

# 2018

## HORSEMEN'S GUIDE



PLAINRIDGE PARK  
CASINO



Penn National  
Gaming, Inc.

**PENN NATIONAL GAMING, INC.**

***HORSE RACING GUIDE***

***2018***

# HORSE RACING GUIDE

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**THIS 2018 HORSE RACING GUIDE SHALL BE SUPPLEMENTED WITH THE RULES AND POLICIES OF THE LOCAL RACING GUIDE FOR PLAINRIDGE PARK CASINO.**

# **Penn National Gaming**

## **A LEADER IN RACING**

Penn National Gaming, Inc. (“PNGI” or the “Company”) through its subsidiaries as of March 31, 2017, owns, operates or has ownership interests in twenty-seven gaming and racing facilities in seventeen jurisdictions, including California, Florida, Illinois, Indiana, Kansas, Maine, Massachusetts, Mississippi, Missouri, Nevada, New Jersey, New Mexico, Ohio, Pennsylvania, Texas, West Virginia, and Ontario. As of March 31, 2017, in aggregate, Penn National Gaming’s operated facilities featured approximately 35,000 gaming machines, 800 table games and 4,600 hotel rooms.

The Company’s headquarters are located in Wyomissing, Pennsylvania.

### **Our Tradition of Live Racing**

The roots, and name, of Penn National Gaming trace to a racetrack in Grantville, Pennsylvania. Starting in 1972 with Penn National Race Course, the Company has now grown into not only one of the nation’s top gaming companies, but the largest owner of pari-mutuel facilities in North America. The Company conducts nearly 1,200 live racing dates annually and processes over \$1 billion in pari-mutuel handle on its races or at its facilities annually.

PNGI has full or joint venture ownership in 11 racetracks, including Thoroughbred Racing at Hollywood Gaming at Mahoning Valley Race Course (Austintown, OH); Zia Park Casino, Hotel & Racetrack (Hobbs, NM); Hollywood Casino at Penn National Race Course (Grantville, PA); Hollywood Casino at Charles Town Races (Charles Town, WV) and Sam Houston Race Park (Houston, TX). Standardbred Racing is conducted at Freehold Raceway (Freehold, NJ); Hollywood Casino, Hotel & Raceway (Bangor, ME); Hollywood Gaming at Dayton Raceway (Dayton, OH) and Plainridge Park Casino (Plainville, MA.) Sanford Orlando Kennel Club (Longwood, FL) and Valley Race Park (Harlingen, TX) host Greyhound Racing. In addition to live racing, year-round simulcasting from racetracks around the country, and the world, are offered at all of these facilities.

PNGI operates or jointly operates five Off-Track Wagering facilities: two in Pennsylvania, two in New Jersey and one inside our Bangor, Maine casino. PNGI also operates the national account wagering site *Hollywoodraces.com* which offers legal pari-mutuel wagering via the internet, mobile app and telephone in over 21 states.

### **Major Races & Events**

Offering quality race meets and presenting marquee races is the mission for PNGI’s racing division. PNGI’s racing profile has increased dramatically in recent years, highlighted by the Grade 2, \$1.2 million Charles Town Classic, the richest thoroughbred dirt race in the United States for older horses outside of the Breeders’ Cup Classic and Pegasus World Cup. Charles Town is also host to the Grade 3, \$300,000 Charles Town Oaks.

Other major racing events hosted by Company racetracks include the \$500,000 Grade 2 PENN Mile and \$200,000 Fabulous Strike Handicap (Penn National Race Course); the \$400,000 Houston Ladies Classic and \$250,000 John Connally Stake, both Grade 3 races (Sam Houston Race Park); \$2 million New Mexico Breeder's Championships and \$1 million Land of Enchantment Day (Zia Park.); \$200,000 Steel Valley Sprint (Mahoning Valley); and the \$150,000 Dayton Trotting Derby and \$160,000 Dayton Pacing Derby (Dayton Raceway.)

## **INTRODUCTION TO THE GUIDE**

The public reputation and goodwill of Penn National Gaming, Inc. ("PNGI"), as well as each of the race tracks it owns or operates (collectively and individually referred to herein as the "Racetrack"), are valuable assets vital to our success. As members of the pari-mutuel wagering and gaming communities, it is necessary for all of us to adhere to the industry's highest standards of integrity in order to ensure both positive public perception and maintain the licenses and regulatory privileges of PNGI and the Racetrack.

This *Horse Racing Guide* (the "Guide") applies to all personnel associated with the Racetrack, including all persons who hold valid and current racing licenses or who are otherwise permitted on the Racetrack's privately owned property, including, but not limited to, owners, racing officials directly employed by the Racetrack (excluding employees of Racing Commissions or other government regulatory bodies), trainers, trainers' agents, grooms, veterinarians, vendors, pony people, outriders, independent contractors, jockeys, jockeys' agents, drivers, guests, other agents, and anyone else with a racing license or permit (collectively referred to herein as the "Racing Participants").

Racing Participants shall comply with all rules and policies within the Guide. Failure to abide by the rules and policies within the Guide may result in sanctions being imposed on a Racing Participant, including but not limited to loss of stabling and/or racing privileges, ejection, eviction or barring from the all premises of the Racetrack. A Racing Participant's violation of the Guide at any one PNGI's Racetrack, may be considered by PNGI, in its sole discretion, as a violation applicable to all other PNGI Racetracks, and such Racing Participant may face sanctions at all PNGI Racetracks.

The Guide covers a wide range of actions designed to foster integrity and honesty among all Racing Participants. It does not cover every issue that may arise, but rather sets out basic principles of behavior for all Racing Participants. Dishonest or illegal conduct will constitute a violation regardless of whether the conduct is specifically addressed in the Guide. In order to maintain the privilege to enter and conduct business on the Racetrack grounds, Racing Participants must be familiar with and comply with the Guide as well as all applicable laws and regulatory requirements.

No guide or code of conduct can replace the thoughtful behavior of someone conducting their business with a high level of integrity. Thus, in addition to the Guide, all Racing Participants are also expected to conform to the racing industry's highest standards of professional and ethical

conduct. Any decision to act, or not to act, against a person covered by this Guide is at the sole discretion of the Racetrack and based on the information and circumstances of each individual occurrence.

While we expect to periodically give notice relative to updates to the Guide and other matters, because of the fast-paced and highly-regulated nature of our business, the Racetrack reserves the right to alter or amend this Guide and any or all of its rules and policies, at any time, and from time to time, at its or PNGI's sole discretion. The Guide is widely distributed in the public areas accessible to Racing Participants as well as on the websites of every Racetrack. We will make reasonable efforts to communicate any such change; however, it is incumbent upon the Racing Participants to make themselves familiar with the contents of the Guide and to be aware of any changes, updates or modifications to this Guide.

## **PART 1 – GENERAL**

### **1.1 STANDARDS OF CONDUCT**

#### ***A. General***

All persons covered by the Guide shall avoid conduct that is detrimental to the integrity of, and public confidence in, the pari-mutuel wagering and gaming community. Ethical and responsible conduct serves the interests of the Racetrack, the Racing Participants, and the racing industry as a whole. Illegal or irresponsible conduct does more than simply tarnish the offender. It can put innocent persons at risk, damage the reputation of others, and undermine the public's respect and support for the racing industry.

In the normal course of our business, the Racetrack may require Racing Participants to complete and sign various forms, and provide other information as required or requested, prior to being granted access to or continuing with racing privileges at the Racetrack. Racing Participants are expected to fully cooperate at all times in these processes.

#### ***B. Dishonest, Offensive or Illegal Conduct***

While criminal activity is clearly outside the scope of permissible conduct, and persons who engage in criminal activity will be subject to the appropriate legal actions, the standards of behavior for Racing Participants are considerably higher than merely avoiding conviction of a crime. Instead, persons must conduct themselves in a way that is not only "lawful," but that also promotes a high degree of integrity within the industry. Persons who fail to live up to this standard are subject to sanctions by the Racetrack.

By way of example only, and not intended as an exclusive list, the following activities are prohibited (whether within or outside of the Racetrack grounds):

- Criminal offenses of any kind;
- Violent or threatening behavior;
- Conduct that creates a negative public perception of PNGI or the Racetrack;
- Conduct that undermines or puts at risk the integrity and reputation of the pari-mutuel wagering and gaming industry in general;
- Violation of the Racetrack’s safety policies or rules;
- Failure to comply with the lawful directions of authorized Racetrack representatives; and
- Misrepresentations in any application or form or other disclosure statements made to the Racetrack or to any government regulatory body.

### ***C. Racing Misconduct***

Any person(s) involved in entering or scratching horses that Racetrack reasonably believes is not in good faith will be in violation of the Guide. Examples of this conduct include, but are not limited to:

- Entering a race without the intention of racing;
- Entering a horse into a race or causing a horse to be entered into a race for the benefit of another;
- Frequent scratching of horses entered to race; and
- Knowingly receiving a horse through a transfer, or acting as a “program trainer,” from/or for individuals not permitted on Racetrack’s property or not properly licensed by the appropriate regulatory body.
  - i. In such cases, a trainer or other individual associated with horse may be required to provide written documentation evidencing such individual is the actual trainer, or that a legitimate transfer has taken place among the former trainer or owner, wholly separated from any matters involving such horse. Documentation that may be required includes, but is not limited to, bank records, checks, receipts or signed affidavits. This requirement is over and above any requirements that may be placed on an individual by a regulatory body and the legitimacy of the transfer in question will be determined in the Racetrack’s sole discretion.

- ii. Unless Racetrack receives documentation and evidence to its satisfaction that such a complete separation between current and former trainer exists, Racetrack reserves the right to restrict the entering of horses, or entry of horses to the grounds of Racetrack that (1) made their most recent start within 90 days; and/or (2) made their most recent start in the name of a Racing Participant who would not be permitted to participate in racing at Racetrack, whether due to action taken by Racetrack, a violation of this Guide, or based on violation of rules and regulations in the applicable jurisdiction.
- iii. In the event an individual is serving a suspension from a recognized jurisdiction, Racetrack reserves the right to restrict entries from individuals who are closely associated or related to the suspended individual or such individuals who worked directly for the suspended individual unless Racetrack has determined otherwise.

#### ***D. Medications and Related Issues***

In the event of a positive test received in a recognized jurisdiction by a Racing Participant, or a horse under the care of a Racing Participant, Racetrack reserves the right to impose sanctions as contained herein.

A “positive test” is defined herein as the presence of a prohibited medication, or a medication in a horse in excess of allowable amounts as stated in the applicable rules and regulations of a recognized jurisdiction, the subsequent confirmation of such an excess by a split sample (if conducted) and the documented verification of such an excess by a recognized jurisdiction’s horse racing regulatory authority; *provided however that* when a split sample is not requested, the original test indicating the presence of medication in excess of allowable amounts as stated in the applicable rules and regulations of a recognized jurisdiction shall constitute a “positive test.”

Racetrack understands that positive tests occur with medications that are classified as to their pharmacological impact and its impact on the ability to affect the performance of a horse or the outcome of a race. However, a trainer whose horse in such trainer’s care and custody receives a positive test for a Class 1 or Class 2 medication (as determined by the Association of Racing Commissioners International, “ARCI”), or a medication not permitted by the Food and Drug Administration (FDA) in a recognized jurisdiction may be sanctioned by the Racetrack, upon receipt of reasonable information acknowledging a positive test.

The Racetrack reserves the right to restrict entry in any race at any PNGI Racetrack to a horse that has received a positive test for a Class 1 or Class 2 medication for a minimum period of 30 days from the date Racetrack receives proper notification of a positive test and may be required to vacate the grounds of the Racetrack. All horses in the care of a trainer receiving a Class 1 or Class 2 positive test, or receiving a Category A penalty under ARCI, may also be requested to vacate the Racetrack grounds for a period of time as determined by the Racetrack. An Owner whose horse(s) receives a positive test for a Class 1 or Class 2 medication(s), or a Category A penalty with two (2) different trainers in any recognized jurisdiction may be sanctioned by the Racetrack, upon proper notification of the positive test(s) and/or penalties. Additionally, the Racetrack may sanction an owner following the receipt of the first positive test for a Class 1 or

Class 2 medication on any of Owner's horse(s) in a recognized jurisdiction. For purposes of this provision, any individual or corporation will be deemed an owner of a horse if their percentage of ownership requires them to be licensed in the jurisdiction where the positive test occurred.

A trainer, an individual horse and/or the owner of an individual horse that receives multiple positive tests, without regard for the classification of the medication, may be sanctioned by the Racetrack. In making such a determination, the Racetrack may consider the frequency and time span encompassing the period of positive tests; the classification of the medication(s) for the positive tests; the nature and severity of the medication involved in such positive tests; extenuating circumstances regarding the positive tests, and; any other previous conduct by the trainer and/or owner that Racetrack deems relevant in making such a determination regarding such positive tests.

Any adjudication process undertaken by a trainer, owner or individual associated with a horse receiving a positive test(s) shall not be a determining factor upon the Racetrack with regard to any independent action or sanctions imposed by the Racetrack.

With the exception of licensed veterinarians permitted to practice on Racetrack grounds, the possession of hypodermic needles, syringes and medications contrary to any applicable regulation is prohibited and may result in sanctions by the Racetrack.

Racetrack may take any action under this section for any violation of Prohibited Practices Section of ARCI's "*Uniform Classification Guidelines for Foreign Substances and Recommend Penalties and Model Rule*" as amended from time to time. Such Prohibited Practices include, but not limited to at this time, possession or use of Cobalt, Erythropoietin (EPO), Darbepoietin, Oxyglobin, Hemopure, and Demorphin or any other drug, substance or medication not approved by the United States Food and Drug Administration (FDA) for use in the United States.

#### ***E. Illegal Drugs/Alcohol***

The use, distribution or possession of illegal drugs is not permitted at any time on grounds of the Racetrack. 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. Alcohol is not permitted within any Racetrack backstretch area, or in any barns or dormitories located on Racetrack property.

#### ***F. No Solicitation Policy***

There is a no solicitation policy at the Racetrack, which includes, but is not limited to, circulation of petitions, political flyers, or distribution of literature not approved in advance in writing by the Racetrack. Signs identifying stables and trainers and vendors must be approved and in writing by the Racing Secretary's Office or appropriate Racetrack Manager.

### ***G. Mandatory Mortality Reviews***

In the event a horse suffers a catastrophic injury or sudden death either during the course of a live race, during training hours or otherwise while on the grounds of the Racetrack, Racetrack may require the trainer, and/or any other individual associated with the training, racing, care or custody of such horse to participate in a mortality review meeting with Racetrack. Such review meetings shall be scheduled as soon as practical after such incidents occur.

Furthermore, it is the responsibility of the trainer, or veterinarian for trainer, to report the death of any horse under their care or custody, regardless of reasons or circumstances, within eight (8) hours to the proper Racetrack racing official. No horse may be removed from the Racetrack grounds without such notification and authorization for removal by Racetrack. Racetrack reserves the right to require, at cost of trainer/owner of such horses, a necropsy, examination and removal of any horse that is euthanized or dies, for any reason, on the grounds of Racetrack.

### ***H. Animal Welfare***

Any Racing Participant covered by this Guide 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, including excessive or unnecessary training or whipping, as determined in the sole discretion of Racetrack, may be sanctioned. Except as required by statute or regulation, it is the sole responsibility of the trainer to ensure that a licensed and competent 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 the grounds of Racetrack in any and all emergency situations in which a regulatory or Racetrack veterinarian is not required to be present or to respond to a trainer's horse(s.).

In the event Racetrack 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, such individual(s) may be sanctioned by the Racetrack. The Racetrack 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 grounds of Racetrack. The Racetrack reserves the right to require trainer or individuals responsible for a horse to provide such documentation.

### ***I. Treatment of Racetrack Staff/Non-Disparagement***

All persons covered by the Guide are required to afford the Racetrack's staff the highest level of professional courtesy and treatment. Racing Participants agree to fully cooperate in providing information pursuant to any investigation by Racetrack or its agents.

Any verbal or physical mistreatment or inappropriate or disrespectful conduct toward the Racetrack's staff will be a violation of required standards.

It shall be a violation of standards for any person covered by the Guide to disparage PNGI or the Racetrack, or any of their affiliates, employees, staff or personnel, in any manner by any type of

medium. This includes, but is not limited to, disparagement by use of the internet, e-mail, and via any social media such as blogs, Facebook, etc.

### ***J. Past Conduct and/or Sanctions***

Past conduct and/or sanctions having occurred at other PNGI Racetracks, in other recognized jurisdictions or at other facilities may be considered when evaluating the fitness of an individual covered by the Guide to conduct business on any PNGI Racetrack property. Such evaluations and decisions will be at the sole discretion of PNGI and the Racetrack.

## **1.2 REPORTING GUIDELINES AND WHISTLEBLOWER PROTECTION**

Individuals may, in good faith, report violations or suspected violations of the Guide via written submission made in a timely manner to the PNGI Corporate Vice President of Racing (c/o PNGI's corporate office at 825 Berkshire Blvd., Wyomissing, PA 19610) or the Racetrack's Director of Racing. There will be no retaliation of any kind against any person for good faith reporting of a suspected violation. Any person who feels that they have been retaliated against shall report it as set forth above. Any person who retaliates against someone who in good faith has reported a suspected violation is subject to sanctions by the Racetrack.

## **1.3 ACTING IN GOOD FAITH**

Anyone filing a report or complaint concerning a violation or suspected violation of the Guide must act in good faith and have reasonable grounds for believing the information disclosed indicates a violation. Any allegations that prove not to be substantiated and which prove to have been made maliciously or were known to be false when made will be viewed as a serious violation of the principles contained in this Guide.

## **1.4 RACETRACK AS SOLE ARBITER**

As property owner responsible for the integrity of racing at its locations the Racetrack is the sole and ultimate arbiter in interpreting and enforcing provisions of this Guide and the Local Racing Guide of the respective Racetrack.

## **1.5 RACETRACK AS A PRIVATE ACTOR**

While Racetrack may consider violations of racing rules in recognized jurisdictions and/or results of medication testing performed by a recognized jurisdiction when exercising its rights against individuals violating provisions of this Guide, Racetrack is a wholly separate and private entity from any state agency or government regulatory body and Racetrack at all times acts independently from any such agencies or regulatory bodies with respect to all persons covered by the Guide.

As Racetrack is duty bound to uphold the law, no efforts by Racetrack to do so shall be construed as Racetrack operating as an instrument of the state.

## **1.6 INSURANCE**

All persons holding a racing license or permit as a trainer may be required to have workmen's compensation insurance as required by the Racetrack and/or recognized jurisdictional authority or Racing Commission. Trainers shall, upon request by Racetrack or recognized Racing Commission or jurisdictional authority, provide a workmen's compensation certificate and any other documentation Racetrack, Racing Commission or jurisdictional authority may reasonably request evidencing that the foregoing insurance is in effect.

Racetracks may require trainers, on behalf of themselves, and their agents and employees, as well as any other independent contractors working on the grounds of the Racetrack, to maintain comprehensive general liability insurance in a minimum amount proscribed in the Local Racing Guide, which is intended to indemnify the Racetrack, and its directors, officers, employees, landlords and agents from any and all liability arising from a trainer's actions. If such general liability insurance is mandated in the Local Racing Guide, the trainer, upon request by Racetrack, shall provide a certificate of insurance and any other documentation Racetrack may reasonably request evidencing that the foregoing insurance is in effect.

Vendors operating or regularly conducting business on Racetrack grounds may be required to show proof of insurance in such amounts as required by Racetrack.

Any vehicle operated on the Racetrack grounds or in the Racetrack stable area must be properly registered with Racetrack and proof of proper insurance will be required upon request. No person shall operate any vehicle on the grounds of Racetrack without a valid driver's license. Racetrack reserves the right, at any time, to require Racing Participants to show proof of any appropriate insurance coverage as it deems necessary.

## **1.7 SURVEILLANCE/INSPECTION**

The racing industry is highly-regulated and requires significant oversight including security-related measures. As a result, surveillance and security inspection measures are in use within the Racetrack premises. All individuals entering the grounds at the Racetrack consent to all surveillance and/or inspection measures employed by the Racetrack for both individuals and horses.

The Racetrack may require horses to be placed in a pre-race surveillance program and/or specified secured areas prior to the post time of the race in which they are entered under terms, conditions, policies and procedures prescribed from time to time by the Racetrack.

Racetrack reserves the right to inspect any vehicle entering, exiting or parked on the grounds of the Racetrack as well as any piece of equipment brought onto the grounds of Racetrack by any individual. Failure to allow inspections under this section may result in sanctions by the Racetrack.

A trainer and his/her veterinarian are required to ensure that there will be no treatment or administration given to a horse (other than for a documented emergency situation), or medications administered to a horse, on race day, other than the administration of approved race day medication(s) in the respective jurisdiction of Racetrack. Racetrack reserves the right to impose additional requirements for horses scheduled to race, including but not limited to restricting access to horse's stall on race day for purposes other than feeding, general grooming and administration of permissible race day medication(s) of such horse as well as emergency veterinary care.

Responsibility and costs for any horse in any surveillance program will remain solely with the horse's trainer. In no event will Racetrack assume responsibility or liability for such horse(s).

## **1.8 ASSUMPTION OF RISKS**

All persons covered by this Guide acknowledge horses, horse riding and racing, horse training and practicing, 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.

By participating in our industry and choosing to enter the Racetrack premises voluntarily, Racing Participant has and does hereby assume all of the above risks, and releases Racetrack, on the Racing Participant's behalf and on behalf of all their family members, and will hold Racetrack harmless from any and all liability, actions, causes of actions, debts, claims and demands of every kind and nature whatsoever which Racing Participant now has or which may arise out of or in connection with his/her participation in those activities and risks.

# **PART 2 – RESULT OF GUIDE VIOLATIONS**

## **2.1 IMPOSITION OF SANCTIONS**

A violation of any of the rules and policies set forth in this Guide and/or Racetrack's Local Guide may lead to the imposition of sanctions against Racing Participants. Subject to applicable regulatory requirements, sanctions shall be administered in the sole discretion of the Racetrack, including but not limited to:

- i. temporary suspension or permanent loss of privileges, including loss of stabling and/or racing privileges at Racetrack;
- ii. loss or refund of any or all nomination, declaration and entry fees;
- iii. being barred from all Racetrack and PNGI's Racetrack premises;
- iv. any other remedy available by law.

Any sanction which involves a Racing Participant's privileges being suspended or lost, or a Racing Participant being barred from premises, may involve such loss, suspension or barring from any or all of the PNGI Racetracks, as determined in the sole discretion of PNGI and or Racetrack. Subject to Section 2.2 below, the sanctions as set forth by Racetrack for any violation of the rules and policies are final.

## **2.2 OPPORTUNITY FOR RECONSIDERATION**

In cases where Racetrack has barred a Racing Participant from the premises for a period of more than two (2) years, such person subject to such action may seek review of the decision by written request directed to the PNGI Corporate Vice President of Racing or the Director of Racing at Racetrack which originally issued the ejection and setting forth, in detail, the grounds for the request for reconsideration.

Any review shall not be considered until a minimum of one (1) year has elapsed since the last review of such ejection. Racetrack is under no obligation to grant a review or reconsider a prior ejection.

# Plainridge Park Casino Property Guidelines



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# PLAINVILLE GAMING & REDEVELOPEMENT, LLC PLAINRIDGE PARK CASINO

## LOCAL RACING GUIDE

### Contact Information

Mailing Address: Plainville Gaming and Redevelopment, LLC  
c/o Plainridge Park Casino  
301 Washington Street  
Plainville, MA 02762

Main Phone: 508-576-4500

Website: [www.plainridgeparkcasino](http://www.plainridgeparkcasino)

2018 Race Dates: April 16 – November 29

Racing Office: 508-576-4485 / 508-576-4486

Judges' Office: 508-576-4487

MA Gaming Commission:

### MASSACHUSETTS GAMING COMMISSION

Honorable Charlie Baker	Governor
Stephen Crosby	Chairman, Massachusetts Gaming Commission
Gayle Cameron	Member
Enrique Zuniga	Member
Eileen O'Brien	Member
Bruce Stebbins	Member
Ed Bedrosian	Executive Director
Dr. Alexandra Lightbown	Director of Racing

*Massachusetts Gaming Commission*  
101 Federal St.  
Boston, Massachusetts 02110

**PLAINVILLE GAMING & REDEVELOPEMENT, LLC**  
**PLAINRIDGE PARK CASINO**  
Racing Officials and Personnel

Jay Snowden	Chief Operating Officer, PNGI
John Finamore	Sr. Vice President, Regional Operations, PNGI
Christopher McErlean	Corporate Vice President Racing, PNGI
Lance George	Vice President, General Manager
Stephen O'Toole	Director of Racing
Lenny Calderone	Racing Services Manager
Paul Verrette	Racing Secretary
Anmarie Mancini	Presiding Judge
Kathy Breedlove	Program Director / Clerk of Course
Gregory Brewster	Paddock Judge
Chrissy Nadeau	Identifier
Richard Flanders	Starter / Patrol Judge
Christine Lynch	Horsemen's Bookkeeper
Dr. Jeremy Murdock	Track Veterinarian
Ed Harrop	Track Supervisor

## **HORSEMEN'S ORGANIZATIONS**

### **Harness Horsemen's Association of New England**

P.O. Box 1811  
Plainville, Massachusetts 02762

Robert McHugh, President  
James Hardy, Vice President  
Alice Szpila, Treasurer  
Frank Antonacci, Director  
Robert Bogigian, Director  
Joseph Flynn, Director  
Paul Silva, Director  
Joseph Therrien., Director  
Wallace Watson, Director

### **Standardbred Owners of Massachusetts Inc.**

P.O. Box 1682  
Plainville, Massachusetts 02762  
508-528-1877  
[www.sominc.net](http://www.sominc.net)

Ed Nowak, President  
James Hardy, Vice President  
Nancy Longobardi, Secretary Treasurer  
Raymond Campbell, Director  
Bonnie Rush, Director  
Paul Vacca, Director  
Henry Zola, Director

### **New England Amateur Harness Drivers Association**

301 Washington Street  
Plainville, Massachusetts 02762

Billy Abdelnour, President

## **RACING OFFICE GUIDELINES**

The applicable rules of the Massachusetts Gaming Commission (MGC) and/or the United States Trotting Association (USTA) shall be strictly enforced. All licensed persons participating at this meet are presumed to be familiar with these rules. Copies of these policies are available in the Judges' and Racing office, and on the Plainridge Park Casino website. Any future changes to these policies will be prominently posted in those three locations.

All trainers are required to complete, sign and submit a **Racing Application** regardless of whether they may or may not desire stalls. Participation in pari-mutuel and qualifying races and training is not permitted until the Racing Secretary approves the Racing Application.

Stable rosters must be kept up to date. Additions to the application must be made to the Racing Secretary weekly by 1 p.m. on Tuesdays.

Horses are required to have a negative Coggins test which expires no earlier than December 1, 2018. Trainers should be aware that this may be a different policy than in other jurisdictions and should plan accordingly.

Approved drivers must report with their USTA licenses to the Clerk of the Course. Drivers with expired licenses will be given only one (1) notice to renew. All drivers must give their USTA number to the Race Office at Plainridge Park Casino prior to participation in overnight races or qualifying events at Plainridge Park Casino.

All trainers and drivers must complete the **"Release and Waiver of Liability, Assumption of Risk and Indemnity Agreement"** prior to exercising, training or racing any horse on the Plainridge Park Casino track. This is a pre-requisite for qualification to be insured under accident and disability insurance policy, and there shall be no exceptions.

Unless otherwise noted, the race office will open on draw mornings at 8:00 AM and the entry box will close at 9:00 AM. Trainers are asked to conduct their race office business in an efficient and professional manner.

Whenever possible it is requested that trainers make out their own declarations. Trainers shall be held fully responsible for telephone declarations. The USTA online entry system should be utilized whenever possible.

It is the policy of Plainridge Park Casino that every attempt will be made to race approved horses on a weekly basis. While circumstances may be such that horses occasionally "race back" on short rest, those decisions are made entirely at the Race secretary's discretion.

Race conditions may be altered and any and all events are subject to being combined at discretion of Racing Secretary to create full fields.

Horses entered incorrectly, whether deliberately or mistakenly, may be moved to the class to which they actually are eligible at discretion of Racing Secretary.

Horses may not drop more than one (1) class without permission of the Racing Secretary. Any horse winning its last start, including optional claimers, may be required to move up in class in their next start. Winning horses that do not advance in class may be drawn to the outside.

Horses qualifying at Plainridge Park Casino are expected to make their next pari-mutuel start at Plainridge Park Casino unless approved by the Racing Secretary. Failure to adhere to this policy may result in loss of racing privileges.

Performances in Massachusetts Sire Stakes events will not be considered in the classification of overnight events.

Post positions for all events will draw by the USTA computerized draw system. Horses fitting a lower condition may be drawn to the inside. Horses not fitting an original condition may be drawn to the outside.

*Draw Schedule will be posted on the weekly condition sheets.*

*Scratch Time is 10:00 AM the day following the draw.*

## **Qualifying Standards**

**PACE - 2:03 TROT - 2:05**

- Two (2) second allowance for half-mile pari-mutuel tracks
- Two (2) second allowance for two and three-year-olds
- Allowances are cumulative

Any changes to qualifying standards will be posted on the weekly condition sheet.

Qualifying days and post times will be listed on the weekly condition sheet.

## **JUDGE'S GUIDELINES**

All scratches and changes must be processed through the Judges' Office only. Trainers are responsible to check on the status of catch drivers and Also Eligibles with the Judges.

Trainers are responsible for the condition of both their horses and equipment. If an unnecessary delay is caused by faulty equipment or shoeing, the trainer may be fined.

Broken equipment must be shown to the paddock judge or starter immediately after the race. If the equipment is found to be faulty, in the opinion of the judge's, fines may be imposed.

Anyone entering the racetrack must wear a safety vest and a buckled helmet at all times. Wearing sneakers, tennis shoes, or sandals is prohibited. All drivers and trainers entering the track during racing hours must be in clean, full colors that include white pants.

Race day changes must be made with the Judges in a timely manner. Driver changes made after the program is printed are subject to the approval of the Presiding Judge. Late driver changes may be subject to fines.

All equipment changes after the formation of the post parade must take place in the paddock in the presence of the Paddock Judge. Equipment changes must not take place on the racetrack.

The judges may place a horse on the Judges' List for poor performance at any time. Horses making breaks in 2 consecutive races on a fast track will be required to re-qualify. Horses making a break in 3 consecutive races, regardless of track condition, will be required to re-qualify. Horses placed on the Veterinarians' List must receive clearance from a veterinarian prior to entering into a race.

Veterinarian scratch slips must be provided for horses scratched sick, lame or injured. Veterinarian clearance slips must be provided for those horses before their next start.

Consistent with section 1.2-H of this guide, profane or abusive language toward racing officials or toward any Plainridge Park Casino employee will not be tolerated. Such actions shall result in a fine and/or suspension, as well as a possible loss of racing privileges. Abusive language, fighting or any type of disruptive behavior will not be tolerated. Violators will be subject to a fine and/or suspension as well as possible loss of racing privileges.

Horses shall not be left unattended in the paddock at any time. All horses must have an equipment card on file with the Paddock Judge. Trainers are responsible to maintain an up to date and accurate card with the Horse Identifier.

## **Paddock Procedures**

Paddock Arrival Times will be posted in the Paddock.

The Paddock Judge's office is for official business only.

The only persons admitted to the paddock are owners, drivers, trainers, and grooms of horses programmed to race on that racing card, and fully appointed officials. No person under the age of 16, including owners, is permitted in the paddock.

Any licensee present in the paddock shall be subject to breathalyzer test at discretion of Judges.

No drivers, trainers, or grooms may leave the paddock until their racing business is over without permission of the Paddock Judge.

No Guests will be permitted in the paddock without the expressed written permission of either the Presiding Judge or Race Secretary.

Equipment changes or adjustments are to be made in the paddock only and must be reported to the Horse Identifier.

Unless approved in advance by the Paddock Judge horses may only go to the stalls assigned to them in the paddock. Any horse not in the proper stall may be scratched and the trainer fined. Repeated violations of this section may result in loss of racing privileges.

Smoking is prohibited in Plainridge Park Casino paddock with the exception of designated locations.

All horses must be warmed up at least one time on the racetrack before their scheduled race.

## **DRIVERS**

All Drivers must be approved by the Judges. All Drivers must complete a racing application for racing privileges and the **“Release and Waiver of Liability, Assumption of Risk and Indemnity Agreement”** prior to driving a horse on the Plainridge Park Casino track. Plainridge Park Casino reserves the right to not allow any driver to compete at its discretion at any time. The following information pertains to all drivers competing at Plainridge:

Drivers are expected to drive when programmed. Failure to drive when programmed may be subject to fines and/or suspension.

Provisional Drivers must report to the Judges prior to their first start.

No one under the age of 18 shall drive at Plainridge Park Casino in qualifying or Plainridge Park Casino sponsored overnight events regardless of license classification.

Drivers must notify the Presiding Judge with their choice of driving assignments when listed on multiple horses in a race. All drivers must call the Judges between 8:00 AM - 10 AM regarding driver assignments, the day following each draw. The phone number to call is 508-576-4487.

If necessary, driver assignments will be assigned at the discretion of the Presiding Judge.

All drivers must sign in at the Security Office at least one hour prior to post time for their first race.

All drivers will be administered a Breath Analyzer Test.

Post Parades are expected to be tight and orderly.

All horses must post parade. A driver or trainer may be penalized for failing to parade their horse unless excused by the Judges. A horse may be held at the Paddock with the Judge's permission. All horses are required to go once around the track unassisted prior to the post parade of their respective race. Horses that fail to meet this requirement may be placed on the Judge's List and the trainer of record may be fined.

Drivers will parade and score the horses they are scheduled to drive. Any driver unable to do so must give proper notification to the Paddock Judge in advance.

Drivers who are concerned with the soundness or equipment of any horse shall notify the Starter any time prior to the word “Go”.

All horses shall go the course, except in the case of an accident or broken equipment. If a driver is unable to continue, he or she must take the horse to the outside fence until the race is completed. If the horse has suffered an injury and is unable to complete the course, the driver shall dismount and hold the horse along the outside fence until the race is completed. Lame

horses shall not be driven back to the Paddock. In such instances drivers should wait for assistance to remove the horse from the track.

All drivers involved in an accident are required to be examined by the Medical Staff.

Drivers must file all Objections with the Starter in the turn past the Finish Line immediately following the race, stating the number of the offending horse, where the incident occurred, and the nature of the violation. The driver must then immediately return to the Paddock Judges Office. Late Objections will not be accepted.

While on the racetrack, drivers will refrain from talking with other drivers and members of the public.

Drivers must keep both feet in the stirrups at all times except to pull earplugs. Any other incidents of a foot out of the stirrup may be considered kicking and could result in a fine and/or suspension.

Drivers shall set and maintain a pace comparable to the class in which they are racing. Failure to do so by going an excessively slow quarter or at any other portion of the race that changes the normal pattern, overall timing or general outcome of the race will be considered a violation and may be subject to a fine and or a suspension.

A penalty may be imposed, for driving in a half-in, half- out position

Any driver leaning back excessively in the bike may be subject to a fine.

Drivers must make every effort to stay outside of the pylons. Disqualifications, fines and/or suspensions may be imposed for leaving the course.

Drivers must keep a rein in each hand from the start to the finish of each race. One handed whipping is not allowed.

The use of the whip and/or reins on a horse that fails to respond shall be a violation. Reins shall not be used in a whip like fashion.

Excessive use of the whip, in any style or fashion, and/or using the whip after the finish of a race shall be considered a violation resulting in a fine and/or suspension.

Horses may be placed and the driver found blameless provided every effort has been made to avoid interference.

Unless warming up horses on the racetrack or obtaining permission from the Judges to leave, drivers shall remain in the paddock until all their engagements are completed.

**DRIVERS ON AND OFF THE RACETRACK ARE REMINDED THEY ARE PUBLIC FIGURES AND MUST CONDUCT THEMSELVES ACCORDINGL**

## TRAINERS

All trainers participating at Plainridge Park Casino are required to complete, sign and submit a racing application as well as a liability waiver as set forth in the Racing Office section. Participation in pari-mutuel races, qualifying races, and training is not permitted until such paperwork is approved and on file in the race office.

All trainers are to be familiar with section 1.2 of the Penn National Racing Guide, paying particular note to sections regarding horse mortality and animal welfare policies.

All trainers are to be familiar with the regulations of the Massachusetts Gaming Commission (MGC) including MGC Trainers Reference Manual and the United States Trotting Association (USTA). The MGC regulations will take precedence. All trainers and their grooms must have a current MGC license.

**Trainers should be familiar with MGC medication regulations and policies, particularly those pertaining to the administration of lasix and to TCO2 testing. All lasix administration will take place under the supervision of the Massachusetts Gaming Commission. Per MGC 3.29.6b lasix shall not be given less than four (4) hours prior to post time of the individual race.**

Trainers are responsible for the proper declaration of their horses, and are also responsible for providing the required paperwork to the racing office for all horses under their care.

Trainers of record are responsible to name drivers for their horses and to insure the driver's appearance. All trainer changes are subject to the approval of the Presiding Judge.

Trainers of record shall be held fully responsible for horses being in the paddock at the prescribed times. Trainers who will be absent from the paddock shall be held responsible for notifying the Presiding Judge of the name of the person in charge of their horses. Trainers habitually absent may be subject to sanction by the judges. **Present or not, all trainers are responsible for the horses under their care, as well as those persons in their employ.**

Trainers may be held responsible for horses that show a dramatic form reversal or inconsistent performances.

At the Presiding Judge's discretion, conflicts of interest will be addressed. However, trainers are responsible for notifying the Race Office of any possible conflict of interest. Failure to do so may result in all horses involved being scratched and the trainer being fined.

## **STARTER'S GUIDELINES**

Immediately after the post parade, drivers will turn their horses and score in front of the grandstand. Drivers should listen for the Starter to instruct them when to turn for the post parade and when to assemble for post time.

Horses shall parade in order, 1-2 lengths apart. All horses must score in front of the public at least one time.

With the permission of the Starter and the Presiding Judge, an individual horse may be held during the post parade. Such horses must be held at the paddock gate, under the supervision of the Paddock Judge. Permission must be requested in advance.

After the formation of the post parade, any adjustment of harness or other equipment must be made under the supervision of the Paddock Judge. Trainers are responsible for their equipment to be in proper and safe condition. If you have broken equipment during the race, report it to the Starter immediately after the race is over.

Drivers are expected to stay tightly bunched during the final score before a race; and respond together to the Starter's call to post.

All horses should be on the gate at the start of the race. Crossing over or backing out early at the start of a race will not be tolerated and may be subject to a fine.

There will be NO recalls for breaking horses. There will be a recall for a horse with broken equipment; for interference with another horse; if a horse falls before the word "go" is given; for a mechanical failure of the starting gate or if a horse scores ahead of the starting gate.

Schooling will be conducted on a weekly basis. The day(s) and time(s) will be advertised on the condition sheet.

## **CLAIMING INFORMATION**

Claiming forms will be available from the Clerk of Course.

All claims must be completed and submitted no less than 15 minutes prior to race post time.

All persons submitting a claim must hold a valid USTA and MGC License.

Bank or Certified Check made payable to Plainridge Park Casino for the full amount shall accompany the claim. Funds must include claiming price with allowances, and Massachusetts state sales tax (6.25%).

A separate check or money order for \$35 made payable to the USTA must be included with the Claim Form.

Cash will not be accepted with the claim form.

Multiple claims on the same horse will be drawn by lot by the judges.

All claims will be announced during the post parade.

The Paddock Judge will notify the successful claimant or his representative. Successful claimant or representative shall have the right to measure the horse's hobbles and overcheck.

Trainers stabled on the grounds must receive stall approval prior to submitting a claim. In all other instances a claimed horse must leave the premises.

Per MGC rules, a horse claimed out of a claiming race shall not race at any other track until the close of the season at Plainridge Park Casino or for sixty (60) days, whichever is the shortest period of time.

All prospective claimants are to be familiar with Title 26 of the Anti Money Laundering section of the Bank Secrecy Act.

Claims are not allowed to be submitted against significant others and/or family members. If such a claim is submitted it will be voided.

Plainridge Park Casino reserves its right to reject any potential claimant seeking to file a claim under the MGC open claiming regulation.

## **PURSE DISTRIBUTION**

Unless otherwise indicated purse distribution for all races will be as follows:

50%	1 <sup>st</sup> place
25%	2 <sup>nd</sup> place
12%	3 <sup>rd</sup> place
8%	4 <sup>th</sup> place
5%	5 <sup>th</sup> place

Trainers will receive 5% that shall be subtracted from the owners share.

Drivers will receive 5% or \$15 whichever is greater that shall be subtracted from the owners share.

Purse check will not be released without a “Plainridge Park Casino Purse Authorization” and current W-9 on file. Such paperwork is available in the Racing Office, Paddock Judge’s Office and at [www.plainridgeparkcasino.com](http://www.plainridgeparkcasino.com) .

Purse checks may be picked up, mailed or direct deposited. Purse checks to be picked up will be available on Wednesdays.

Purse Checks will only be distributed to individuals who present proper identification.

Individuals are only allowed to pick up their own purse checks. Purse checks will not be released to third parties.

## **SAFETY RULES**

Smoking is prohibited within the confines of the barn area. Smoking is permitted in designated locations outside the barn area.

Access to sprinkler rooms and fire extinguishers shall not be limited in any manner. Sprinkler rooms are not to be used for storage.

Storage of containers of flammable materials (gasoline, kerosene, propane, etc.) or containers that formerly held flammable material is prohibited.

Submersible heaters used for cooking or feed or heating of water are not permitted in any area.

Heat Lamps are not permitted in the barns.

Fans will be inspected by and upon notice of unsatisfactory inspection the equipment will be taken out of service immediately.

## **BARN AREA**

The Race Secretary grants stabling privileges and requests should be so noted on the Plainridge Park Casino Racing Application and updated when necessary.

All persons stabled in the barn area must familiarize themselves with the appropriate rules and regulations of the Massachusetts Gaming Commission and Penn National Gaming. Trainers should particularly note sections 1.7 through 1.10 of this guide.

In order to enter the Plainridge Park Casino backstretch for racing, qualifying and/or training purposes, all horsemen must present at the Stable Gate any documentation as required by the Massachusetts Gaming Commission or by this guide, which may include, but is not limited to:

- Names of individuals in vehicle(s)
- Proof of Massachusetts Gaming Commission license of all individuals
- Name of Horse(s)
- Location horse(s) shipping from
- Evidence of Negative Coggins Test within past year (if not already on file)
- Sign off of required Plainridge Liability Waiver Forms (if not already on file)

Horses may not leave the grounds once they have checked in at the stable gate on the day they are racing until they have completed their racing engagement.

All vehicles entering Plainridge Park Casino stable area are subject to search at any time. Failure to adhere to requests by Security or authorized agents of Plainridge Park Casino to conduct such searches will result in immediate revocation of racing, stabling or ship-in privileges.

Horsemen assigned stall space or ship in stalls must keep stalls and all adjoining areas in acceptable condition. No horses may be kept overnight in ship-in stalls except with approval of Racing Secretary or Presiding Judge. Failure to adhere to these rules may result in loss of ship-in privileges.

Manure and trash must be disposed in the proper containers. Trash containers are for barn area trash only. No person shall bring trash from off site to be disposed of in trash containers. It is the responsibility of anyone with allotted stalls to keep the trash and manure areas neat and orderly.

Visitors must be signed in with the MGC and given a visitors pass. Minors under the age of 16 must be accompanied by a licensed adult at all times while in the barn area, minors are not allowed in restricted areas.

Dogs are not allowed in the barn area.

## **RACETRACK**

Racetrack availability and hours will be posted.

All individuals using the racetrack should take notice and be aware of the likely presence of equipment for track maintenance. Such equipment will have the right of way.

The practice of “line driving” and the early stages of jogging young horses is restricted to the final hour of racetrack availability and shall take place on non-racing days only.

No jogging in the confines of the barn area. Towing of horses is allowed before 8 A.M.

Safety helmets with buckled chin straps and protective vests must be worn on the track at all times.

Any person using the racetrack must possess a valid license issued by the Massachusetts Gaming Commission and have a completed **“Release and Waiver of Liability, Assumption of Risk and Indemnity Agreement”** prior to exercising, training or racing any horse on the Plainridge Park Casino track.

All horses shipping onto the Plainridge Park Casino grounds to train must use the race paddock. Horsemen must check in at the stable gate and are bound by all of the policies in this section.

***CONTENTS OF THIS GUIDE ARE SUBJECT TO CHANGE OR ALTERATION AT ANY TIME AT THE DISCRETION OF PLAINRIDGE PARK CASINO OR PENN NATIONAL GAMING, INC.***