

State of Rhode Island and Providence Plantations  
DEPARTMENT OF BUSINESS REGULATION  
*Division of Commercial Licensing and Racing & Athletics*  
233 Richmond Street  
Providence, RI 02903

**RACING & ATHLETICS REGULATION 8 – LICENSE APPLICATIONS**

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**Section 1**     Authority

This Regulation is promulgated in accordance with R.I.Gen.Laws §§ 41-4-1 *et seq.*, 42-14-17, and 42-35-1 *et seq.*

**Section 2**     Purpose

The purpose of this Regulation is to establish standards and procedures for the issuance of licenses to all employees, non-employees, concessionaires, vendors, greyhound owners, and kennel owners at any Dog Racing Track or Gaming Facility, as

well as any other non-employees at any Dog Racing Track or Gaming Facility who have access to any area of the Dog Racing Track or Gaming Facility. Additional purposes of this Regulation include ensuring the safety, security, and integrity of Dog Racing Tracks and Gaming Facilities, and to generally assist the Department in carrying out the administration and enforcement of the terms and provisions of R.I.Gen.Laws §§ 41-4-1 *et seq.* so that the public interest may effectively be served.

### **Section 3**     **Definitions**

As used in this Regulation:

- A.     “Act” shall mean R.I.Gen.Laws § 41-4-1 *et seq.*
- B.     “Applicant” shall mean a Person filing an application or a renewal application for a license.
- C.     “Application” shall mean any of the applications referenced in Appendices A through L, unless otherwise specified.
- D.     “Concessionaire” shall mean any Person operating a concession at any Dog Racing Track or Gaming Facility.
- E.     “Department” shall mean the Department of Business Regulation.
- F.     “Director” shall mean the Director of the Department.
- G.     “Dog Racing Track” shall mean any building, enclosure, or premises at which dog racing is conducted.
- H.     “Gaming Facility” shall mean any building, enclosure, or premises at which pari-mutuel, simulcast, or slot operations are conducted.
- I.     “Key Employee” shall mean any individual employed at a Dog Racing Track or Gaming Facility in a supervisory capacity, any individual empowered to make decisions concerning the operation of a Dog Racing Track or Gaming Facility, and any individual with an ownership interest in a Dog Racing Track or Gaming Facility. This includes all individuals involved in the management of the Dog Racing Track or Gaming Facility.
- J.     “License” shall mean that license issued by the Department to any Person employed at a Dog Racing Track or Gaming Facility, or any Person engaged in Concessionaire or Vendor operations at a Dog Racing Track or Gaming Facility.
- K.     “Licensee” shall mean a Person holding a License.

- L. "Non-employee" shall mean any individual employed by a Licensed Vendor or kennel, rather than by the Dog Racing Track or Gaming Facility, or any individual employed by a construction contractor with access to any area of a Dog Racing Track or Gaming Facility.
- M. "Operations Employee" shall mean any individual, other than management, employed by a Dog Racing Track or Gaming Facility to handle money used in the pari-mutuel, simulcast, or slot operations at the facility.
- N. "Person" shall mean any individual, partnership, corporation, limited liability company, sole proprietorship, or any other legal entity, however formed.
- O. "Service Employee" shall mean any individual employed by a Dog Racing Track or Gaming Facility, other than management personnel and those involved pari-mutuel, simulcast, or slot operations.
- P. "Vendor" shall mean any Person engaged in a vending operation at any Dog Racing Track or Gaming Facility.

**Section 4**     **Licenses**

- A. License Required - No Person shall engage in any business operation or other activity which requires presence at any Dog Racing Track or Gaming Facility (other than patrons of the Dog Racing Track or Gaming Facility), and no Person shall be employed at any Dog Racing Track or Gaming Facility, without first obtaining a License from the Department.
- B. Types of Licenses Issued and Renewal Requirements Pursuant to this Regulation:
  - 1. Operations Employee License – All individuals employed in the simulcast operation of the Dog Racing Track or Gaming Facility are required to hold an Operations Employee License. An application form for an Operations Employee License is contained herein at Appendix A.
  - 2. Service Employee License– All Service Employees, as defined above, employed by a Dog Racing Track or Gaming Facility are required to hold a Service Employee License and required to submit the Application form for Service Employees contained herein at Appendix B.
  - 3. Vendor License – All Persons operating a concession or vending operation at a Dog Racing Track or Gaming Facility are required

to hold a Vendor License. Application forms for initial Vendor Licenses and any subsequent renewals of said License is contained herein at Appendices C and D, respectively.

4. All Operations, Key, and Service Employee Licensees must use the Application contained in Appendix E entitled Online Dog Racing Track or Gaming Facility Employee License Renewal Application to renew their respective existing Licenses and after submitting the respective initial Application for each different type of License.
5. Non-Facility/Vendor Employee License– All individuals working on the premises of (but not employed by) a Dog Racing Track or Gaming Facility are required to hold a Non-Facility/Vendor Employee License. The Application form for the initial licensing of Non-Facility/Vendor Employee is contained herein at Appendix F. All Non-Facility/Vendor Employees must use the Application in Appendix G to renew their existing Licenses but only after initially filing the Application contained in Appendix F.
6. Greyhound Owner's License – All Persons owning or co-owning a dog kenneled at any Dog Racing track are required to hold a Greyhound Owner's License. An application form for a Greyhound Owner's License is contained herein at Appendix H.
7. Kennel Name Registration – All Persons operating a kennel at a Dog Racing Facility are required to register the name of the kennel with the Department. An application form for a Kennel Name Registration is contained herein at Appendix I.
8. Assumed Name Registration – All persons operating a kennel at a Dog Racing Facility under an assumed name are required to register the assumed name with the Department. An application form for an Assumed Name Registration is contained herein at Appendix J.
9. Key Personnel License – All individuals employed in a supervisory capacity, or who are empowered to make decisions concerning the operation of the Dog Racing Track or Gaming Facility, are required to hold a Key Personnel License. Application forms for a Key Personnel License, which consists of two forms (the Multi Jurisdictional Personal History Disclosure Form and the Rhode Island Supplemental Form to Multi Jurisdictional Personal History Disclosure Form), are contained herein at Appendices K and L.

**Section 5**     *Application for License*

Every Person seeking a License shall file a written Application with the Director on the appropriate form contained herein. The term of each License shall be for one (1) calendar year before a renewal Application is required. Renewal Applications shall be filed with the Department no later than October 1 of the year prior to the licensing year.

**Section 6**     *Confidentiality of Application Information*

All personal financial information received by the Department from said Applicants shall be deemed not public under the terms and provisions of R.I. Gen. Laws § 38-2-1 *et seq.* and will not be disclosed unless said Applicant is notified and either agrees to said disclosure or the Rhode Island Superior Court orders said disclosure after consideration of all issues in each context. Said Applications are required to be delivered by Applicants in a sealed envelope to the Department via hand-delivery to the Department's offices at the Dog Racing Track or the Gaming Facility or by first class mail to the Department's office at 233 Richmond Street, Providence, Rhode Island 02903.

**Section 7**     *Severability*

If any provision of this Regulation or the Application thereof to any person or circumstances is held invalid or unconstitutional, the invalidity or unconstitutionality shall not affect other provisions or Applications of this Regulation which can be given effect without the invalid or unconstitutional provision or Application, and to this end the provisions of this Regulation are severable.

**Section 8**     *Effective Date*

This Regulation and the amendments thereto shall be effective as indicated below which is twenty (20) days after the filing of the Regulation with the Office of the Secretary of State.

EFFECTIVE DATE:                      May 3, 2007