the inside portion of the track.
- (2) All horses galloping must do so in the middle portion of the track and always be aware of horses to the inside.

- (3) All horses jogging must stay to the outside portion of the track and always be aware of horses to the inside.
- (4) All backtracking (jogging the wrong direction) going to the gaps must stay to the outside portion of the track.
- (5) All turf workers must stay outside of the Dogs.
- (e) Clockers' Stand. Nobody is permitted in the restricted area of a Clockers' Stand except for official timekeepers and other racing officials or authorized NYRA employees.

3. Fatalities, Necropsies and Mortality Reviews

- (a) Equine Fatalities. It is the responsibility of the trainer (or the trainer's Attending Veterinarian) to notify the NYRA Veterinary Department Director of the death of any horse that dies while on NYRA-operated grounds under their care or custody, regardless of reason or circumstances, within six (6) hours. If possible, the trainer (or the trainer's Attending Veterinarian) may also report the fatality to the Safety Steward. No deceased horse may be removed from the racetrack grounds other than by NYRA as outlined below.
- (b) Necropsies. All horses that die or are euthanized on NYRA-operated grounds shall have a necropsy performed per HISA rule 2170: Necropsies. This includes provisions for storage, transport, laboratory agreement, infection control, and reporting of findings.
- (c) Mortality Reviews. In the event of a catastrophic injury, sudden death, or any other equine fatality on NYRA-operated grounds, the NYRA Racetrack Risk Management Committee will meet to review findings relative to the incident in compliance with HISA rule 2121: Racetrack Risk Management Committee. Per this rule, persons connected to the Covered Horse who may have information relevant to the incident are required to participate in the review.

4. Trainer Responsibility

Trainers shall be strictly responsible at all times for the condition of all horses trained by them and will be deemed the responsible party in the event of a violation of any Racing Regulator rule or House Rule affecting the condition of a horse.

5. Pre-Race Horse Security and Surveillance

Trainers must follow the Horse Security and Surveillance Policy and Procedures issued by NYRA to ensure safety and integrity of all entered horses.

Refer to the Appendix for the current and complete NYRA Horse Security and Surveillance Policy. In addition to NYRA-specific security and surveillance protocols, NYRA follows the

Anti-Doping and Medication Control Program (ADMC) under regulation of the Horseracing Integrity and Safety Authority (HISA) and the Horseracing Integrity & Welfare Unit (HIWU).

(a) Dedicated Saddle Towels

NYRA reserves the right to require horses nominated/pre-entered to certain events to wear dedicated saddle towels during training. NYRA will notify horsemen when this is required and will provide saddle towels. Wearing dedicated saddle towels may be required for up to one week prior to the event.

(b) In-Today Program

The NYRA In-Today Program covers the security and surveillance of all horses entered to race at a NYRA facility. Entered horses are identified with stall assignments and monitored by patrolling security officers. Security officers will patrol the shedrows of barns with In-Today horses and report and investigate any suspicious activity.

Trainers are responsible for placing an *In-Today* plaque or stall webbing on the stall of each entered horse and ensuring horses report to Assembly Barn at the designated time.

(c) Enhanced Horse Surveillance

NYRA reserves the right to designate additional races for Enhanced Horse Surveillance. Races under NYRA Enhanced Horse Surveillance are subject to additional security and surveillance beyond the security patrols outlined in the In-Today Program. Horses entered in Enhanced Horse Surveillance races will have an increased security guard presence and must follow stricter protocols regarding stabling, visitors and veterinary oversight. NYRA will notify horsemen if they are entering a race with Enhanced Horse Surveillance and participants will be required to sign off on the procedures to participate.

Dedicated Security Officers will monitor each horse during the eight hours preceding post-time and maintain stall visitor entry/exit logs. All equipment, feed, hay bales, supplies, topical applications, containers, boxes, bags, etc. are subject to search and seizure.

Horses may be subject to additional veterinary oversight, including but not limited to soundness exams and monitoring during training hours.

(d) Dedicated Horse Watch

The NYRA Dedicated Horse Watch program deploys additional security for select Grade 1 races with a minimum purse of \$1,000,000 or other races designated by NYRA. Horses entered in Dedicated Horse Watch races will have dedicated security guards and must follow stricter protocols regarding stabling, visitors and veterinary oversight. NYRA will notify horsemen if they enter a Dedicated Horse Watch race.

Trainers are responsible for ensuring horses are on the NYRA grounds no later than 72 hours prior to post time or as instructed by the SVP of Racing & Operations or the VP, Security, ensuring that horses do not leave the grounds and remain in their designated location, and reporting horses to the Assembly Barn at the designated time.

Security will monitor each horse during this time and maintain stall visitor entry/exit logs. All equipment, feed, hay bales, supplies, topical applications, containers, boxes, bags, etc. are subject to search and seizure.

Horses may be subject to additional veterinary oversight, including but not limited to soundness exams and monitoring during training hours.

6. Removal of Horse Deemed Non-Competitive

In the event that NYRA deems a horse stabled on NYRA-operated grounds non-competitive or otherwise unfit to race in NYRA races (as defined in the Condition Book), NYRA reserves the right to demand the removal of such horse from NYRA grounds. Such horse may be subject to stall revocation at any time during the race meet for which stalls were granted.

7. Conduct Detrimental to Racing and Threats to Health and Safety

If NYRA deems a Racing Participant's conduct detrimental to racing, or if such conduct is deemed to pose a danger to the health and safety of horses or humans, NYRA reserves the right to impose penalties upon such Racing Participant regardless of whether the conduct occurred in New York or in another jurisdiction.

8. Restricted Areas

The Board of Stewards reserves the right to identify, enforce, and control access to restricted areas. Restricted areas may include, but are not limited to, designated areas of the Clockers' Stand, the locker room in the Jockey's quarters, mutuel islands, tote rooms, the Stewards' stand, photo finish room, placing judges work area and Receiving, Assembly, and Test barns.

Guest access to restricted areas may be determined at the discretion of the Stewards.

PART 3—RACING OFFICE RULES AND POLICIES

Racing office rules and policies issued by NYRA ("Racing Rules") can be found in various NYRA publications such as, but not limited to, Condition Books. The Racing Rules are incorporated by reference in these House Rules as if fully set forth herein. Such Racing Rules may be changed or updated without notice. In the event of a conflict between these House Rules and any Racing Rules, the Racing Rules shall control. NYRA's most recent Condition Book rules can be found in the Appendix.

Topics covered in the Racing Rules include, but are not limited to: entries, scratches, conditions, eligibility, claiming, equipment, preference dates, stabling, ship-ins, workout requirements, shockwave therapy, workers' compensation, and horsemen's bookkeeper.

1. Racing Office Protocol

When visiting the Racing Office at any of the Racetracks, Racing Participants are required to remain behind the counter at all times unless given permission to enter the restricted area by authorized personnel for a specific purpose.

2. Stalls

- (a) Stall Application. Each horse's trainer must complete a stall application to be allocated a stall for such horse on NYRA-operated facilities. The stall application requires disclosure of the name (name of dam if unnamed), sex, age and maiden status of the horse; whether the horse is New York bred; and information about its trainer, owner and other interests pertaining to the horse. The trainer must sign the stall application. By signing the stall application, the signatory agrees to the stipulations set forth therein, including, without limitation, acknowledging HISA, NYSGC and NYRA rules and regulations.
- (b) Stall Allocation Policy. NYRA's Racing Secretary, or their designee, will review each stall application to determine the horses (if any) that should be granted stalls given the goal of maximizing field size and quality of horses on Racetrack grounds. In making such determination, the Racing Secretary may consider all relevant information about the horse and the trainer, including, without limitation, training, breeding, performance, history of compliance and other criteria as outlined in detail in NYRA's Stall Allocation Policy, which can be found in the Appendix.
- (c) NYRA reserves the right to refuse or revoke stalls in its sole discretion.
- (d) Trainers without stalls allocated at a NYRA facility shall require the written permission of the SVP of Racing and Operations, Veterinary Department Director, Sr. Director of Racing and/or Racing Secretary to use NYRA's facility for training purposes.
- (e) All terms and conditions contained in the Stall Application are incorporated by reference herein and can be found in the Appendix.
- (f) Stall Assignments. Stalls will be assigned as equitably as possible based on availability and NYRA's reasonable business judgment during any given race meet.
- (g) Pony Stall Application. In addition to the Stall Application submitted for horses intended to race at a NYRA facility, trainers and pony persons must submit a Pony Stall Application to the Racing Office for approval. All terms and conditions contained in the Pony Stall Application are incorporated by reference herein and can be found in the Appendix.

PART 4 — STABLE AREA

1. General Rules

(a) Only Racing Participants with a NYRA identification badge marked “stable access” shall be permitted in the stable area, unless a temporary pass is obtained from the Security Department. The NYRA Identification badge shall be carried at all times without exception. NYRA reserves the right to penalize Racing Participants who fail to comply with this section and/or to seize expired badges, as well as to exclude a Racing Participant with an expired badge from the Racetrack property until a current badge is obtained. (A current New York State Gaming Commission license must be obtained before NYRA will issue an identification badge.)

(b) Racing Participants shall only use designated entrances and exits to the stable area.

(c) Racing Participants shall not give their identification badge to anyone else to use.

(d) Racing Participants shall not bring unauthorized persons into the stable area.

(e) Racing Participants are required to render full cooperation during any official inquiry or investigation.

(f) Racing Participants are prohibited from selling food or other products unless properly licensed.

(g) Racing Participants are not permitted to possess any duplicate key for any Gate or building on the grounds of a Racetrack.

(h) Racing Participants who do not reside in a residential unit are only permitted to enter and remain on the grounds between 10:00 pm and 4:00 am if they have been specifically designated by a trainer or by NYRA to be on the grounds for a business purpose.

2. Children in the Backstretch

(a) Children under the age of 16 must be accompanied by a licensed guardian at all times while on NYRA property, with the exception of children enrolled in Anna House, Belmont Child Care Association (BCCA) or other sponsored programs.

(b) No children allowed on NYRA property after 6:00 p.m. This may be extended at Stewards’ discretion following major racing events or when last post exceeds 6:00pm.

(c) Children may not be left unattended at any time.

(d) Children are not allowed in Assembly Barns, Test Barns, or Receiving Barns.

(e) Baby strollers are not permitted in the stable area at any time.

(f) During training hours, children are only allowed in the stable area if they are accompanied by a licensed guardian at all times. Children are not allowed on the racing or training surfaces or horse paths during this time.

(g) Additional restrictions or exceptions are at the discretion of the Stewards.

3. Visitors

(a) Visitors are prohibited in the stable area at any time unless authorized.

(b) Visitors must obtain a pass before entering the stable area. Passes will be issued only after authorization from a Trainer, Assistant Trainer, Jockey or Owner, is received.

(c) Visitor passes must be worn on an outer garment and returned to the Security Office when departing the barn area.

(d) Visitors must remain with their sponsor and are prohibited from soliciting.

4. Alcohol Use or Sale

(a) Racing Participants are never permitted to sell alcohol on Racetrack property. Failure to comply with this rule will subject the violator to criminal prosecution.

(b) Alcohol consumption is permitted in the backstretch subject to the following restrictions:

(1) Racing Participants are not permitted to possess or consume alcoholic beverages in the Recreation Hall.

(2) Racing Participants are not permitted to possess or consume alcoholic beverages in the Backstretch kitchen from 8:00 p.m. to 11:00 a.m.

(3) Racing Participants are not permitted to possess open containers of alcoholic beverages in any vehicle. This includes, but is not limited to, cars, trucks, motorcycles, mopeds, golf carts and bicycles.

(4) All Racing Participants are prohibited from consuming alcoholic beverages during training hours (5:00 a.m. to 11:00 a.m.), at any other time a Racing Participant is engaged in work-related duties, or at any time while on horseback.

(5) Racing Participants who appear intoxicated during training hours or at any time that they are participating in work-related activities or on horseback, may, at NYRA's sole discretion, be required to submit to a Breathalyzer and/or urine analysis screening before being permitted to return to work. Any Racing Participant that is involved in an incident resulting in a loose or injured horse may be subject to submit to a Breathalyzer

and/or urine analysis. Results or refusal to submit to testing may be included in the incident report.

- (c) The BAVP may mandate that a Racing Participant that violates this section undergo a drug and/or alcohol evaluation. If, after such evaluation, it is determined that the individual requires treatment, the BAVP may mandate registration with a licensed drug and alcohol treatment program as a condition of continued employment or access to NYRA-operated property. One such treatment program is administered by the Backstretch Employees Service Team (B.E.S.T.), which offers on-track licensed outpatient drug and alcohol treatment. More information about B.E.S.T. can be found on its website at <http://bestbackstretch.org/>
- (d) In accordance with HISA Rule 2191, jockeys will be subject to a breathalyzer test prior to their first mount on each race card. Starting gate personnel will be randomly selected for breathalyzer testing on each race card.
- (e) NYRA reserves the right to conduct additional breathalyzer testing of anyone on horseback or otherwise in control of a horse during racing or training in accordance with NYRA's Alcohol Testing During Training and Racing Policy.

5. Employment and Badge Lists

- (a) Trainers are responsible for ensuring that their employees, including freelance employees, have current NYRA identification and a valid NYSGC license.
- (b) Upon termination of employment, NYRA-issued identification badges shall be surrendered to the Identification Office.
- (c) Trainers are responsible for maintaining an up-to-date listing of current employees. This information shall be provided to NYRA security personnel on request. **Failure to maintain an up-to-date badge list will subject trainers to fines and/or penalties.**
- (d) Trainers shall notify the Security Identification Office within twenty-four (24) hours after an employee is hired or terminated.
- (e) Trainers who have hired workers that are issued temporary badges are responsible for ensuring that they obtain the proper Gaming Commission license and NYRA-issued identification badges from the Identification Office.

6. Residential Units (Dormitories and Cottages)

- (a) Racing Participants who are granted the use of a dormitory room or cottage ("Residential Unit") are responsible for keeping their Residential Unit clean and free from health and safety hazards. To this end, NYRA requires all occupants of Residential Units

(“Occupants”) to sign a “Residential Unit Agreement,” which contains rules designed to maintain safe and sanitary living and working conditions in the backstretch. The Residential Unit Agreement, with the full list of occupant rules and responsibilities, is located in the Appendix.

- (b) All individuals granted a Residential Unit must maintain a current NYRA badge and Gaming Commission license. Upon loss or surrender of such credentials and/or license, Occupants are expected to voluntarily vacate their residential unit. Failure to vacate a Residential Unit will subject Occupants to immediate eviction proceedings.
- (c) It is the responsibility of all trainers to ensure that their current employees who have been granted a Residential Unit have signed the Residential Unit Agreement. If a trainer knows of an employee who has not signed such agreement, they should contact the Dormitory Office as soon as possible.
- (d) In addition to signing the Residential Unit Agreement, all backstretch workers and Occupants must comply with §4047.11 of the New York State Gaming Commission rules and regulations.
- (e) Only approved service animals are permitted in Residential Units.

7. Backstretch Rules of Conduct for Attending Veterinarians

- (a) It is the personal responsibility of each Attending Veterinarian to remove from the grounds of the Racetrack all syringes, needles and any potential hazardous or infectious waste used in the course of his or her practice. This waste shall be disposed of in accordance with applicable law.
- (b) All Attending Veterinarians shall register with and be escorted by NYRA security personnel prior to entering any Receiving or Assembly Barn.
- (c) Attending Veterinarians, shall sign in at Gate 6 at Belmont Park Racetrack and Aqueduct Racetrack, and Gate 15 at Saratoga Race Course, when entering the grounds between the hours of 11:00 p.m. and 5:00 a.m.
- (d) Attending Veterinarian trailers are provided for business purposes only. Attending Veterinarians and/or their staff are strictly prohibited from using trailers for any other purpose, including as a residential unit. NYRA reserves the right, in its sole discretion and without prior notice, to suspend trailer privileges if it is found that a trailer is being used in violation of this rule.

8. Animals in the Barn Area

- (a) Owners are strictly responsible for the care and control of their animals at all times. NYRA reserves the right to prohibit any animal from its property that shows aggression, is at risk of spreading disease, or otherwise becomes a nuisance or safety hazard.
- (b) Dogs are permitted on the backstretch pursuant to the following restrictions.
 - (1) Trainers must register dogs with NYRA security. When a dog is registered a tag will be issued. Tags must be affixed to the animal's collar at all times. Tags shall not be transferred from one animal to another and only two dogs may be registered per person.
 - (2) Untagged dogs will not be permitted on the grounds of a NYRA Racetrack. Unregistered dogs shall be picked up and turned over to the proper authorities.
 - (3) Only trainers and assistant trainers are permitted to register dogs.
 - (4) No dog may be registered until evidence of a current license by the appropriate civil authority is presented to NYRA security personnel.
 - (5) Dogs must be leashed at all times. No tether shall exceed fifteen (15) feet in length.
 - (6) Dogs are not permitted within twenty-five (25) yards of any track being used for training while training activities are taking place.
 - (7) Only service dogs are permitted on the frontside.
 - (8) Dogs that exhibit any propensity toward viciousness will not be permitted on the grounds of a NYRA Racetrack.
- (c) Goats and other Large Barn Animals. Goats and other large barn animals may be permitted in the barn area at NYRA's sole discretion. Trainers must register goats or other large barn animals with NYRA Security.

9. Sanitation Requirements for Barns and Stalls

To maintain a safe, sanitary and orderly backstretch community, NYRA requires Racing Participants to cooperate fully with NYRA's rules and policies. The following rules will be strictly enforced:

- (a) Manure Containers. Used straw or shavings must be placed inside the manure containers located outside each barn or in the manure storage area. Unsanitary conditions encourage the growth of the insect and rodent population. If manure containers/areas reach full capacity and have not yet been picked up, please email or call the Facilities Department at the following:

- Belmont: MaintenanceBEL@nyrainc.com (516-775-2694)
- Saratoga: MaintenanceSAR@nyrainc.com (518-693-7644)
- Aqueduct: MaintenanceAQU@nyrainc.com

- (b) Feed Boxes. Bags of feed must be kept in the storage containers provided.
- (c) Shedrows and Tack Rooms/Offices. These areas of the barn must be kept neat and clean at all times.
- (d) Garbage. All garbage must be discarded in appropriate NYRA containers. When dumpsters reach full capacity, please notify facilities using the contact information listed above.
- (e) Washpads. Without exception, all horses must be washed on the concrete washpads located on the perimeters of barns at all NYRA tracks.
- (f) Water Conservation & Disposal. Water buckets must be emptied into a drain located on the washpads. Dumping water buckets into the road or the horse path is prohibited. Hoses must be equipped with nozzles and should never be left running and unattended. Only biodegradable soap may be used for washing.

10. Golf Carts

- (a) The privilege to operate a golf cart on NYRA premises is subject to the following requirements:
 - (1) Pedestrians and horses have the right of way at all times. Operators must yield right of way to vehicles, patrons, pedestrians, and horses.
 - (2) Owners of golf carts must register them with Track Security.
 - (3) Gas powered golf-carts are prohibited on NYRA-operated property. Only electric powered carts are permitted.
 - (4) Those driving a golf cart (“Operators”) must have a valid driver’s license and authorized to operate golf cart by owners or trainers, or if an employee of NYRA, his/her direct Supervisor.
 - (5) The operation of golf carts should be restricted to business purposes only.
 - (6) Operators may not operate golf carts after 10:00 P.M. except in an emergency or unless permission is obtained from NYRA Security. Operators may not operate golf carts on the frontside during live racing.
 - (7) Operators must operate the golf cart in a safe and responsible manner. Reckless operation will not be tolerated.

- (8) Operators may only drive at the speed appropriate to the roadways and surface conditions and must not exceed a limit that may be hazardous or reckless to pedestrians, patrons and animals.
 - (9) Operators cannot park golf carts in areas that impede the flow of patron traffic.
 - (10) No passenger may be standing, hanging on to rear, or perched on the dashboard of the golf cart. Passengers must be seated and face the direction of the seats at all times while the golf cart is in operation.
 - (11) Operators and passengers cannot jump on or off the golf cart while it is moving.
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- (b) New York State Vehicle and Traffic Laws prohibit the operation of golf carts on any public road or highway which includes the shoulder and sidewalk areas. NYRA will not be responsible or liable for the illegal operation of any golf cart operator.
 - (c) Golf carts are not to be overloaded in a way that obstructs the operator's vision or ability to operate the cart safely.
 - (d) The use of golf carts in patron areas after the gates open is prohibited unless authorized by Security. Golf carts should be parked in designated areas. Operators will be held responsible for the safe operation of golf carts in areas occupied by patrons and NYRA will not be held liable for any injury to third persons as the result of illegal or unsafe operation of a golf cart.
 - (e) Any accident, damage, or injury caused to another vehicle, property, including track property or person, must be immediately reported to NYRA Security. Operators of golf carts cannot leave the scene of any accident until the arrival of the NYRA Security or the Police Department, if applicable.
 - (f) NYRA shall not be held liable for any damage to a golf cart not owned or operated by NYRA, nor will NYRA be held liable for any bodily injury or property damage caused by an Operator, or damage to the golf cart itself.
 - (g) Operators must follow the directions of NYRA Security and Safety personnel at all times.

11. Motor Vehicles

- (a) Operators of motor vehicles must adhere to the posted speed limit in the barn area.
- (b) Motor vehicles that do not have proper state registration plates shall be considered abandoned and removed from the grounds of the Racetrack.

- (c) Live-in trailers are prohibited unless approved by NYRA.
- (d) Horses being led or ridden shall be given the right of way at all times.
- (e) Racing Participants are prohibited from the following conduct on the backstretch:
 - (1) Operating motorcycles, mopeds or similar vehicles.
 - (2) Operating uninsured motor vehicles.
 - (3) Operating unregistered motor vehicles.
 - (4) Operating motor vehicles without a valid driver's license.
 - (5) Repairing a motor vehicle except in the case of an emergency. No major repairs of a motor vehicle are permitted at any time.
 - (6) Car washing.
 - (7) Driving or parking on horse paths except as permitted by authorized signs.
 - (8) Driving a motor vehicle while under the influence of alcohol or drugs.
 - (9) Double parking.
 - (10) Parking in violation of authorized signs.
 - (11) Parking within fifteen (15) feet of fire hydrants or fire hose connections.
 - (12) Parking in a manner that blocks exit doors of barns or access to horse loading ramps, manure pits or valve house doors.
 - (13) Parking in front of auto exit gate from barn area.
 - (14) Operating a vehicle while using a cell phone or hand-held device.
 - (15) Failing to obey all traffic signs, including horse crossings, especially during training hours.
 - (16) Failing to follow direction from NYRA security personnel.
- (f) E-bikes are prohibited on NYRA-operated property due to their potential to create a fire safety hazard.

12. Fire Safety

The following conduct is prohibited in Residential Units, Barns or any other structure:

- (a) Cooking or possessing any cooking or heating devices, including exposed heating appliances known as oat cookers;
- (b) The possession of an electrical or other heating device;
- (c) The placing of locks or hasps on dormitory doors or barn exit doors;
- (d) The locking of barn exit doors;
- (e) Smoking or carrying a lighted cigar, cigarette, pipe or match using any spark, flame or fire-producing device in barns. Smoking is prohibited in any enclosed area, including, but not limited to, dorm rooms, stalls, shed rows, feed rooms, tack rooms, offices, etc.;
- (f) The storage of hay, straw, bedding or other materials within eighteen (18) inches of a sprinkler head;
- (g) The storage of hay, straw bedding, or other materials in stalls unless authorized;
- (h) The storage of hay, straw or other materials within eighteen (18) inches of an electrical light bulb or heat producing device;
- (i) Obstructing standpipes, fire hose cabinets or using fire cabinets for storage;
- (j) The storage of combustible materials within six (6) feet of oil burners;
- (k) The storage inside barns of paints, cleaning fluids or other flammable liquids, except those used for medicinal purposes. Trainers are prohibited from storing more than two (2) gallons of alcohol inside barns;
- (l) The storage of gasoline driven vehicles inside barns;
- (m) The storage of hay or straw in center aisles, or against interior (stall side) walls of barns. The storage of straw or hay against exterior walls of shed rows is subject to limitation by fire safety personnel;
- (n) The use of adaptors that accommodate two or more electrical devices on a single outlet;
- (o) The use of extension cords, except on a temporary (immediate) emergency basis. Only heavy-duty single outlet, minimum fourteen (14) gauge wire, extension cords are permissible. Maximum distance between outlet and appliance cannot exceed twenty-five (25) feet;

- (p) Open burning anywhere in the stable area;
- (q) Altering, covering or tampering with any fire suppression/detection device or system;
- (r) The possession of fireworks;
- (s) Deliveries from feed trucks or other large vehicles may not be made during training hours;
- (t) Using a fan with exposed wiring or without a cover over the blade; or any fan that is not in good operating condition;
- (u) The storage of any items in the dormitory hallways, including, but not limited to, bicycles;
- (v) Storage of anything in the valve houses; and
- (w) Hanging of any article from any sprinkler pipe.

NYRA is the sole and ultimate arbiter in interpreting and enforcing the provisions of these House Rules.

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