



New York State Archives

**New York State Commission to Study, Examine and
Investigate State Agencies in Relation to Pari-Mutuel Harness
Racing Concessionaire Questionnaire and Exhibit Files
B1320**

New York State Archives
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Overview of the Records

Repository:	New York State Archives
Summary:	The commission collected these completed questionnaires in order to collect information on financial and business dealings between harness racing associations and corporations holding concessions from such associations. The questionnaires required detailed background and financial information from concessionaires (suppliers of programs, food, souvenirs, parking, or other goods or services), including the attachment of relevant documentation.
Creator:	New York (State). Commission to Study, Examine and Investigate State Agencies in Relation to Pari-Mutuel Harness Racing
Title:	Commission to Study, Examine and Investigate State Agencies in Relation to Pari-Mutuel Harness Racing concessionaire questionnaire and exhibit files
Quantity:	8 cubic feet
Inclusive Date:	1932-1954
Bulk Date:	1953-1954
Series:	B1320

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Arrangement

Alphabetical by name of concessionaire.

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Scope and Content Note

The Commission collected these completed questionnaires in order to collect information on financial and business dealings between harness racing associations and corporations holding concessions from such associations. The questionnaires required detailed background and

financial information from concessionaires (suppliers of programs, food, souvenirs, parking, or other goods or services), including the attachment of relevant documentation.

Information called for by this questionnaire includes: name and address of concessionaire and all officers and directors; if a corporation, names and address of all incorporators, subscribers, and promoters; if a corporation, attachment of: stock certificate book and stock ledger, certificate of incorporation and all amendments thereto, and minutes of all meetings of board of directors, committees, and stockholders; if not a corporation, attachment of any business and partnership agreements; copies of any agreements between concessionaire and any present or former harness racing licensee or lessor; for each concession held: list and attachment of copies of all written contracts, agreements, or understandings between concessionaire and licensee or lessor, terms and dates of and parties to all oral contracts, agreements, or understandings, if any other persons, firms, or corporations have an interest in these contracts: name(s), terms of contract involved, amount, nature, and duration of such interest, consideration paid for such interest, and reasons for such interest; above information for any other concessions held in New York State, and above information for any concessions held at any harness track outside New York State;

itemized listing of money paid and property delivered or credited each year pursuant to any contracts listed, and reason for any difference between amount contracted for and amount paid; if concessionaire or any of its proprietors, partners, owners, officers, directors, stockholders, or other financially interested parties, was a stockholder of any licensee, lessor, or former owner of property now used as a harness track: name and address of each stockholder and the corporation in which stock was held, amount, class(es), and preference(s) of stock held, date(s) of acquisition, names and addresses of those from whom stock was acquired, consideration furnished for the stock, names and addresses of those who furnished such consideration, date(s) of resale, transfer, or other alienation of the stock, names and addresses of persons to whom stock was resold, transferred, or otherwise alienated, amount, classes, and preferences of stock alienated, consideration received for stock on resale, transfer, or other alienation, names and address of persons who furnished such consideration, name and address of beneficial owner of alienated stock, whether stockholder or person to whom stock was alienated was beneficial owner of stock listed under any other person's name, and if so the name and address of listed owner, and dividends received each year for such stock;

if any proprietors, partners, owners, officers, directors, stockholders, or other financially interested parties was an officer, director, or employee of any licensee, lessor, or former owner, or held a financial interest therein: names and addresses of such interested parties, offices or positions held and dates, salary, wages, or other remuneration received, and dates and nature of financial interest; if concessionaire or any proprietors, partners, officers, directors, stockholders, or other financially interested parties loaned or advanced money or property to, or at the direction of, or for the benefit of, any licensee or lessor: to whom and by whom the loans or advances were made, date(s), amounts, interest rate charged, attachment of copies of any written agreements pursuant to which such loans or advances were made, terms of and parties to any oral agreements pursuant to which such loans or advances were made, names and addresses of persons holding an undisclosed interest in such transactions and the nature of such interest, copies of any mortgages, bonds, or other instruments relating to the securing of payment of the loan or advance, explanation of how the proceeds of such loans or advances

were used, reasons for making such loans or advances, and dates and amount of interest payments and repayment of principal;

all public or private offices or employment outside of concessionaire, and dates; name and address of each person, firm, or corporation other than those on concessionaire's regular account books to whom or to which concessionaire paid \$200 or more per week for at least four consecutive weeks, including dates, amounts, consideration received for the payments, terms of any oral or written contracts pursuant to which payments were made, and which if any of the payees held stock or any other interest in any licensee or lessor; name and address of each person, firm, or corporation other than stockholders holding any interest in concessionaire's net income or profits, including amount received, consideration furnished for such payments, terms of any oral or written contracts pursuant to which such payments were made, and which if any of the payees held stock or any other interest in any licensee or lessor; for each stockholder of the concessionaire: name and address, amount of stock held, date(s) of acquisition, consideration paid for the stock, name and address of person furnishing such consideration, date(s) of resale, transfer, or other alienation of the stock by the stockholder, names and addresses of persons to whom stock was alienated, consideration received for the stock, name and address of person furnishing such consideration, and name and address of beneficial owner if not the listed owner;

contributions or payments made to any legislator, judicial official, or government official in any federal, state, or local government office, including: name and address of payee, amount paid, date, description of the transaction, and consideration received for such payment; name and address of any proprietor, partner, officer, director, stockholder, employee, or holder of any financial interest in the concessionaire who counselled or aided any licensee in connection with obtaining a license, permit, or other grant of power or authority from the State Harness Racing Commission, including description of transaction and consideration requested by, paid, or promised to such person; dates and amounts of all dividends and other capital distributions by concessionaire since 1932, including attachment of all related bank vouchers or checks; if a corporation, total capitalization of concessionaire, including: total authorized stock, total issued stock, total treasury stock, classes of stock and amounts thereof, and any preferential position of stock as to voting and dividends; if any concession which concessionaire held at any harness track in New York since 1940 had previously been held by another person, firm or corporation: name and address of such person, firm, or corporation, circumstances and dates of such change,

if any consideration, promise or other inducement was offered or given to any licensee or lessor or any of their proprietors, partners, agents, owners, officers, directors, or stockholders, or to any labor union official, public official, or political party office holder, to influence action related to such change: names and addresses of such persons, dates, circumstances surrounding the transaction, amounts involved, manner in which such person(s) assisted concessionaire, and with whom such person(s) dealt on behalf of concessionaire; if any concession which concessionaire held at any harness track in New York since 1940 was later granted to another person, firm, or corporation, including same information as requested above; names and addresses of each of concessionaire's suppliers, including attachment of copies of any related written contracts and the terms of any oral contracts; if proprietor, owner, partner, officer, director, employee, stockholder, or holder of any financial interest in concessionaire was an officer, director, employee, stockholder, or holder of any financial interest in any of

concessionaire's suppliers: names and addresses of such persons, position(s) held in such supplier, and date(s) of incumbency;

if any supplier or any of its proprietors, partners, owners, officers, directors, employees, or holder of any financial interest has or does pay or promise a fee, commission, sharing arrangement, rebate, kickback, or other consideration to any officer, director, stockholder, or employee of any licensee, lessor, or concessionaire or to any one on their behalf: name and address of supplier, name and address of person(s) acting on supplier's behalf, name and address of each person receiving or promised such consideration, and dates, amounts, and any other details; dates and description of any strikes, work stoppages, or slowdowns at any track serviced by concessionaire since 1940; amounts, dates, and names and addresses of recipients, and descriptions of any payments or transfers of money or property by concessionaire since 1932 to or for the benefit of: any officer, member of a board, committee, delegate, or other representative or agent of a labor organization, any other person, firm, or corporation connected with labor relations or able to control or influence a labor organization, any member of a labor organization (excluding regular salary or wages), any officer or governing board member of any political party, club, or organization,

any official or employee of an official agency having jurisdiction over the granting or withholding of any license, concession, permit, or other grant of power or authority to the concessionaire or any licensee, or the furnishing of any service or facility used or sought by the concessionaire or any licensee, any association of public officers or officials, or public servants or employees, or to any charitable or social organization, or any political subdivision of New York or any other state; arrangements for division of receipts or profits between concessionaire and any officer, director, or stockholder of any licensee or lessor, or any other person, firm, or corporation; attachment of copies of any contracts, agreements, or understandings between concessionaire and any labor union since 1940, and the terms of any such oral contracts; attachment of copies of all federal and state tax returns since 1932; description of practices or procedures by which employees of concessionaire made kickbacks or refunds to any person, firm, corporation, unincorporated association, or other group or entity including labor unions, clubs, benevolent organizations, licensees, lessors, or any officer, agent, delegate, or other representative of any such organization, or by payments to any owner, officer, director, stockholder, employee, or agent of concessionaire;

if concessionaire made any such kickbacks; concessionaire's hiring practices, including: any limits on concessionaire's control over hiring or discharge of employees, methods of determining an applicant's qualifications, citizenship, and residence, including attachment of copies of any forms used in the process, by whom, and in what form, such information is furnished to concessionaire, procedures for verification of any information furnished by or in reference to the applicant, procedures for checking applicant's criminal record, procedures for fingerprinting applicants, and relation of any labor union or union delegate, agent, or representative to the selection of employees; attachment of each financial statement, balance sheet, income statement, and profit and loss statement since 1932; names of any employees since 1940 who were members of a labor union, and name of the union; whether any employees who worked at the premises of any licensee or lessor were at the same time members of, employed in, or connected with any government agency or department, and if so their names, addresses, and other details; dates, amounts, and payees of all sums expended

by concessionaire since 1932 in payment of fees to attorneys retained by concessionaire, including attachment of copies of all bills;

and for each person given an expense account by concessionaire: name, address, and position, amount paid annually, purpose of the expense account, attachment of copies of every accounting made by recipient in connection with such expense account, and attachment of copies of any agreements pursuant to which expense account was granted.

The questionnaire files often contain a small amount of correspondence relating to the questionnaire.

The series also contains a small number of investigation reports concerning individuals and firms investigated by the Commission.

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Related Information

Related Material

B1327Series B1327, Card Indexes to Harness Racing Associations and Stockholders, Witnesses, and Commission Records and Staff, indexes this series.

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Other Finding Aids

Available at Repository

Container list is available at the repository.

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Use of Records

Access Restrictions

Restricted to permission of Governor's office.

Access Terms

- Harness racing--State supervision
- Questionnaires
- Harness racing--New York (State)
- Governmental investigations
- New York (State)
- Investigating
- New York (State). Executive Department