

- (6) The stable name and the name of the owner shall be published in the program. If the stable name consists of more than one person, the program shall list the name of the managing owner along with the phrase "et al."
- (7) All persons using a stable name shall comply with all rules regarding licensing of owners.

E. Racing Colors

- (1) Owners or trainers shall provide racing colors which may be subject to the approval of the Commission except at racetracks where colors are furnished by the association. Racing colors shall be registered with the racing secretary. The stewards may authorize a temporary substitution of racing colors when necessary.
- (2) The racing colors to be worn by each jockey in a race shall be described in program, and any change shall be announced to the public prior to the commencement of the race.

F. Transfer of Ownership

Once a horse has been registered with the Association of Racing Commissioners International said horse may not be transferred to a new owner, unless claimed, without permission of a board of stewards who may require a bill of sale signed by both buyer(s) and sellers(s) and the transfer of ownership must be timely reported to the Association of Racing Commissioners International or its designee.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02

Version 4.4 to 4.5 ARCI 4/23/09 Amended language added Transfer of Ownership

Version 5.9 to 6.0 ARCI Board of Directors 7/16/2015 Amended Transfer of Ownership language

ARCI-008-020 Trainers

A. Eligibility

- (1) An applicant for a license as trainer:
 - (a) be at least 18 years of age.
 - (b) shall, in the case of not being previously licensed, be qualified, as determined by the stewards or other commission designee, by reason of:
 - (A) at least 2 years experience as a licensed assistant trainer, or comparable experience in other equine disciplines, or college-level education in equine science and/or horsemanship.
 - (B) submission of two written statements from trainers currently licensed in that jurisdiction as to character and qualifications of the applicant, and one written statement from a currently licensed owner stating intent to place one or more horses with the applicant, when licensed.
 - (C) shall be required to pass a written examination, oral interviews with the stewards and regulatory veterinarian; and demonstrate practical skills.
- (2) A trainer licensed and in good standing in another jurisdiction, having been issued within a prior period as determined by the commission, may be accepted if evidence of experience and qualifications are provided. Evidence of qualifications shall require passing one or more of the following:
 - (a) A written examination;

- (b) A demonstration of practical skills;
 - (c) An interview with the stewards.
- (3) Upon timely request to the stewards due to disability or other factors affecting the applicant's ability to effectively complete the trainer's test (such as illiteracy or language barriers), reasonable accommodations may be made for the applicant including, but not limited to oral administration of the examination, use of a pre-approved translator, and aid from pre-approved assistant where deemed appropriate by the Stewards administering the examination.
- (4) Beginning no later than January 31, 2012, in order to maintain a current license, trainers must complete at least four (4) hours per calendar year of continuing education courses approved by the ARCI or the commission in that jurisdiction

B. Trainer Responsibility

- (1) The trainer is responsible for the condition of horses entered in an official workout or race and is responsible for the presence of any prohibited drug, medication or other substance, including permitted medication in excess of the maximum allowable level, in such horses. A positive test for a prohibited drug, medication or substance, including permitted medication in excess of the maximum allowable level, as reported by a Commission-approved laboratory, is prima facie evidence of a violation of this rule. In the absence of substantial evidence to the contrary, the trainer shall be responsible.
- (2) A trainer shall prevent the administration of any drug or medication or other prohibited substance that may cause a violation of these rules.
- (3) A trainer whose horse has been claimed remains responsible for any violation of rules regarding that horse's participation in the race in which the horse is claimed.

C. Other Responsibilities

A trainer is responsible for:

- (1) the condition and contents of stalls, tack rooms, feed rooms, sleeping rooms and other areas which have been assigned by the association;
- (2) maintaining the assigned stable area in a clean, neat and sanitary condition at all times;
- (3) ensuring that fire prevention rules are strictly observed in the assigned stable area;
- (4) providing a list to the Commission of the trainer's employees on association grounds and any other area under the jurisdiction of the Commission. The list shall include each employee's name, occupation, social security number and occupational license number. The Commission shall be notified by the trainer, in writing, within 24 hours of any change;
- (5) assuring the adequate care, custody, condition, fitness, health, safety and security of horses under his/her care, custody, and control;
- (6) disclosure of the true and entire ownership of each horse in his/her care, custody or control. Any change in ownership shall be reported immediately to, and approved by, the stewards and recorded by the racing secretary;
- (7) training all horses owned wholly or in part by him/her which are participating at the race meeting;

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- (8) registering with the racing secretary each horse in his/her charge within 24 hours of the horse's arrival on association grounds;
- (9) ensuring that, at the time of arrival at a licensed racetrack, each horse in his/her care is accompanied by a valid health certificate which shall be filed with the racing secretary;
- (10) having each horse in his/her care that is racing, or is stabled on association grounds, tested for Equine Infectious Anemia (EIA) in accordance with state/provincial law and for filing evidence of such negative test results with the racing secretary;
- (11) using the services of those veterinarians licensed by the Commission to attend horses that are on association grounds ;
- (12) immediately reporting the alteration of the sex of a horse in his/her care to the horse identifier and the racing secretary, whose office shall note such alteration on the certificate of registration;
- (13) promptly reporting to the racing secretary and the official veterinarian any horse on which a posterior digital neurectomy (heel nerving) is performed and ensuring that such fact is designated on its certificate of registration;
- (14) promptly reporting any errors with regard to the registrations papers as to sex alterations, of sex noted, digital neurectomy (heel nerving) and any known inaccuracy in the ownership, racing record or description of the horse.
- (15) promptly notifying the official veterinarian of any reportable disease and any unusual incidence of a communicable illness in any horse in his/her charge;
- (16) promptly reporting the death of any horse in his/her care on association grounds to the stewards and the official veterinarian and compliance with the rules in chapter eight governing post-mortem examinations;
- (17) Keeping a record of all treatments for every horse in his or her control. The treatment shall be recorded within 48 hours of administration.
 - (a) Treatment, for the purposes of this section, means any medication or procedure containing a medication administered to a horse by a Licensed Trainer or his or her designee.

Treatment, for the purposes of this section, specifically excluded medications or procedures administered by a veterinarian licensed by the Regulatory Authority or that veterinarian's employee.

This section does not exclude the administration of medications that are prescribed by a veterinarian but administered by the trainer or his or her designee.

This section also does not exclude those treatments that are administered by a veterinarian not licensed by the Regulatory Authority.

- (b) Trainer Treatment Records must include the following information:
 - i. The name of the horse (or, if unnamed, the registered name of the dam and year of foaling);

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- ii. The generic name of the drug (e.g. phenylbutazone, methocarbamol);
 - iii. The name and address of the prescribing veterinarian;
 - iv. The brand name of the drug if a non-generic is used;
 - v. The date of the treatment;
 - vi. The route of administration;
 - vii. The dosage administered;
 - viii. The approximate time (to the nearest hour) of each treatment;
 - ix. The first and last name of the individual that administered the treatment;
and
 - x. The treating veterinarian shall sign or initial the treatment log on the first day a horse receives a prescription medication.
- (c) Trainer Treatment Records shall be maintained electronically or on paper.
- (d) The Trainer Treatment Records are to be made available for inspection upon request of the Regulatory Authority.
- (e) Copies of the Trainer Treatment Records may be requested by the Regulatory Authority in the course of an investigation of a possible violation of these rules or in a proceeding before the Stewards or the Regulatory Authority.
- (f) Copies of Trainer Treatment Records must be maintained for 6 months.
- (g) Failure to provide accurate and complete Trainer Treatment Records shall result in disciplinary action.
- (18) immediately reporting to the stewards and the official veterinarian if he/she knows, or has cause to believe, that a horse in his/her custody, care or control has received any prohibited drugs or medication;
- (19) *Corticosteroid and Intra-Articular Injection Reporting Requirements*
Trainers or their designee shall maintain complete records of all corticosteroid and intra-articular injections for all horses in his or her control. Complete corticosteroid and intra-articular injection records include:
- (a) The date of the injection;
 - (b) The name of the veterinarian performing the injection;
 - (c) The articular space(s) or structure(s) injected;
 - (d) The medication or biologicals used to inject each articular space; and
 - (e) The dose in milligrams of each corticosteroid used.
- This information shall be maintained for a minimum of 30 days to facilitate compliance with this regulation. If a horse is successfully claimed by a new owner, the trainer of record at the time of that claiming race must provide that horse's complete corticosteroid and intra-articular injection record(s) for the last 30 days (30-day Record):
- (f) 30-day Records may be provided in paper or electronic form but must be provided in a format approved by the Regulatory Authority

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- (g) 30-day Records must be provided to the new trainer within 48 hours of the transfer of the horse. The trainer or his/her designee shall notify the regulatory veterinarian when the records have been provided.
 - (h) Submission of 30-day Records may be delegated to the treating veterinarian, who shall provide the report to the new trainer within 48 hours of the transfer of the horse.
 - (i) Failure of the trainer to provide the 30-day Record shall result in disciplinary action.
- (20) representing an owner in making entries and scratches and in all other matters pertaining to racing;
 - (21) horses entered as to eligibility and weight or other allowances claimed;
 - (22) ensuring the fitness of a horse to perform creditably at the distance entered;
 - (23) ensuring that his/her horses are properly shod, bandaged and equipped; and that horses with a jockey or exercise rider mounted that are racing, parading or warming up prior to racing; or jogging or exercising at any time with a type of safety reins that are approved by the commission that are originally designed and constructed to insure a secure secondary connection to the bit and reinforcement to prevent breakage.
 - (24) All horses entered to compete shall be present on association property no less than five (5) hours prior to the scheduled post time of the race for which the horse is entered to compete. Horse(s) not arriving on racing association property less than five (5) hours prior to the scheduled post time of the race on the day for which the horse is entered to compete are subject to scratch, with discretion given to stewards to consider extenuating circumstances.
 - (25) presenting his/her horse in the paddock at least 20 minutes before post time or at a time otherwise appointed before the race in which the horse is entered;
 - (26) personally attending to his/her horses in the paddock and supervising the saddling thereof, unless excused by the stewards;
 - (27) instructing the jockey to give his/her best effort during a race and that each horse shall be ridden to win;
 - (28) attending the collection of a urine or blood sample from the horse in his/her charge or delegating a licensed employee or the owner of the horse to do so; and
 - (29) notifying horse owners upon the revocation or suspension of his/her trainer's license. A trainer whose license has been suspended for more than 30 days; or license has expired or been revoked; or license application has been denied, must inform the horse owners that until the license is restored the trainer can no longer be involved with the training, care, custody or control of their horses, nor receive any compensation from them for the training, care, custody or control of their horses. Upon application by the owner, the stewards may approve the transfer of such horses to the care of another licensed trainer, and upon such approved transfer, such horses may be entered to race. Upon transfer of the horse(s), the inactive trainer shall not be involved in any arrangements related to the care, custody or control of the horse(s) and shall not benefit financially or in any other way from the training of the horse(s).

D. Restrictions on Wagering

A trainer shall only be allowed to wager on his/her horse or entries to win or finish first in combination with other horses.

E. Assistant Trainers

- (1) Upon the demonstration of a valid need, a trainer may employ an assistant trainer as approved by the stewards. The assistant trainer shall be licensed prior to acting in such capacity on behalf of the trainer.
- (2) Qualifications for obtaining an assistant trainer's license shall be prescribed by the stewards and the Commission and may include those requirements prescribed in Section A of this rule.
- (3) An assistant trainer may substitute for and shall assume the same duties, responsibilities and restrictions as imposed on the licensed trainer. In which case, the trainer shall be jointly responsible for the assistant trainer's compliance with the rules governing racing.

F. Substitute Trainers

- (1) A trainer absent for more than five days from his/her responsibility as a licensed trainer, or on a day in which the trainer has a horse in a race, shall obtain another licensed trainer to substitute.
- (2) A substitute trainer shall accept responsibility for the horses in writing and be approved by the stewards.
- (3) A substitute trainer and the absent trainer shall be jointly responsible as absolute insurers of the condition of their horses entered in an official workout or race pursuant to rules Section B of the rule.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02

Version 4.0 to 4.1 ARCI 4/26/07: Added new rule language

Version 4.1 to 4.2 ARCI 3/26/08: Added new rule language

Version 4.2 to 4.3 ARCI Board 8/2/08: Added CE language for Trainers

Version 4.4 to 4.5 ARCI 4/23/09 Amended language Suspension and Inactive status

Version 4.5 to 4.6 ARCI 7/31/09 Amended Language Changed CE effective date

Version 5.2 to 5.3 ARCI Board of Directors 12/7/12 various changes to implement medication/drug rules

Version 8.1 to 8.2, ARCI Board of Directors, 12/8/2017, Amended ARCI-008-020 C (17)

Version 8.1 to 8.2, ARCI Board of Directors, 12/8/2017, Adopted ARCI-008-020 C (19) and renumbered subsequent subsections accordingly

ARCI-008-025 Owners' Authorized Agents

A. Licenses Required

- (1) An authorized agent shall obtain a license from the Commission.
- (2) Application for license shall be filed for each owner represented.
- (3) A written instrument signed by the owner shall accompany the application and shall clearly set forth the delegated powers of the authorized agent. The owner's signature on the written instrument shall be acknowledged before a notary public.
- (4) If the written instrument is a power of attorney it shall be filed with the Commission and attached to the regular application form.
- (5) Any changes shall be made in writing and filed as provided in 3 above.