

STATE OF NEW YORK



RACING AND WAGERING BOARD
Bureau of Licensing

INSTRUCTIONS FOR HARNESS RACING APPLICANTS

1. Read all questions and answer fully. The following license categories must complete the License Application Supplement: OWNERS, TRAINERS, DRIVERS AND VETERINARIANS.
2. Submit two (2) current 2" X 2" passport quality photos. Write your name on the back.
3. **LICENSE FEES**

The following license fees must be submitted with your application. Remit money order or check drawn on the U.S. Government or a U.S. bank. A check drawn on a bank without a U.S. office is UNACCEPTABLE. Make payable to "NYS Racing & Wagering Board". At this time, credit cards are not an accepted form of payment for license fees.

<u>HORSEMEN</u>		<u>NON-HORSEMEN</u>	
OWNER ORIGINAL	\$ 100	TRACK MANAGEMENT	\$ 20
OWNER RENEWAL	50	MUTUEL CLERK	10
TRAINER	20	GENERAL SERVICE	10
DRIVER	20	SECURITY/PEACE OFFICER	10
FARRIER	20	TOTE EMPLOYEE	10
VETERINARIAN	20	CLEANING SERVICE	5
		FOOD SERVICE	5
		GROOM	5
		STABLE EMPLOYEE	5

Note: An **Original Owner** is defined as an Owner who was never licensed as an owner before or who has not been licensed as an Owner in New York State at any time in the five (5) years preceding this application.

Please note: All licenses expire on the licensee's birthday.

The Board has given consideration to those whose date of birth is **less than** six months from the date of application. In those cases, the license term may be extended to your next birthday by payment of an additional fifty percent fee. This option is available **only** during the initial application period. An applicant who chooses the minimum license coverage period CANNOT extend the term of his or her license by submitting the reduced fee balance at a later date. You would need to file a new application upon the expiration and pay the full price for your license.

There are ANNUAL fees. **RENEWAL** applicants may be eligible for multi-year (2 or 3) licenses. To apply for a multi-year license circle the number of years desired on your application and multiply your annual fee accordingly.

Reciprocity of Disciplinary Actions

Pursuant to Section 912 of the Racing, Pari-Mutuel, Wagering and Breeding Law, the Racing and Wagering Board is required to recognize and enforce all license denials, suspensions and revocations imposed by racing and gambling authorities of other jurisdictions, including states, U.S. territories, and Canadian provinces. A licensee may apply for a hearing and may show cause as to why the penalty should not be enforced in NY. Application for a hearing does not create an automatic right to a hearing or stay. The grant of such hearing or stay is based upon the discretion of the Board. The Application for Hearing form can be obtained at each RWB Track Office or by contacting the Main Licensing Office at (518) 395-5400.

4. **WORKERS' COMPENSATION INSURANCE**

Do you, or will you, hire track, stable or other help in connection with racing at New York State Race Tracks?

If "YES":

Employers must submit a Certificate of Workers' Compensation Insurance on a NYS Workers' Compensation Board Form C-105.2 or a NYS State Insurance Fund Form U-26.3. NYSRWB must be the certificate holder.

Acord forms are not acceptable proof of NYS workers' compensation insurance coverage.

If "NO":

You must submit a NYS Workers' Compensation Board Form CE-200 (Certificate of Attestation of Exemption). The form may be completed and printed through WCB Website www.wcb.state.ny.us under the heading "forms". Then must be submitted to NYSRWB along with your application.

5. **Driver Applicants:** must furnish a current (dated within 6 months) **vision certificate** with their application, as required by Rule 4116.2(a)(5), which states that the applicant "has a minimum 20/40 vision to one eye, corrected, according to certification by a licensed optometrist, oculist or ophthalmologist." A photocopy of a USTA membership card indicating adequate visual acuity is also acceptable.
6. **Security Applicants:** must furnish either a copy of their NYS Department of State (DOS) issued Registration Card or a Temporary Registration Card (issued by the employer).
7. No horse will be accepted for entry in races at tracks under the jurisdiction of the NYS Racing & Wagering Board, that is owned by 35 or fewer owners, unless all of the owners are licensed. If owned by more than 35 owners, each person having a three percent or greater interest must be licensed.
8. All applicants must report any arrest, criminal charge or conviction for a violation or crime which occurs after the date of application.
9. Applicants may submit an application to the NYS Racing & Wagering Board office at their nearest open Harness race track or may mail applications to the Board's main office. Failure to provide the Board with a completed application will result in the REFUSAL of your license application.
10. **FINGERPRINT REQUIREMENTS FOR ALL APPLICANTS**
All first time applicants applying for an occupational license are required to submit **both** State and Federal fingerprints.

If you were last licensed more than five (5) years ago you are considered a NEW applicant with respect to fingerprint requirements.

The New York State Division of Criminal Justice Services (DCJS) announced effective January 2010 only electronic fingerprint submissions will be accepted. The New York State Racing and Wagering Board's (the Board), Bureau of Licensing in collaboration with the DCJS is pleased to announce the implementation of electronic fingerprinting.

FINGERPRINT OPTIONS:

In order to be permitted to participate as a licensee, first time applications MUST be accompanied by an L-1 fingerprinting receipt OR the appropriate fingerprint cards.

1) Use of L-1 Enrollment Services for Electronic Submission (live scan is the preferred method)

Applicants required to be fingerprinted for licensing by the Board should schedule an appointment with L-1 online at www.L1enrollment.com or by calling (877) 472-6915.

When scheduling your appointment **YOU MUST:**

- 1) utilize the Racing and Wagering Board's ORI number: **NY921790Z** AND
- 2) complete the "[NYS Request for Live Scan Services- Information Form](#)" and **BRING** it with you to the fingerprint site with the appropriate identification. (This form can be found on www.racing.state.ny.us)

Upon completion of the fingerprint process, applicants will receive two receipts. **One of these receipts must be submitted to the Board along with a completed application.** The second receipt should be maintained by the applicant for record purposes.

2) Ink Rolled Submission (card scan)

The Board will continue to accept hard copy rolled fingerprint cards. The Board will forward all cards received to L-1 Enrollment Services (L-1) for electronic imaging.

Applicants choosing hard copy rolled print submission must complete and submit two FBI (blue) fingerprint cards with their relevant application.

Submission of hard copy ink rolled fingerprint cards must be accompanied by two forms. (These forms can be found on www.racing.state.ny.us):

- 1) a "[NYS Request for Card Scan Services- Information Form](#)" AND
- 2) the "[Board's Proof of Identification Form and Chart](#)" containing the list of acceptable forms of identification. **IMPORTANT: Fingerprint cards submitted without this completed form will be returned to the applicant and an occupational license will not be issued.**

FINGERPRINT FEE

A processing fee of \$106.00 will be charged for all applicants required to submit fingerprints.

PAYMENT METHOD FOR FINGERPRINTS

1) Payment for prints if choosing L-1 Enrollment Services (live scan)

Payment for **live scan** fingerprint submission is made payable **DIRECTLY** to L-1 Enrollment Services. Payment options include personal or business check, certified check, bank check, money order, credit card, or cash.

2) Payment for prints if choosing Ink Rolled Submission (card scan)

Payment for **card scan** fingerprint submission must be **included with your application fee** and made payable to the "NYS Racing and Wagering Board". Payment options include check or money order drawn on the U.S. Government or a U.S. bank.

NEW YORK STATE RACING AND WAGERING BOARD
1 Broadway Center, Suite 600
Schenectady, N.Y. 12305-2553
Phone: (518) 395-5400 Fax (518) 347-1439

Racing and Wagering Board Rules & Regulations and License Forms can be obtained at www.racing.state.ny.us

NYS RACING LICENSE APPLICATION

New York State Racing and Wagering Board 1 Broadway Center, Suite 600 Schenectady, New York 12305-2553 518-395-5400 FAX 518-347-1439	APPLICATION ↓ YEAR ↓	Fee	FP	TTL
		Rec #	Date	

1. To be licensed as: (Owner, groom, food, etc.)				2. Number of years <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3		3. Division <input type="checkbox"/> Harness <input type="checkbox"/> Thoroughbred			
4. Social Security Number				5. Last year previously licensed or "NEW" for first time:					
6a. Last Name				6b. First Name		6c. MI		6d. Maiden name	
7a. Are you married? <input type="checkbox"/> Yes <input type="checkbox"/> No				7b. Have you moved since your last application? <input type="checkbox"/> Yes <input type="checkbox"/> No					
8a. Spouse last name				8b. Spouse first name		8c. MI		8d. Maiden name	
9. Permanent address (street, city, state, zip code)									
10. Mailing address (street, city, state, zip code) if different from permanent address									
11a. Telephone (home)				11b. Telephone (work)			12. Place of birth		
13. Sex	Height	Weight	Color Hair	Color eyes	Date of birth (mm/dd/yr)				
NOTE: Applicants who are less than 18 years of age must submit working papers & parental consent!									

14. Employment information: (Grooms MUST name their trainers!)									
Who is your employer? (If self-employed, so state and provide details)					Name:				
					Address:				
What is your position?							Type of business?		
When were you first employed in this position?									
Do you have any other employment? <input type="checkbox"/> Yes <input type="checkbox"/> No				If "YES", describe:					

15. References – List the names and addresses of two persons, other than relatives or employees, who have known you well for at least five years:									
Name			Business			Address			

16. List all racing licenses held during the past five years:									
State	Occupation	From - To		State	Occupation	From - To			

17. Are you a public employee, elected public official, political party officer, police officer in New York State?
 YES NO If "YES", you must submit Form PE-1* to complete your application.

18a. Are you under an obligation to pay child support in any jurisdiction?
 YES NO

18b. If "YES" are you 4 months or more in arrears?
 YES NO If "YES", you must submit Form CS-1* to complete your application.

NOTE: Persons who are four months or more in arrears in child support or who have failed to comply with a summons, subpoena or warrant relating to a paternity or child support proceeding may be subject to suspension of their license.

19. Have you ever had any permit or license of any type denied, suspended or revoked by any Federal, State or local government agency?

YES NO IF "YES", EXPLAIN

20. Have you, your spouse or members of your immediate family ever been refused a license, had a license revoked or suspended for 10 or more days, been fined \$250 or more, been barred, ejected or ruled off by any race track or association?

YES NO IF "YES", EXPLAIN:

21a. Have you ever been convicted of any crime, offense or violation of law?
 YES NO IF "YES", EXPLAIN:

21b. Have you been arrested or charged for any crime, offense or violation in which action is still pending?
 YES NO IF "YES", EXPLAIN:

NOTE: A criminal conviction is not an automatic bar to being licensed. However, if you make a false statement, this can result in license denial and or criminal prosecution. If either 21a or 21b is answered "YES", request and complete and Investigator's Supplement – Form IS-1*.

IMPORTANT:

- The authority to request personal information from you, including identifying numbers such as Federal social security and Federal employer identification numbers, and the authority to maintain such information is found in section 5 of the Tax Law and §3-503(3) of the General Obligations Law. Disclosure of this information by you is mandatory. The purposes for which this information is collected include a) enabling the Department of Taxation and Finance to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance and b) enabling the New York State Department of Family Assistance to identify persons for child-support enforcement purposes. The information will be used for identification and licensing purposes and for any other purpose authorized by the New York State Racing and Wagering Board which may include use in a multi-state licensing database.
- By the acceptance of a license issued pursuant to this application, I waive my rights to object to any search, within the grounds of a licensed racetrack or racing association, of any premises which I occupy or control or have the right to occupy or control and of my personal property, including a personal search, and the seizure of any article, the possession of which may be forbidden within such grounds.
- I understand that I must report any arrest, criminal charge or conviction for a violation or crime which occurs after the date of this application.
- An investigative consumer report may be requested in connection with this application. I authorize the Racing and Wagering Board to obtain such a report and understand that I may ask in writing whether or not a report was requested and the name and address of the consumer reporting agency used.
- Knowingly making false statements in this application, including with the intent to frustrate or defeat the enforcement of child support obligations, is a crime punishable pursuant to Penal Law §§ 175.30, 175.35 and/or 210.45.
- I hereby swear that I have read this application and the statements made are true and correct.

Signed X

Date

* Note: Supplemental forms can be obtained upon request from the Board's main office, track offices or via the Board's website where you can download applications, supplemental forms, rules and other documents.
www.racing.state.ny.us

NYS RACING LICENSE APPLICATION SUPPLEMENT
TO BE COMPLETED BY:
OWNERS TRAINERS DRIVERS JOCKEYS AGENTS VETERINARIANS

Name (Last, First, MI)	Social Security Number			
	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:33%; height: 20px;"></td> <td style="width:33%; height: 20px;"></td> <td style="width:33%; height: 20px;"></td> </tr> </table>			

1. OWNER: Do you own any race horses which are likely to race in New York State during this calendar year?
 YES NO IF "YES" answer parts 1a – 1j

1a	List the names of each horse in which you have an interest, wholly or in part or leased to you. (If more than three, provide names on a separate sheet.)		
	Horse name	Purchased from (if bred, so state)	% owned

1b List the name of each trainer you employ or intend to employ:

1c Where are your horses now stabled:

1d How will ownership be listed on program:

1e If ownership is under the name of a registered farm or stable name, list name:

1f Describe your ownership status: Sole Owner Managing Owner Non-Managing Owner

1g	If in CO-OWNERSHIP , list the name of all part owners and percentage of ownership held by each:			
	Name	% owned	Name	% owned

1h	If a horse is owned by a CORPORATION in which you have an interest, provide the following:			
	Corporation name and address:			
	Officers/Directors and their titles:			
	List other stockholders or persons having a beneficial interest in the corporation and percentage of stock held by or for each:			
	Name	% held	Name	% held

1i If under a leasing arrangement, give name and address of the lessee or lessor:

1j List name of corresponding officer (if any):

2. **ALL Applicants:** Do you, or will you, hire track, stable or other help in connection with racing at New York State Race Tracks who are/will not be covered by Jockey Injury Compensation Fund insurance? Yes No

If "YES": Employers must submit a Certificate of Workers' Compensation Insurance on a NYS Workers' Compensation Board Form C-105.2 or a NYS State Insurance Fund Form U-26.3. NYSRWB must be the certificate holder.

If "NO": You must submit a NYS Workers' Compensation Board Form CE-200. Form may be completed and printed through WCB Website www.wcb.state.ny.us under the heading "forms". Then submit to NYSRWB along with your application.

The name of the individual applying for a license MUST appear on the certificate of insurance or CE-200 form submitted to the Board. If the policy is held by a corporation or stable name, the licensee must be added as a separate legal entity to that policy.

3. TRAINER Applicant:

List current owner(s):

Name:

Name:

Harness Trainer Only: Indicate USTA/CTA License Status General ("G") Limited/Private ("L")

4. **JOCKEY/Apprentice Jockey Applicant:** Provide name of jockey agent:

5. **JOCKEY AGENT Applicant:** List Jockeys below:

6. **AUTHORIZED AGENT Applicant:** List employers below:

Note: a copy of a completed authorization must be attached!

7. DRIVER Applicant

Indicate USTA/CTA License status:

Full ("A")

Provisional ("P")

Qualifying/Fair ("Q/F")

Other:

Note: You must have a minimum of 20-40 vision in one eye, corrected, according to certification by a licensed optometrist, oculist or ophthalmologist. The certification must be dated within 6 (six) months of the application date and must be provided with each subsequent application. A photocopy of a USTA membership card displaying adequate visual acuity measurements is also acceptable.

8. VETERINARIAN Applicant:

NYSED License Number:

Date Issued:

Expires on:

If on a temporary permit, list expiration date:

Have you ever been licensed as a veterinarian by any other racing commission? Yes No

If "YES" list states and years below:

The above is submitted as a supplement to my license application and I hereby swear that I have read the supplement and the statements made are true and correct.

Signed X

Date: