

FLAT RACING DEFINITIONS – CHAPTER 5

ARCI-005-005 Purpose

To provide definitions for commonly used terms in the rules. These definitions are used in all of the rules dealing with flat racing adopted by the Commission.

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

ARCI-005-010 Terms

- (1) **Age** of a horse foaled in North America shall be reckoned from the first day of January of the year of foaling.
- (2) **Also Eligible** pertains to:
 - (a) a number of eligible horses, properly entered, which were not drawn for inclusion in a race, but which become eligible according to preference or lot if an entry is scratched prior to the scratch time deadline; or
 - (b) in a trial race, the next preferred contestant that is eligible to participate when an entry is scratched, pursuant to the written conditions of the race.
- (3) **Allowance Race** means an overnight race for which eligibility and weight to be carried is determined according to specified conditions which include age, sex, earnings and number of wins.
- (4) **Association Grounds** means all real property utilized by the association in the conduct of its race meeting, including the race track, grandstand, concession stands, offices, barns, stable area, employee housing facilities and parking lots and any other areas under the jurisdiction of the Commission.
- (5) **Betting Interest** means one or more horses in a pari-mutuel contest which are identified by a single program number for wagering purposes.
- (6) **Bleeder** means a horse which has demonstrated external evidence of exercise induced pulmonary hemorrhage.
- (7) **Bleeder List** means a tabulation of all bleeders to be maintained by the Commission.
- (8) **Breeder** means the owner of the horse's dam at the time of foaling for Thoroughbreds. For Quarter Horses, Appaloosas, Arabians and Paint Horses, the breeder is the owner of the dam at the time of service.
- (9) **Claiming Race** means a race in which any horse starting may be claimed (purchased for a designated amount) in conformance with the rules.
- (10) **Conditions** are qualifications which determine a horse's eligibility to be entered in a race.
- (11) **Coupled Entry** is two or more contestants in a contest that are treated as a single betting interest for pari-mutuel wagering purposes (also see **Entry**).
- (12) **Dead Heat** means the finish of a race in which the noses of two or more horses reach the finish line at the same time.

- (13) **Declaration** means the act of withdrawing an entered horse from a race prior to the closing of entries.
- (14) **Draw** means the process of assigning post positions and the process of selecting contestants in a manner to ensure compliance with the conditions of the rules of racing.
- (15) **Entry** is:
 - (a) a horse eligible for and entered in a race; or
 - (b) two or more horses, entered in the same race, which have common ties of ownership, lease or training (see **Coupled Entry**).
- (16) **Flat Race** means a race in which horses mounted by jockeys run over a course on which no jumps or other obstacles are placed.
- (17) **Furosemide List** means a tabulation of all horses eligible to participate in a race with furosemide in its system.
- (18) **Handicap** means a race in which the weights to be carried by the horses are assigned by the racing secretary or handicapper for the purpose of equalizing the chances of winning for all horses entered.
- (19) **Horse** means any equine (including and designated as a mare, filly, stallion, colt, ridgeling or gelding) registered for racing; specifically, an entire male 5 years of age and older.
- (20) **Inquiry** means an investigation by the stewards of potential interference in a contest prior to declaring the result of said contest official.
- (21) **Jockey** means a professional rider licensed to ride in races.
- (22) **Jugging** means the administration of any substance via intravenous infusion or injection.
- (23) **Maiden** means a horse that has never won an official or recognized race as defined in breed registry rules.
- (24) **Maiden Race** means a contest restricted to nonwinners.
- (25) **Match Race** means a race between two or more horses under conditions agreed to by their owners.
- (26) **Mutuel Field** means two or more contestants treated as a single betting interest for pari-mutuel wagering purposes because the number of betting interests exceeds the number that can be handled individually by the pari-mutuel system.
- (27) **Nomination** means the naming of a horse to a certain race or series of races generally accompanied by payment of a prescribed fee.
- (28) **Nominator** means the person or entity in whose name a horse is nominated for a race or series of races.
- (29) **Objection** is:

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- (a) a written complaint made to the stewards concerning a horse entered in a race and filed not later than one hour prior to the scheduled post time of the first race on the day in which the questioned horse is entered; or
 - (b) a verbal claim of foul in a race lodged with the stewards or their designee by the horse's jockey, trainer, owner or the owner's authorized agent before the race is declared official.
- (30) **Official Starter** means the official responsible for dispatching the horses for a race.
 - (31) **Official Running Time** means the elapsed time from the moment the first horse crosses the starting point until the first horse crosses the finish line.
 - (32) **Off Time** means the moment at which, on the signal of the official starter, the doors of the starting gate are opened, officially dispatching the horses in each contest.
 - (33) **Optional Claiming Race** means a contest restricted to horses entered to be claimed for a stated claiming price and to those which have started previously for that claiming price or less. In the case of horses entered to be claimed in such a race, the race shall be considered, for the purpose of these rules, a claiming race. In the case of horses not entered to be claimed, the race shall be considered an allowance race.
 - (34) **Overnight Race** means a contest for which entries close at a time set by the racing secretary; also known as Purse Race.
 - (35) **Paddock** means an enclosure in which horses scheduled to compete in a contest are saddled prior to racing.
 - (36) **Post Position** means the pre-assigned position from which a horse will leave the starting gate.
 - (37) **Post Time** means the scheduled time for horses to arrive at the starting gate for a contest.
 - (38) **Protest** means a written complaint alleging that a horse is or was ineligible to race.
 - (39) **Scratch** means the act of withdrawing an entered horse from a contest after the closing of entries.
 - (40) **Scratch Time** means the deadline for withdrawal of entries from a scheduled performance.
 - (41) **Stable Name** means a name used other than the actual legal name of an owner or lessee and registered with the Commission.
 - (42) **Stakes Race** means a contest in which nomination, entry and/or starting fees contribute to the purse. No overnight race shall be considered a stakes race. Special designations or classifications for stakes races such as "Graded Stakes" or "Black Type" shall be determined by the appropriate breed registries or recognized authorities.
 - (43) **Starter** means a horse which becomes an actual contestant in a race by virtue of the starting gate opening in front of it upon dispatch by the official starter.
 - (44) **Steeplechase Race** means a contest in which horses mounted by jockeys run over a course on which jumps or other obstacles are placed.
 - (45) **Steward** means a duly appointed racing official with powers and duties specified by statute or rules.

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- (46) **Traction Device** is any modification or isolated device that extends below the ground bearing plane of the horseshoe (e.g. traction nails, toe grabs, turndowns, blocked heels, jar calks, stickers and Memphis bars) or restricts the natural forward slide of the hoof upon impact.
- (47) **Trial Race** means part of a series of contests in which horses participate for the purpose of determining eligibility for a subsequent contest.
- (48) **Tubing** means the administration of any substance via a naso-gastric tube.
- (49) **Walkover** means a race in which only one horse starts or in which all the starters are owned by the same interest. To claim the purse the horse(s) must start and go the distance of the race.
- (50) **Weigh In** means the presentation of a jockey to the clerk of scales for weighing after a race.
- (51) **Weigh Out** means the presentation of a jockey to the clerk of scales for weighing prior to a race.
- (52) **Weight for Age** means a race in which a fixed scale is used to assign the weight to be carried by individual horses according to age, sex, distance of the race, and season of the year.
- (53) **Winner** means the horse whose nose reaches the finish line first or is placed first through disqualification by the stewards.

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

Version 2.1 to 3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended and modified rule language

Version 4.4 to 4.5 ARCI 4/23/09 ARCI Amended language added Traction Device

FLAT RACING OFFICIALS - CHAPTER 6

ARCI-006-005 Purpose

To define the duties and responsibilities of flat racing officials

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

ARCI-006-010 General Provisions

A. Racing Officials

Officials at a race meeting include the following:

- (1) stewards;
- (2) racing secretary;
- (3) horsemen's bookkeeper;
- (4) paddock judge;
- (5) horse identifier;
- (6) clerk of scales;
- (7) jockey room custodian;
- (8) starter;
- (9) timer/clocker;
- (10) patrol judge, absent video replay equipment;
- (11) placing judge, if duty not performed by stewards;
- (12) official veterinarian;
- (13) racing veterinarian;
- (14) association-employed veterinarian;
- (15) outriders;
- (16) any other person designated by the Regulatory Authority.

B. Eligibility

To qualify as a racing official, the appointee shall be:

- (1) of good character and reputation;
- (2) experienced in flat racing;
- (3) familiar with the duties of the position and with the Regulatory Authority's rules of flat racing;
- (4) mentally and physically able to perform the duties of the job; and
- (5) in good standing and not under suspension or ineligible in any racing jurisdiction.

C. Approval and Licensing

The Regulatory Authority, in its sole discretion, may determine the eligibility of a racing official and, in its sole discretion, may approve or disapprove any such official for licensing.

D. Prohibited Practices

While serving in an official capacity, racing officials and their assistants shall not:

- (1) participate in the sale or purchase, or ownership of any horse racing at the meeting;
- (2) sell or solicit horse insurance on any horse racing at the meeting;
- (3) be licensed in any other capacity without permission of the Regulatory Authority, or in case of an emergency, the permission of the stewards;
- (4) wager on the outcome of any race under the jurisdiction of the Regulatory Authority; or
- (5) consume or be under the influence of alcohol or any prohibited substances while performing official duties.

E. Report of Violations

Racing officials and their assistants shall report immediately to the stewards every observed violation of these rules and of the laws of this jurisdiction governing racing.

F. Observations and Notifications

- (1) Any racing official shall report to the Stewards as soon as possible any perceived issues with a horse based on the condition prior to the race which may significantly affect the running of the race
- (2) Upon notification to the stewards, they shall authorize an immediate investigation.

G. Complaints Against Officials

- (1) Complaints against any steward shall be made in writing to the Regulatory Authority and signed by the complainant.
- (2) Any complaint against a racing official other than a steward shall be made to the stewards in writing and signed by the complainant. All such complaints shall be reported to the Regulatory Authority by the stewards, together with a report of the action taken or the recommendation of the stewards.
- (3) A racing official may be held responsible by the stewards or the Regulatory Authority for the actions of their assistants.

H. Appointment

- (1) A person shall not be appointed to more than one racing official position at a meeting unless specifically approved by the Regulatory Authority.
- (2) The Regulatory Authority shall appoint or approve the stewards at each race meeting.

I. Appointment of Substitute Officials

Where an emergency vacancy exists among racing officials, the stewards or the association, with the stewards' approval, shall fill the vacancy immediately. Such appointment shall be reported to the Regulatory Authority and shall be effective until the vacancy is filled in accordance with these rules.

J. Appointment of Substitute Steward

Should any steward be absent at race time, and no approved alternate steward be available, the remaining stewards shall appoint a substitute for the absent steward. If a substitute steward is appointed, the Regulatory Authority and the association shall be notified by the stewards.

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

Version 3.1 to 3.2 ARCI 12/9/04 NAPRA 12/9/04: Deleted and modified rule language

Version 4.4 to 4.5 ARCI 4/23/09 Amended language

Version 4.9 to 5.0 ARCI 12/9/11 Added language Observation and Notification

Version 5.0 to 5.1 ARCI 4/27/12 deleted language

ARCI-006-015 Stewards

A. Accreditation

To qualify for appointment as a Steward, the appointee shall meet the experience, education and examination requirements necessary to be accredited by the Racing Officials Accreditation Program in association with the Universities of Arizona and Louisville and be in good standing with all racing jurisdictions.

B. General Authority

- (1) The stewards for each meeting shall be responsible to the Regulatory Authority for the conduct of the race meeting in accordance with the laws of this jurisdiction and these rules.
- (2) The stewards shall enforce these rules and the racing laws of this jurisdiction.
- (3) The stewards' authority includes supervision of all racing officials, track management, licensed personnel, other persons responsible for the conduct of racing, and patrons, as necessary to insure compliance with these rules.
- (4) The stewards shall have authority to resolve conflicts or disputes related to racing and to discipline violators in accordance with the provisions of these rules.
- (5) The stewards have the authority to interpret the rules and to decide all questions of racing not specifically covered by the rules.

C. Period of Authority

The stewards' period of authority shall commence 10 days prior to the beginning of each meeting and shall terminate with the completion of their business pertaining to the meeting.

D. Disciplinary Action

- (1) The stewards shall take notice of alleged misconduct or rule violations and initiate investigations into the matters.
- (2) The stewards shall have authority to charge any licensee for a violation of these rules, to conduct hearings and to impose disciplinary action in accordance with these rules.
- (3) The stewards may compel the attendance of witnesses and the submission of documents or potential evidence related to any investigation or hearing.

- (4) The stewards may at any time inspect license documents, registration papers, and other documents related to racing.
- (5) The stewards have the power to administer oaths and examine witnesses.
- (6) The stewards shall consult with the official veterinarian to determine the nature and seriousness of a laboratory finding or an alleged medication violation.
- (7) The stewards may impose any of the following penalties on a licensee for a violation of these rules:
 - (a) issue a written reprimand or warning;
 - (b) assess a fine;
 - (c) address Multiple Medication Violation points;
 - (d) require forfeiture or redistribution of purse or award, when specified by applicable rules;
 - (e) place a licensee on probation;
 - (f) suspend a license or racing privileges;
 - (g) revoke a license; or
 - (h) exclude from grounds under the jurisdiction of the Regulatory Authority.
- (8) The stewards may suspend a license for not more than five years per violation; impose a fine not to exceed \$10,000 per violation; or order that a person be ineligible for licensing unless specified in other sections of these rules.
- (9) The stewards shall submit a written report to the Regulatory Authority of every inquiry and hearing.
- (10) A stewards' ruling shall not prevent the Regulatory Authority from imposing a more severe penalty.
- (11) The stewards may refer any matter to the Regulatory Authority and may include recommendations for disposition. The absence of a stewards' referral shall not preclude Regulatory Authority action in any matter.
- (12) Purses, prizes, awards, and trophies shall be redistributed if the stewards or Regulatory Authority order a change in the official order of finish.
- (13) All fines imposed by the stewards shall be paid to the Regulatory Authority within (___) after the ruling is issued, unless otherwise ordered.

E. Protests, Objections and Complaints

The stewards shall investigate promptly and render a decision in every protest, objection and complaint made to them. They shall maintain a record of all protests, objections and complaints. The stewards shall file daily with the Regulatory Authority a copy of each protest, objection or complaint and any related ruling.

F. Stewards' Presence

Three stewards shall be present in the stewards' stand during the running of each race.

G. Order of Finish for Pari-Mutuel Wagering

- (1) The stewards shall determine the official order of finish for each race in accordance with the rules of the race chapter 10.
- (2) The decision of the stewards as to the official order of finish, including the disqualification of a horse or horses as a result of any event occurring during the running of the race, shall be final for purposes of distribution of the pari-mutuel wagering pool.

H. Cancel Wagering

The stewards have the authority to cancel wagering on an individual betting interest or on an entire race and also have the authority to cancel a pari-mutuel pool for a race or races, if such action is necessary to protect the integrity of pari-mutuel wagering.

I. Records and Reports

- (1) The stewards shall prepare a daily report, in a format approved by the Regulatory Authority, detailing their actions and observations made during each day's race program. The report shall contain the name of the racetrack, the date, the weather and track conditions, scratches, horses sent to the test barn, horses euthanized or died on association grounds, vanned off horses, program changes, claims, inquiries, objections, and any unusual circumstances or conditions and any other information required by the Regulatory Authority. The report shall be signed by each steward, filed with the Regulatory Authority not later than 72 hours after the end of each race day and made available to the public including posting to the Regulatory Authority and/or association website(s).
- (2) The presiding steward shall maintain a detailed log of the stewards' official activities. The log shall describe all questions, disputes, protests, complaints, or objections brought to the attention of the stewards and all interviews, investigations and rulings made by the stewards. The log shall be available at all times for inspection by the Regulatory Authority or its designee.
- (3) Not later than seven days after the last day of a race meeting, the presiding steward shall submit to the Regulatory Authority a written report regarding the race meeting. The report shall contain:
 - (a) the stewards' observations and comments regarding the conduct of the race meeting and the overall conditions of the association grounds during the race meeting; and
 - (b) any recommendations for rule changes, and protocols for the regulation of the race meeting; and
 - (c) any recommendations for improvement by the association or action by the Regulatory Authority.

J. Stewards' List

- (1) The stewards shall maintain a Stewards' List of the horses which are ineligible to be entered in a race because of poor or inconsistent performance or behavior on the racetrack that endangers the health or safety of other participants in racing.

- (2) The stewards may place a horse on the Stewards' List when there exists a question as to the exact identification or ownership of said horse.
- (3) A horse which has been placed on the Stewards' List because of inconsistent performance or behavior, may be removed from the Stewards' List when, in the opinion of the stewards, the horse can satisfactorily perform competitively in a race without endangering the health or safety of other participants in racing.
- (4) A horse which has been placed on the Stewards' List because of questions as to the exact identification or ownership of said horse, may be removed from the Stewards' List when, in the opinion of the stewards, proof of exact identification and/or ownership has been established.

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

Version 3.1 to 3.2 ARCI 12/9/04 NAPRA 12/9/04: Amended new rule language

Version 3.2 to 3.3 ARCI 12/7/05: Added and deleted rule language

Version 8.5 to 9.0 ARCI 04/04/2019: Added and deleted rule language in 006-015 D (7) and (8) and I (1) and (3)

ARCI-006-020 Racing Secretary

A. General Authority

The racing secretary shall be responsible for the programming of races during the race meeting, compiling and publishing condition books, assigning weights for handicap races, and shall receive all entries, subscriptions, declarations and scratches.

B. Foal, Health and Other Eligibility Certificates

- (1) The racing secretary or their designee approved by the Stewards shall be responsible for receiving, inspecting and safeguarding the digital and paper foal and health certificates, Equine Infectious Anemia (EIA) test certificates and other documents of eligibility for all horses competing at the track or stabled on the grounds.
- (2) The racing secretary or their designee approved by the Stewards shall record the alteration of the sex of a horse on the horse's foal certificate and/or report such to the appropriate breed registry and past performance services.
- (3) The racing secretary or their designee approved by the Stewards shall record on a horse's registration certificate when a posterior digital neurectomy (heel nerving) is performed on that horse and/or report such to the appropriate breed registry.
- (4) Effective January 1, 2016, the racing secretary shall ensure that all horses entered to race are registered with the Association of Racing Commissioners International or its designees.
- (5) Effective January 1, 2020, the Racing Secretary shall ensure that the foal certificates for all Thoroughbred horses entered to race that were foaled in 2018, or thereafter, have a "Digital Tattoo." This Digital Tattoo shall indicate that the Thoroughbred Racing Protective Bureau has confirmed the identity of the horse and uploaded updated digital photographs to the breed registry database.

C. List of Nerved Horses

The racing secretary shall maintain a list of nerved horses which are on association grounds and shall make the list available for inspection by other licensees participating in the race meeting.

D. List of Bred Fillies and Mares

The racing secretary shall maintain a list of all fillies or mares on association grounds who have been covered by a stallion. The list shall also contain the name of the stallion to which each filly or mare was bred and shall be made available for inspection by other licensees participating in the race meeting.

E. Allocation of Stalls

The racing secretary shall assign stall applicants such stabling as is deemed proper and maintain a record of arrivals and departures of all horses stabled on association grounds.

F. Conditions

- (1) The racing secretary shall establish the conditions and eligibility for entering races and cause them to be published to owners, trainers and the Regulatory Authority and be posted in the racing secretary's office.
- (2) For the purpose of establishing conditions, winnings shall be considered to include all monies and prizes won up to the time of the start of a race.
- (3) Winnings during the year shall be calculated by the racing secretary from the preceding January 1.

ARCI 006-020(B)(4) Adopted in Version 6.2, July 16, 2015
Version 8.3 to 8.4 ARCI Board, 7/11/2018, amended ARCI-006-020B; added (5) "digital tattoo."

G. Eligibility

- (1) When the Regulatory Authority receives an official testing laboratory report of a Positive Test or Overage for a winner of a race that requires a disqualification, change in the order of finish and redistribution of the purse, the horse in question shall maintain the win in past performance records and carry the penalty of a win when determining eligibility for entry in a subsequent race. This horse's condition and eligibility shall remain in effect until the Stewards issue a ruling disqualifying the aforementioned horse and order a redistribution of the purse.
- (2) The second place horse shall not carry the win in past performance records nor shall the second place horse carry the win in determining the eligibility for entry in a subsequent race until the Stewards issue a ruling disqualifying the winner, change the order of finish and order a redistribution of the purse.
- (3) Should the aforementioned ruling be appealed, the disqualification, change in the order of finish and purse redistribution is stayed until final adjudication; and the winner must carry the win and the second place horse is not penalized for the condition.

ARCI-006-020 G adopted in Version 8.5 by ARCI Board of Directors, 12/3/2018; remainder of section renumbered accordingly.

H. Listing of Horses

The racing secretary shall:

- (1) examine all entry blanks and declarations to verify information as set forth therein; and
- (2) select the horses to start and the also eligible horses from the declarations in accordance with these rules.

I. Posting of Entries

Upon completion of the draw each day, the racing secretary shall post a list of entries in a conspicuous location in his/her office and make the list available to the media.

J. Daily Program

The racing secretary shall publish the official daily program, ensuring the accuracy therein of the following information:

- (1) sequence of races to be run and post time for the first race;
- (2) purse, conditions and distance for each race, and current track record for such distance;
- (3) the name of licensed owners of each horse, indicated as leased, if applicable, and description of racing colors to be carried;
- (4) the name of the trainer and the name of the jockey named for each horse together with the weight to be carried;
- (5) the post position and saddle cloth number or designation for each horse if there is a variance with the saddle cloth designation;
- (6) identification of each horse by name, color, sex, age, sire and dam
- (7) A notice shall be included in the daily program that all jockeys will carry approximately three (3) pounds more than the published weight to account for safety equipment (vest and helmet) that is not included in required weighing out procedures. Additionally the jockeys may weigh in with an additional (3) pounds for inclement weather gear when approved by the stewards, and;
- (8) such other information as may be requested by the association or the Regulatory Authority.

K. Nominations and Declarations

The racing secretary shall examine nominations and declarations and early closing events, late closing events and stakes events to verify the eligibility of all declarations and nominations and compile lists thereof for publication.

L. Stakes and Entrance Money Records

The racing secretary shall be caretaker of the permanent records of all stakes and shall verify that all entrance monies due are paid prior to entry for races conducted at the meeting.

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

Version 4.6 to 4.7 ARCI Board 12/6/09: Amended Added Program Notice of Weight

ARCI-006-025 Horsemen's Bookkeeper

A. General Authority

The horsemen's bookkeeper shall maintain the records and accounts and perform the duties described herein and maintain such other records and accounts and perform such other duties as the association and Regulatory Authority may prescribe.

B. Records

- (1) The records shall include the name, mailing address, social security number or federal tax identification number, and the jurisdiction or country of residence of each horse owner, trainer or jockey participating at the race meeting who has funds due or on deposit in the horsemen's account.
- (2) The records shall include a file of all required statements of partnerships, syndicates, corporations, assignments of interest, lease agreements and registrations of authorized agents
- (3) All records of the horsemen's bookkeeper shall be kept separate and apart from the records of the association.
- (4) All records of the horsemen's bookkeeper including records of accounts and monies and funds kept on deposit are subject to inspection by the Regulatory Authority at any time.
- (5) The association licensee is subject to disciplinary action by the Regulatory Authority for any violations of or non-compliance with the provisions of this rule.

C. Monies and Funds on Account

- (1) All monies and funds on account with the horsemen's bookkeeper shall be maintained:
- (2) separate and apart from monies and funds of the association;
- (3) in a trust account designated as Horsemen's Trust Account; and
- (4) in an account insured by the Federal Deposit and Insurance Corporation or the Federal Savings and Loan Insurance Corporation.
- (5) The horsemen's bookkeeper shall be bonded in accordance with Regulatory Authority stipulations.
- (6) The amount of purse money earned is credited in the currency of the jurisdiction in which the race was run. There shall be no appeal for any exchange rate loss at the time of transfer of funds from another jurisdiction.

D. Payment of Purses

- (1) The horsemen's bookkeeper shall receive, maintain and disburse the purses of each race and all stakes, entrance money, jockey fees, purchase money in claiming races, along with all applicable taxes and other monies that properly come into his/her possession in accordance with the provisions of Regulatory Authority rules.
- (2) The horsemen's bookkeeper may accept monies due belonging to other organizations or recognized meetings, provided prompt return is made to the organization to which the money is due.

- (3) The fact that purse money has been distributed prior to the issuance of a laboratory report shall not be deemed a finding that no chemical substance has been administered, in violation of these rules, to the horse earning such purse money.
- (4) The horsemen's bookkeeper shall disburse the purse of each race and all stakes, entrance money, jockey fees and purchase money in claiming races, along with all applicable taxes, upon request, within 48 hours of receipt of notification that all tests with respect to such races have cleared the drug testing laboratory(ies) as reported by the stewards or the Commission, except that minimum jockey mount fees may be disbursed prior to notification that the tests have cleared the testing laboratory(ies).
- (5) Absent a prior request, the horsemen's bookkeeper shall disburse monies to the persons entitled to receive same within 15 days after the last race day of the race meeting, including purses for official races, provided that all tests with respect to such races have cleared the drug testing laboratory(ies) as reported by the stewards, and provided further that no protest or appeal has been filed with the stewards or the Regulatory Authority.
- (6) In the event a protest or appeal has been filed with the stewards or the Regulatory Authority, the horsemen's bookkeeper shall disburse the purse within 48 hours of receipt of dismissal or a final non-appealable order disposing of such protest or appeal.

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

ARCI-006-030 Paddock Judge

A. General Authority

The paddock judge shall:

- (1) supervise the assembly of horses in the paddock no later than fifteen (15) minutes before the scheduled post time for each race;
- (2) maintain a written record of all equipment, inspect all equipment of each horse saddled and report any change thereof to the stewards;
- (3) Insure that all horses are properly equipped with a type of safety reins that are approved by the Regulatory Authority, and are originally designed and constructed to insure a secure secondary connection to the bit and reinforcement to prevent breakage.
- (4) prohibit any change of equipment without the approval of the stewards;
- (5) ensure that the saddling of all horses is orderly, open to public view, free from public interference, and that horses are mounted at the same time, and leave the paddock for the post in proper sequence;
- (6) supervise paddock schooling of all horses approved for such by the stewards;
- (7) report to the stewards any observed cruelty to a horse;
- (8) ensure that only properly authorized persons are permitted in the paddock; and
- (9) report to the stewards any unusual or illegal activities.

B. Paddock Judge's List

- (1) The paddock judge shall maintain a list of horses which shall not be entered in a race because of poor or inconsistent behavior in the paddock that endangers the health or safety of other participants in racing.
- (2) At the end of each race day, the paddock judge shall provide a copy of the List to the stewards.
- (3) To be removed from the paddock judge's List, a horse must be schooled in the paddock and demonstrate to the satisfaction of the paddock judge and the stewards that the horse is capable of performing safely in the paddock.

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

Version 4.0 to 4.1: New rule language added

ARCI-006-035 Horse Identifier

A. General Authority

The Horse Identifier shall:

- (1) when required, ensure the safekeeping of digital and paper registration certificates and racing permits for horses stabled and/or racing on association grounds;
- (2) inspect documents of ownership, eligibility, registration or breeding necessary to ensure the proper identification of each horse scheduled to compete at a race meeting;
- (3) examine without physically touching (unless wearing a disposable, sterile glove) every starter in the paddock for sex, color, markings and lip tattoo, microchip (ISO 11784), freeze brand or other identification method approved by the appropriate breed registry and the Regulatory Authority for comparison with its registration certificate to verify the horse's identity; and
- (4) when requested by the Regulatory Authority, monitor the tattooing, microchipping, freeze branding or other method of identification approved by the appropriate breed registry and the Regulatory Authority done to and for identification of any horse located on association grounds.

B. Report Violations

The Horse Identifier shall report to the stewards any horse not properly identified or whose registration certificate is not in conformity with these rules.

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 microchip and freeze brand

Version 8.4.1 to 8.5, ARCI Board of Directors 12/23/2018 amended ARCI-006-035 to include digital forms of identification

ARCI-006-040 Clerk Of Scales

A. General Authority

The clerk of scales shall:

- (1) verify the presence of all jockeys in the jockeys' room at the appointed time;
- (2) verify that all such jockeys have a current jockey's license issued by the Regulatory Authority;
- (3) verify the correct weight of each jockey at the time of weighing out and weighing in and report any discrepancies to the stewards immediately;

- (4) oversee the security of the jockeys' room including the conduct of the jockeys and their attendants;
- (5) promptly report to the stewards any infraction of the rules with respect to weight, weighing, riding equipment, safety equipment, riding crops, or conduct;
- (6) record all required data on the scale sheet and submit that data to the horsemen's bookkeeper at the end of each race day;
- (7) maintain the record of applicable winning races on all apprentice certificates at the meeting;
- (8) release apprentice jockey certificates, upon the jockey's departure or upon the conclusion of the race meet; and
- (9) assume the duties of the jockey room custodian in the absence of such employee.

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

Version 8.4.1 to 8.5, 12/03/18 ARCI Board amended ARCI-006-040(5) to add: "safety equipment" and "riding crops."

ARCI -006-045 Jockey Room Custodian

The jockey room custodian shall:

- (1) supervise the conduct of the jockeys and their attendants while they are in the jockey room;
- (2) keep the jockey room clean and safe for all jockeys;
- (3) ensure all jockeys are in the correct colors before leaving the jockey room to prepare for mounting their horses;
- (4) keep a daily film list as dictated by the stewards and have it displayed in plain view for all jockeys;
- (5) keep a daily program displayed in plain view for the jockeys so they may have ready access to mounts that may become available;
- (6) keep unauthorized persons out of the jockey room; and
- (7) report to the stewards any unusual occurrences in the jockey room.

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

ARCI-006-050 Starter

A. General Authority

The starter shall:

- (1) have complete jurisdiction over the starting gate, the starting of horses and the authority to give orders not in conflict with the rules as may be required to ensure all participants an equal opportunity to a fair start;
- (2) appoint and supervise assistant starters who have demonstrated they are adequately trained to safely handle horses in the starting gate. In emergency situations, the starter may appoint qualified, licensed individuals to act as substitute assistant starters; (3) ensure that at least one assistant starter is available for each horse in a race;

- (4) assign the starting gate stall positions to assistant starters and notify the assistant starters of their respective stall positions not more than 10 minutes before post time for the race;
- (5) assess the ability of each person applying for a jockey's or exercise rider's license in breaking from the starting gate and working a horse in the company of other horses, and shall make said assessment known to the stewards; and
- (6) load horses into the gate in any order deemed necessary to ensure a safe and fair start.
- (7) Immediately report to the stewards any false starts, impeded starts or unfair starts; and
- (8) Shall maintain and database detailed reports of the schooling and behavior at and in the starting gate of all horses coming under his supervision.

B. Assistant Starters

With respect to an official race, the assistant starters shall not:

- (1) handle or take charge of any horse in the starting gate without the expressed permission of the starter;
- (2) impede the start of a race;
- (3) ear a horse with anything other than a hand;
- (4) apply a whip or other device, with the exception of steward-approved twitches, to assist in loading a horse into the starting gate;
- (5) slap, boot or otherwise dispatch a horse from the starting gate;
- (6) strike or use abusive language to a jockey; or
- (7) accept or solicit any gratuity or payment other than his/her regular salary, directly or indirectly, for services in starting a race.

C. Starter's List

No horse shall be permitted to start in a race unless approval is given by the starter. The starter shall maintain a Starter's List of all horses which are ineligible to be entered in any race because of poor or inconsistent behavior or performance in the starting gate. Such horse shall be refused entry until it has demonstrated to the starter that it has been satisfactorily schooled in the gate and can be removed from the Starter's List. Schooling shall be under the direct supervision of the starter.

D. Report Violations

The starter and assistant starter shall report all unauthorized activities to the stewards.

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

Amended Version 4.8 to Version 4.9 ARCI Board 7/27/11 Notification of unfairness of start to Stewards

Version 8.5 to 9.0, ARCI 04/04/2019 added 006-050 A (8); added 006-050 B (3) and renumbered remainder of section accordingly.

ARCI-006-055 Timer/Clocker

A. General Authority (Timer)

- (1) The timer shall accurately record the time elapsed between the start and finish of each race.

- (2) The time shall be recorded from the instant that the first horse leaves the point from which the distance is measured until the first horse reaches the finish line.
- (3) At the end of a race, the timer shall post the official running time on the infield totalizator board on instruction by the stewards.
- (4) At a racetrack equipped with an appropriate infield totalizator board, the timer shall post the quarter times (splits) for thoroughbred races in fractions as a race is being run. For quarter horse races, the timer shall post the official times in hundredths of a second.
- (5) For back-up purposes, the timer shall also use a stopwatch to time all races. In time trials, the timer shall ensure that at least three stopwatches are used by the stewards or their designees.
- (6) The timer shall maintain a written record of fractional and finish times of each race and have same available for inspection by the stewards or the Regulatory Authority on request.

B. General Authority (Clocker)

- (1) The clocker shall be present during training hours at each track on association grounds, which is open for training, to identify each horse working out and to accurately record the distances and times of each horse's workout.
- (2) Each day, the clocker shall prepare a list of workouts that describes the name of each horse which worked along with the distance and time of each horse's workout.
- (3) At the conclusion of training hours, the clocker shall deliver a copy of the list of workouts to the stewards and the racing secretary.

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

ARCI-006-060 Patrol Judge

A. General Authority

The patrol judge, when utilized, is responsible for observing the race and reporting information concerning the race to the stewards. If the track's video replay system is deemed adequate, use of patrol judges is optional.

B. Gate Judge

The Regulatory Authority may require each track to employ a gate judge whose duties shall include being present at the starting gate just prior to the running of each race to observe and report any violations of the rules to the stewards, and to otherwise assist the stewards as they may so order.

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

ARCI-006-065 Placing Judge

A. General Authority

The placing judges shall determine the order of finish in a race as each horse's nose reaches the finish line, and with the approval of the stewards, may display the results on the totalizator board.

B. Photo Finish

- (1) In the event the placing judges or the stewards request a photo of the finish, the photo finish sign shall be posted on the totalizator board.
- (2) Following their review of the photo finish, the placing judges shall, with the approval of the stewards, determine the exact order of finish for all horses participating in the race, and shall immediately post the numbers of the first four finishers on the totalizator board.
- (3) In the event a photo was requested, the placing judges shall cause a photographic or digital print of said finish to be produced. The finish photograph or digital print shall, when needed, be used by the placing judges as an aid in determining the correct order of finish.
- (4) Upon determination of the correct order of finish of a race in which the placing judges have utilized a photographic or digital print to determine the first four finishers, the placing judges shall cause prints of said photograph or digital print to be displayed publicly on the on-track television monitors and be provided to simulcast outlets.

C. Dead Heats

- (1) In the event the placing judges determine that two or more horses finished the race simultaneously and cannot be separated as to their order of finish, a dead heat shall, with the approval of the stewards, be declared.
- (2) In the event one or more of the first four finishers of a race are involved in a dead heat, the placing judges shall post the dead heat sign on the totalizator board and cause the numbers of the horse or horses involved to blink on the totalizator board.

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

Version 8.5 to 9.0, ARCI 04/04/2019, amended language in 006-065 A.

ARCI-006-070 Official Veterinarian

A. General

The official veterinarian shall:

- (1) be employed by the Regulatory Authority or similar agency having jurisdictional authority;
- (2) be a graduate veterinarian and be licensed to practice in this jurisdiction;
- (3) be qualified to objectively and competently provide the regulatory duties described herein;
- (4) refuse employment or payment, directly or indirectly, from any horse owner or trainer of a horse racing or intending to race in this jurisdiction while employed as the official veterinarian for the Regulatory Authority;
- (5) refrain from directly treating or prescribing for any horse under his/her jurisdiction except in cases of emergency, accident or injury;
- (6) have no employment history or business relationship prior to employment as the official veterinarian that could constitute a conflict of interest or impede in the performance of official duties.

B. Responsibilities

Should the Regulatory Authority be unable to provide adequate veterinary staffing to fulfill the duties described below, some of the official veterinarian responsibilities, as indicated by an asterisk (*), may be shared with or deferred to, an association-employed veterinarian. The association-employed veterinarian is responsible for adhering to and upholding the rules and regulations of the Regulatory Authority and shall be accountable to the Regulatory Authority. The official veterinarian shall:

- (1) * recommend to the stewards any horse deemed unsafe to be raced, or a horse that it would be inhumane to allow to race;
- (2) * conduct pre-race inspections on all potential starters on race day;
- (3) * inspect any horse when there is a question as to the physical condition of such horse independent of the horse's entry status;
- (4) * be present in the paddock during saddling, on the racetrack during the post parade and at the starting gate until the horses are dispatched from the starting gate for the race;
- (5) * recommend to the stewards the scratching of any horse that is, in the opinion of the official veterinarian, injured, ill, or otherwise unable to compete due to a medical or health-related condition;
- (6) * inspect any horse which appears in physical distress during the race or at the finish of the race; and shall report such horse together with his/her opinion as to the cause of the distress to the stewards and to the official veterinarian, if the inspection was done by either the racing veterinarian or an association-employed veterinarian;
- (7) * provide emergency medical care to horses injured racing and effect case transfer to the practicing veterinarian;
- (8) * be authorized to humanely destroy any horse deemed to be so seriously injured that it is in the best interests of the horse to so act; and
- (9) * report to the Regulatory Authority the names of all horses humanely destroyed or which otherwise expire at the meeting and the reasons therefore;
- (10) * maintain all required records of postmortem examinations performed on horses which have died within the jurisdiction of the Regulatory Authority;
- (11) * maintain the Veterinarian's List of horses ineligible to race;
- (12) supervise and control the Test Barn;
- (13) supervise the taking of all specimens for testing according to procedures approved by the Regulatory Authority;
- (14) provide proper safeguards in the best practices chain of custody handling of all laboratory specimens to prevent tampering, confusion, or contamination and assure sample integrity;
- (15) provide the stewards with a written statement regarding the nature and seriousness of all laboratory reports of prohibited substances in equine samples.
- (16) have jurisdiction over the practicing licensed veterinarians within the enclosure for the purpose of these rules;

- (17) review and consult with the applicants and the stewards/Regulatory Authority regarding Regulatory Authority license applications of practicing veterinarians, veterinary technicians or assistants, vendors of medical supplies and equipment, nonveterinarian health care providers (massage therapists, nutritionists, physical therapists, etc.);
- (18) * cooperate with practicing veterinarians and other regulatory agencies to take measures to control communicable and/or reportable equine diseases.

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

Version .4.1 to 8.5, ARCI Board 12/03/18, Amended language

ARCI-006-075 Racing Veterinarian

General Authority

- (1) The racing veterinarian(s) shall be an employee of the Regulatory Authority. At the discretion of the Regulatory Authority, the duties of the racing veterinarian may be assumed by the official veterinarian.
- (2) The racing veterinarian shall:
 - (a) be directly responsible to the official veterinarian;
 - (b) be a graduate veterinarian and be licensed to practice in the jurisdiction;
 - (c) be available to the racing secretary and/or the stewards prior to scratch time each racing day, at a time designated by the stewards, to inspect any horses and report on their condition as may be requested by the stewards;
 - (d) be present in the paddock during saddling, on the racetrack during the post parade and at the starting gate until the horses are dispatched from the gate for the race;
 - (e) inspect any horse when there is a question as to the physical condition of such horse;
 - (f) recommend scratching a horse to the stewards if, in the opinion of the racing veterinarian, the horse is physically incapable of exerting its best effort to win;
 - (g) inspect any horse which appears in physical distress during the race or at the finish of the race; and shall report such horse together with his/her opinion as to the cause of the distress to the stewards and to the official veterinarian;
 - (h) refuse employment or payment, directly or indirectly, from any horse owner or trainer of a horse racing or intending to race in this jurisdiction while employed as the official veterinarian for the Regulatory Authority;
 - (i) refrain from directly treating or prescribing for any horse scheduled to participate during his/her term of appointment at any recognized meeting except in cases of emergency, accident or injury;
 - (j) be authorized to humanely destroy any horse deemed to be so seriously injured that it is in the best interests of the horse to so act;
 - (k) conduct soundness inspections on horses participating in races at the meeting; and
 - (l) with approval of the official veterinarian, place horses on the Bleeder List.

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

8.4.1 to 8.5 ARCI Board 12/03/18 updated language

ARCI-006-076 Horseshoe Inspector

The horseshoe inspector shall:

- (1) Inspect the horseshoes of each horse prior to the race;
- (2) Maintain a record of the type of horseshoes worn by each horse in each race, or if the horse is racing unshod;
- (3) Report immediately to the stewards and paddock judge any horse with prohibited horseshoes under ARCI-010-030(27):
- (4) With the approval of the stewards, have the authority to order adjustments and corrections in horseshoes by a licensed farrier of any horse as he/she may deem necessary; and,
- (5) Maintain a list of horseshoe types approved by the stewards and racetrack management.

Adopted in Version 4.5 ARCI 4/23/09

ARCI-006-077 Outriders

- (1) The Outriders shall make every effort to maintain the safety and orderly conduct of training and racing according to the rules, regulations and directives of the Regulatory Authority, Stewards and association management.
- (2) The Outriders shall report all unauthorized activities, unusual occurrences or potential rule violations to the Stewards.
- (3) The Outriders shall, in cooperation with the Stewards, establish a plan to stop the running of a race should there be a loose horse, removal of starting gate malfunction, or in case of any other on-track issue that endangers the safety of the participants and horses.
- (4) The Outriders shall oversee and supervise all jockeys, exercise riders, pony persons and trainers when they are on the track. First-time applicants for these positions shall be observed and approved by the Outriders as a condition of licensure.
- (5) The Outriders shall enforce the track and regulatory rules concerning approved safety vests and protective helmets while riders are on the racetrack.

ARCI-006-077 adopted in Version 8.5 by ARCI Board of Directors 12/3/2018

ARCI-006-080 Any Other Person Designated by The Regulatory Authority

The Regulatory Authority may create additional racing official positions, as needed. Persons selected for these positions shall be considered racing officials and shall be subject to the general eligibility requirements outlined in Section I of this chapter.

(NOTE: ARCI-006-010)

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

DUTIES AND REQUIREMENTS OF ASSOCIATIONS (RACE MEET LICENSEES) - CHAPTER 7

ARCI-007-005 PURPOSE

To describe the requirements, facilities, equipment and operations of associations.

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

ARCI-007-010 General Duty

- (1) An association, its officers, directors, officials and employees shall abide by and enforce the Act and the rules and orders of the Commission and stewards.
- (2) An association may request an exemption from a requirement in this chapter to utilize new technology or innovative construction or design of the racetrack facilities. The Commission may grant an exemption if the Commission determines that:
 - (a) the association's proposal substantially satisfies the purpose of the requirement; and
 - (b) the exemption is in the best interests of the race horses, the racing industry and the citizens of this jurisdiction.

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

ARCI-007-015 Financial Requirements

A. Insurer of the Race Meeting

- (1) Approval of a race meeting by the Commission does not establish the Commission as the insurer or guarantor of the safety or physical condition of the association's facilities or purse of any race.
- (2) An association shall agree to indemnify, save and hold harmless the Commission from any liability, if any, arising from unsafe conditions of association grounds and default in payment of purses.
- (3) An association shall provide the Commission with a certificate of liability insurance as required by the Commission.
- (4) An association shall maintain in an approved depository, those amounts deducted from the pari-mutuel handle for distribution for the purposes specified in the Act and Commission rules.
- (5) An association and its managing officers are jointly and severally responsible to ensure that the amounts retained from the pari-mutuel handle are distributed according to the Act and Commission rules and not otherwise.
- (6) An association and its managing officers shall ensure that all purse monies, disbursements and appropriate nomination race monies are available to make timely distribution in accordance with the Act, Commission rules, association rules and race conditions.

B. Bond Requirements

- (1) An association shall file with the Commission a bond payable to (jurisdiction) in an amount determined by the Commission for pari-mutuel racing and in either case not

more than the financial liability of the association permit throughout the race meeting for which the association permit is requested.

- (2) The bond shall be executed by the applicant and a surety company or companies authorized to do business in this jurisdiction, and conditioned upon the payment by the association licensee of all taxes and other monies due and payable pursuant to statutory provisions and all monies due from horsemen's accounts and payable, presentation of winning tickets, the licensee will distribute all sums due to the patrons of pari-mutuel pools.
- (3) The financial liabilities incurred by the association licensee in the form of real estate mortgages shall not be included in the determination of the bond amount.

C. Financial Reports

- (1) The Commission may require periodic audits to determine that the association has funds available to meet those distributions for the purposes required by the Act, Commission rules, the conditions and nomination race program of the race meeting and the obligations incurred in the daily operation of the race meeting.
- (2) An association shall file a copy of all tax returns, a balance sheet and a profit and loss statement.
- (3) An association shall file with the Commission an unaudited balance sheet and profit and loss statement as required by the Commission. Those submissions must be in a format which conforms with the requirements set out in the association license application.
- (4) An association shall file an annual audit with the Commission within ___ days after the association's fiscal year-end. The Commission, upon good cause shown, may extend the time for filing.

D. Stakes Escrow Requirements

- (1) The association shall provide the Commission with a copy of written race conditions for stakes races prior to distribution.
- (2) The original race conditions nomination blank for stakes races shall be considered a binding contract between the association or sponsor and the nominator. The nomination blank must contain all conditions under which:
 - (a) fees are due and payable;
 - (b) the race will be conducted, providing for trials or divisions, if any;
 - (c) supplemental purses are added;
 - (d) monies will be retained by the association for advertisement, administration and commissions;
 - (e) terms or conditions under which refunds, if any, will be made; and (f) all other conditions pertaining thereto.
- (3) Unless otherwise approved by the Commission, prior to the closing of nominations, the association shall file with the Commission a copy of escrow provisions made by the association or sponsor with the horsemen's bookkeeper or other person(s)

authorized to receive payments on behalf of the nominators utilizing a federally insured financial institution to maintain the escrow account for all payments made to the stakes race. Any added or supplemental purse monies advertised or otherwise stated in the written race conditions shall be deposited in the escrow account no later than the deadline date for the first eligibility payment for that stakes race, unless otherwise approved by the Commission.

- (4) For all nomination races the association shall furnish the Commission and the owners of horses previously made eligible by compliance with the conditions of such race, with a list of all horses nominated, distinguishing those horses which remain eligible. The list shall be distributed within 30 days after the due date of each nomination and sustaining payment and shall include the name of the race; the name of each horse; name(s) of the owner(s) of each horse; and itemization of payments and gross purse to date, including any added monies, applicable interest, supplementary payments, and advertised deductions for advertising, administration and commissions retained by the association.
- (5) Within 15 days after each eligibility or payment date, and the date horses pass the entry box, the association shall provide a copy of the escrow report to the Commission. The escrow report shall include the financial institution representative; the names and addresses of nominators; the total number of entries; the names of horses remaining eligible; the names of horses dropped; an itemization of the amount of payments and added money received including totals; the amount of interest accrued to date; the name(s) of the person(s) currently authorized to make withdrawals; the amount and date of each withdrawal, if any; each deduction from monies received (e.g. uncollected checks, advertising, administrative and commissions costs); and the stated reason for each withdrawal or deduction. Notice of not less than two persons, whose signatures are required for a withdrawal, shall be filed with the Commission.
- (6) In all cases the association shall be responsible for the payment of all purse monies for any stakes race conducted at its licensed facility.

E. Charity Race Days

- (1) Unless otherwise prescribed by statute, an association must receive the approval of the Commission to conduct charity race days.
- (2) For approval of a charity race day, an association shall file a request not later than 30 days before the proposed charity race day is to be conducted. The request must be in writing and contain:
 - (a) the name of the charity;
 - (b) the name and address of each individual who serves as an officer or director of the charity or who owns an interest in the charity of five percent or more;
 - (c) a brief description of the activities or purposes of the charity; and
 - (d) a copy of an Internal Revenue Service letter of determination that qualifies the charity as an exempt organization for the purposes of federal income tax.
- (3) An association shall pay to the charity, out of its share of the pari-mutuel handle, at least two percent of the pari-mutuel handle generated on the charity race day.

- (4) At least one of the charity days must be conducted for a charity that directly benefits persons who work on the backside of the association racetrack. At least one of the charity days must be conducted for a charity that primarily benefits research into the health or safety of race horses.

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

ARCI-007-020 Facilities And Equipment

A. Facilities for Patrons and Licensees

- (1) An association shall ensure that the public areas of the association grounds are designed and maintained for the comfort and safety of the patrons and licensees and are accessible to all persons with disabilities as required by federal law.
- (2) An association shall provide and maintain adequate restroom facilities for the patrons and licensees.
- (3) An association shall provide an adequate supply of free drinking water.
- (4) An association shall maintain all facilities on association grounds to ensure the safety and cleanliness of the facilities at all times.
- (5) During a race performance, the association shall provide:
 - (a) a first aid room equipped with at least two beds and other appropriate equipment; and
 - (b) the services of at least one physician, a nurse practitioner or paramedic, with at least one person being adequately trained in diagnosing and assessing concussions.
- (6) An association shall provide a properly equipped to transport ambulance, staffed with at least one certified paramedic during training and two certified paramedics during racing hours. If the ambulance is being used to transport an individual, the association may not conduct a race, or allow horses with riders on the racetrack, until the ambulance is replaced.
- (7) An association shall provide mandatory orientation of racing emergency procedures for all emergency response personnel employed by or assigned as a result of a contract to the association grounds
- (8) Unless otherwise approved by the Commission or the stewards, an ambulance shall follow the field at a safe distance during the running of races.
- (9) The ambulance must be parked at an entrance to the racing strip except when the ambulance is being used to transport an individual or when it is following the field during the running of a race.
- (10) An association shall adopt, have posted, and implement a protocol for education, evaluation, diagnosis, and management of concussion of jockeys which shall be approved by the regulatory authority.
 - (a) Each jockey shall acknowledge in writing that they have been made aware of the concussion protocols in place for the facility at which they are riding;

- (b) A minimum assessment shall include the most current Sport Concussion Assessment Tool examination, when necessary, and be performed by a medical professional authorized in that jurisdiction to perform such evaluation;
 - (c) A *return-to-ride* guideline shall be established in order to clear a jockey who has been concussed, or is believed to have been concussed, once the jockey is declared fit-to-ride by a medical professional authorized to do so; and,
 - (d) The Stewards shall be notified when a jockey is not permitted to ride and when the jockey has been authorized to return to riding.
- (11) An association shall provide adequate office space for the use of the stewards and other Commission personnel as required by the Commission. The location and size of the office space, furnishings and equipment required under this section must be approved by the Commission.
- (12) An association shall promptly post Commission notices in places that can be easily viewed by patrons and licensees.

The following form has been approved as an ARCI Recommended Best Practice for documenting when a jockey has been medically cleared to resume riding after he or she has been removed due to a suspected concussion. This form shall serve as the authorization that the physician or licensed medical professional has examined the jockey, and has cleared the jockey to return to participation. The physician or licensed medical professional must complete this form and submit it to the Clerk of Scales prior to the jockey's resumption of participation in practice and/or competition.

**MEDICAL AUTHORIZATION TO RETURN TO RIDE WHEN A JOCKEY
HAS BEEN REMOVED DUE TO A SUSPECED CONCUSSION**

I, _____, have examined the jockey _____ who was removed from riding due to exhibiting signs/symptoms/behaviors consistent with a concussion. I have examined this athlete, provided an appropriate return to riding, if necessary, and determined that the jockey is cleared to resume participation on this date: _____.

Signature of Medical Professional: _____

Date: _____

B. Officials' Stands

An association shall provide adequate stands for officials to have a clear view of the racetrack. The location and design of the stands must be approved by the Commission.

C. Audio and Visual Equipment

- (1) An association shall provide and maintain in good working order a communication system between the:
 - (a) stewards' stand;
 - (b) racing office;
 - (c) tote room;
 - (d) jockeys' room;
 - (e) paddock; (f) test barn;
 - (g) starting gate;
 - (h) weigh in scale;
 - (i) video camera locations;
 - (j) clocker's stand;
 - (k) racing veterinarian;
 - (l) track announcer;
 - (m) location of the ambulances (equine and human); and
 - (n) other locations and persons designated by the Commission.
- (2) An association shall provide and maintain a public address system capable of clearly transmitting announcements to the patrons and to the stable area.
- (3) An association shall provide two electronic photofinish devices with mirror image to photograph the finish of each race and record the time of each horse in at least hundredths of a second. The location and operation of the photofinish devices must be approved by the Commission before its first use in a race. The association shall promptly post a photograph of each photofinish for win, place or show in an area accessible to the public. The association shall ensure that the photofinish devices are calibrated before the first day of each race meeting and at other times as required by the Commission. On request by the Commission, the association shall provide, without cost, a print of a photofinish to the Commission. Photofinish records of each race shall be maintained by the association for not less than six months after the end of the race meeting, or such other period as may be requested by the stewards or the Commission.
- (4) An association shall provide a videotaping system approved by the Commission. Cameras must be located to provide clear panoramic and head-on views of each race. Separate monitors, which simultaneously display the images received from each camera and are capable of simultaneously displaying a synchronized view of the recordings of each race for review shall be provided in the stewards' stand. The location and construction of video towers must be approved by the Commission.
- (5) One camera, designated by the Commission, shall videotape the pre-race loading of all horses into the starting gate and shall continue to videotape them until the field is dispatched by the starter.

The Association of Racing Commissioners International
Model Rules of Racing

- (6) One camera, designated by the Commission, shall videotape the apparent winner of each race from the finish line until the horse has returned, the jockey has dismounted and the equipment has been removed from the horse.
- (7) The stewards may, at their discretion, direct the video camera operators to videotape the activities of any horses or persons handling horses prior to, during or following a race.
- (8) Races run on an oval track must be recorded by at least three video cameras. Races run on a straight course must be recorded by at least two video cameras.
- (9) An association shall, upon request, provide to the Commission, without cost, a copy of a videotape of a race.
- (10) Videotapes recorded prior to, during and following each race shall be maintained by the association for not less than six months after the end of the race meeting, or such other period as may be requested by the stewards or the Commission.
- (11) An association shall provide a viewing room in which, on approval by the stewards, an owner, trainer, jockey or other interested individual may view a videotape recording of a race.
- (12) Following any race in which there is an inquiry or objection, the association shall display to the public on designated monitors the videotaped replays of the incident in question which were utilized by the stewards in making their decision.

D. Racetrack

- (1) The surface of a racetrack, including the cushion, subsurface and base, must be designed, constructed and maintained to provide for the safety of the jockeys and horses.
- (2) Prior to the first race meeting at an association racetrack, a licensed surveyor shall provide to the Commission a certified report of the grade and measurement of the distances to be run.
- (3) Distances to be run shall be measured from the starting line at a distance three feet out from the inside rail.
- (4) The surveyor's report must be approved by the Commission prior to the first race day of the meeting.
- (5) An association shall provide an adequate drainage system for the racetrack.
- (6) An association shall provide adequate equipment and personnel to maintain the track surface in a safe training and racing condition. The association shall provide back-up equipment for maintaining the track surface. An association that conducts races on a turf track shall:
 - (a) maintain an adequate stockpile of growing medium; and
 - (b) provide a system capable of adequately watering the entire turf course evenly.

E. Rails --

New rail installations after January 1, 2017 shall comply with the following specifications:

- (1) Racetracks, including turf tracks, shall have inside and outside rails, including gap rails, designed, constructed and maintained to provide for the safety of jockeys and horses. This means that they shall have structural integrity, free of cracks, breaks, splinters and contain no exposed sharp edges or pins or joint protrusions. Wood rail systems are not permitted. Existing race rail shall be inspected by the Commission each year. Race rail deemed unsafe by the Commission must be corrected. Prior to installing a new rail system, racetracks will confirm with the Commission that any new rail is approved.
- (2) The top of the rail on dirt and turf courses must be at least 38 inches but not more than 50 inches above the top of the cushion. The inside rail posts shall have a gooseneck shape of no less than 15 inches with a maximum of 24 inches, measured horizontally from the trackside of the gooseneck post to a point directly below the front edge of the trackside rail; the inside rail overhang shall have a continuous, smooth cover. The outside rail shares the same height as the inside rail and must have a minimum of a 12 inch and a maximum of 18 inch gooseneck shape.
- (3) All rails for dirt and turf courses must be constructed of materials designed to withstand the impact of a horse running at a gallop.

F. Starting Gates

- (1) During racing hours, an association shall provide at least two operable padded starting gates, which have been approved by the Commission.
- (2) An association shall make at least one starting gate and qualified starting gate personnel available for schooling during designated training hours.
- (3) An association shall ensure that an assistant starter is available for each horse in an official race.
- (4) If a race is started at a place other than in a chute, the association shall provide and maintain in good operating condition backup equipment for moving the starting gate. The backup equipment must be immediately available to replace the primary moving equipment in the event of failure.

G. Distance Markers

- (1) An association shall provide starting point markers and distance poles in a size and position that is clearly seen from the stewards' stand.
- (2) The starting point markers and distance poles must be marked as follows:
 - (a) 1/4 poles - Red and white horizontal stripes
 - (b) 1/8 poles - Green and white horizontal stripes
 - (c) 1/16 poles - Black and white horizontal stripes
 - (d) 220 yards - Green and white

- (e) 250 yards - Blue
- (f) 300 yards - Yellow
- (g) 330 yards - Black and white
- (h) 350 yards - Red
- (i) 400 yards - Black
- (j) 440 yards - Red and white
- (k) 550 yards - Black and white horizontal stripes
- (l) 660 yards - Green and white horizontal stripes (m) 770 yards - Black and white horizontal stripes
- (n) 870 yards - Blue and white horizontal stripes

H. Lighting

- (1) An association shall provide lighting for the racetrack and the patron facilities that is adequate to ensure the safety and security of the patrons, licensees and horses. Lighting to ensure the proper operation of the videotape and photofinish equipment must be approved by the Commission.
- (2) An association shall provide adequate additional lighting in the stable area as required by the Commission.
- (3) If an association conducts racing at night, the association shall maintain a back-up lighting system that is sufficient to ensure the safety of race participants and patrons.

I. Equine Ambulance

- (1) An association shall provide an equine ambulance staffed by trained personnel on association grounds on each day that the racetrack is open for racing or training.
- (2) The ambulance must be properly ventilated and kept at an entrance to the racing strip when not in use.
- (3) The ambulance must be a covered vehicle that is low to the ground and large enough to accommodate a horse in distress. The ambulance must be able to:
 - (a) navigate on the racetrack during all weather conditions; and (b) transport a horse off the association grounds.
- (4) The ambulance must be equipped with:
 - (a) large, portable screens to shield a horse from public view;
 - (b) ramps to facilitate loading a horse;
 - (c) adequate means of loading a horse that is down;
 - (d) a rear door and a door on each side;
 - (e) a padded interior;
 - (f) a movable partition to initially provide more room to load a horse and to later restrict a horse's movement;
 - (g) a shielded area for the person who is attending to the horse; and
 - (h) an adequate area for the storage of water and veterinary drugs and equipment.

- (5) An association may not conduct a race unless an equine ambulance or an official veterinarian-approved substitute is readily available.
- (6) The equine ambulance, its supplies and attendants and the operating procedures for the equine ambulance must be approved by the official veterinarian.

J. Barns

- (1) An association shall provide barns containing a sufficient number of stalls to accommodate all horses approved to race and all other horses approved to be on the grounds. The association's stable area configuration and facilities must be approved by the Commission.
- (2) An association shall ensure that the barns are kept clean and in good repair. Each barn, including the receiving barn, must have a hot and cold water supply available, be wellventilated, have proper drainage and be constructed to be comfortable in all seasons.
- (3) An association shall ensure that each horse is stabled in an individual box stall with minimum dimensions of 10 by 10 feet.
- (4) An association shall provide an adequate area for the placement of manure removed from the stalls. All manure must be removed from the stable area daily. The association shall ensure that refuse from the stalls and other refuse are kept separate.

K. Test Barn

- (1) An association shall provide a test barn for taking specimens of urine, blood or other bodily substances or tissues for testing.
- (2) The test barn must be equipped with:
 - (a) a walk ring that is large enough to accommodate ___ horses;
 - (b) at least ___ enclosed stalls that permit observation of the collection process and provide for the protection of collection personnel;
 - (c) facilities and equipment for the collection, identification and storage of samples
 - (d) a washrack that is large enough to accommodate ___ horses at the same time;
 - (e) hot and cold running water; and
 - (f) clean water buckets for each horse.
- (3) An association shall limit access to the test barn to persons authorized by the official veterinarian. All entrances shall be locked or guarded at all times.

L. Isolation Area

- (1) An association shall provide an isolation area for the care and treatment of a horse that is ordered isolated by the racing veterinarian or the official veterinarian.
- (2) The isolation area must be approved by the official veterinarian.

M. Lightning

- (1) The association shall implement or subscribe to a commercial, real-time lightning detection service that has been independently and objectively verified. The lightning

detection service must include strike distance/radius notifications enabling lightning delay decision-making. The detection service must be available to the stewards at all times and to designated officials during training hours.

- (2) The association shall designate a responsible official for monitoring lightning conditions during training hours. When lightning is detected within 8 miles radius of the racetrack, the designated official shall order suspension of all outdoor training activities and alert participants to seek shelter. Outdoor training activities may resume 30 minutes after the last lightning strike within an 8 mile radius as indicated by the lightning detection service.
- (3) The association shall designate a responsible official for enforcing any training delay.

N. Emergency Track Warning System

- (1) All tracks shall install an emergency track warning system on all racing and training tracks.
- (2) The emergency warning system shall consist of lights and sirens on every black and white sixteenth pole inside the main track, and where applicable, on main horse paths and entrances (gaps) that are used during morning exercising by horsemen to enter the training surface.
- (3) During workouts, **both** lights and sirens shall be used **simultaneously**. When a warning system is activated, those working, galloping, or ponying horses shall slow down and no one on horseback shall enter the affected track.
- (4) During a race, **lights** and **sirens** shall be used **independently**. Only the **lights** shall be used to warn jockeys or a loose or injured horse, or other situation(s) where the race **shall continue**, but caution must be exercised. If the race is aborted, **sirens** shall also be used and the jockeys shall immediately slow their horses.
- (5) During training, lights and sirens shall both be used to signal a lightning delay and that all participants should exit to shelter. Once the course is cleared, lights should remain on until the track is reopened after 30 minutes from the last lightning strike within an 8 mile radius of the facility.

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

Version 3.2 to 3.3 ARCI 12/7/05: Added new rule language

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

Version 4.3 to 4.4 ARCI Board 12/10/08: Added emergency response procedure language

Version 6.0 to 6.1 ARCI Board 12/7/15 Added ARCI-007-020 (M) Emergency Track Warning System

Version 6.3 to 7.0 ARCI Board of Directors 12/09/2016, amended ARCI 007-020-E "Rail"

Version 8.2 to 8.3 ARCI Board 4/5/18 amended ARCI-007-020 A 5 (b) to include requirement for a person trained in concussions; added subsection (10) and renumbered accordingly; adopted "recommended best practice" postconcussion return-to-ride authorization form.

Version 8.2 to 8.3 ARCI Board 4/5/18 Added ARCI-007-020 (M) "Lightning" and renumbered accordingly;

Added subsection (5) to ARCI-007-020 (N) [previously (M)] "Emergency Track Warning System" Version 8.3 to 8.4, ARCI Board, 7/11/2018, amended ARCI-007-020 (10); added (a), (b), (c), (d).

ARCI-007-025 Operations

A. Security

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- (1) An association conducting a race meeting shall maintain security controls over its grounds. Security controls are subject to the approval of the Commission.
- (2) An association may establish a system or method of issuing credentials or passes to restrict access to its restricted areas or to ensure that all participants at its race meeting are licensed as required by these rules.
- (3) An association shall prevent access to and shall remove or cause to be removed from its restricted areas any person who is unlicensed, or who has not been issued a visitor's pass or other identifying credential, or whose presence in such restricted area is unauthorized.
- (4) Unless otherwise authorized by the Commission, an association shall provide continuous security in the stable area during all times that horses are stabled on the grounds. An association shall require any person entering the stable area to display valid credentials issued by the Commission or a visitor's pass issued by the association (See Chap. 8, Rule ARCI-008-010 Section X). A written record of all individuals admitted to the stable area between the hours of 12:00 midnight and 5:00 a.m. shall be maintained. At a minimum this record shall contain the name of the person admitted, the person's license number and the time admitted. An association shall provide security fencing around the stable area in a manner that is approved by the Commission.
- (5) On request by the Commission, an association shall provide a list of the security personnel, including the name, qualifications, training, duties duty station and area supervised by each employee.
- (6) Each day, the chief of security for an association shall deliver a written report to the stewards regarding occurrences on association grounds on the previous day. Not later than 24 hours after an incident occurs requiring the attention of security personnel, the chief of security shall deliver to the stewards a written report describing the incident. The report must include the name of each individual involved in the incident, the circumstances of the incident and any recommended charges against each individual involved.
- (7) Race day Security Measures, such as the following, shall be enacted:
 - (a) The administration of any controlled therapeutic medication to a horse within 24 hours of the scheduled post time for which a horse is entered to compete shall result in a scratch except for the Administration of furosemide as permitted in ARCI-011-020 (F).
 - (b) Except in circumstances involving the health and/or safety of the horse, contact with a horse by a veterinarian other than an Official Veterinarian or designee any time 24 hours *prior to the post time of the race for which a horse is entered to compete* may result in a scratch.
 - (c) Contact with a horse within 24 hours prior to the post time of the race for which a horse is entered to compete (unless the horse has been previously scratched) shall only be by licensed personnel or an individual issued a visitor's pass or other identifying credential, notwithstanding veterinarians approved under Section 2 above.

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- (d) 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 at least 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.
- (e) (Deferred 4-24-2013) All horses entered to compete shall be clearly identified by signs plainly stating “IN TODAY” displayed clearly next to or on the stall doors not less than twenty-four (24) hours prior to the scheduled post time of the race in which the horse is entered to compete, or be subject to scratch. “IN TODAY” signs should contain the name of the entered horse, along with a tollfree telephone number for track security in order to facilitate reporting violations. Copies of a horse identifier’s list of entered horses with their tattoo numbers shall be made available to security personnel who patrol the general barn area to be used for checks of “IN TODAY” horses.
- (f) (Deferred 4-24-2013) All horses entered to compete that do not reside on racing association property and that arrive on racing association property within 24 hours of the post time of the race for which they are entered are required to go directly to the receiving barn, or other location authorized by the racing association, and be placed in an IN TODAY stall upon arriving on association grounds and are subject to heightened surveillance in order to prevent unauthorized access to horses that would provide an opportunity for inappropriate medication administration.
- (g) All horses on the association grounds may be required to report to a receiving barn, or other such location designated by the racing association, forty-five (45) minutes prior to the scheduled post time for the race in which the horse is entered to compete. Access to the receiving barn or other such location designated by the racing association should be controlled by security to prevent unauthorized access to horses.
- (h) Earned Surveillance:
 - (A) After serving a penalty for a violation involving an ARCI Class 1 or Class 2 foreign prohibited substance, except for controlled therapeutic substances as defined in these rules, all horses under the care of the trainer that served the penalty shall be included on an earned surveillance list and may be required to report to a location designated by the racing association (which may be the receiving barn) eight (8) hours prior to the scheduled post time for the race in which the horse is entered to compete for a period of not less than 30 days and not more than 60 days.
 - (B) Such trainers meeting the criteria in section (A) above shall also be subject to increased scrutiny by security personnel, including, programs involving the use of security personnel assigned to directly monitor the Licensee for a period of not less than 30 days, and not more than 60

days, use of video surveillance, and/or increased random visits to the barn.

- (C) Veterinarians who are the subject of medication violations involving RCI Class 1 or Class 2 foreign substances shall also be subject to increased scrutiny by security personnel, including, but not limited to programs involving the use of security personnel assigned to directly monitor the for a period of not less than 30 days and not more than 60

days.

- (i) Training of Security Personnel: Racing associations shall develop comprehensive training programs that enable backstretch security personnel to expand their knowledge and abilities in policing and securing the stable area.

Associations should support and participate in available security training opportunities, such as those provided by the Thoroughbred Racing Protective Bureau (TRPB) and the Organization of Racing Investigators. These programs should promote use of “best practices” to secure horses on race day.

- (j) Reporting and Communication: All racing associations and commissions shall display and support a toll-free, anonymous tip line in both English and Spanish in one or more of the following locations: track kitchen, each barn in the stabling area and the receiving barn, as well as in the overnight sheets and the condition book. Association investigators should, after the conclusion of a reasonable investigation and sufficient probable cause, through appropriate dissemination mechanisms such as TRPB, ensure information regarding alleged untoward activity on the part of licensees, improper race-day substances, or other useful or actionable intelligence gleaned during their race meeting is reported to the racing commission investigators.

B. Fire Prevention

- (1) An association shall develop and implement a program for fire prevention on association grounds. An association shall instruct employees working on association grounds of the procedures for fire prevention.
- (2) Not later than ___ days before the first day of a race meeting, an association shall deliver to the Commission a copy of the state or local fire marshal's certification regarding the association's compliance with fire safety regulations or the fire marshal's plan of corrections. The certification or plan must be based on an inspection of the association grounds conducted by the fire marshal not more than 30 days before the first day of a race meeting.
- (3) No person shall:
 - (a) smoke in stalls, feed rooms or under shed rows;
 - (b) burn open fires or oil and gas lamps in the stable area;
 - (c) leave unattended any electrical appliance that is plugged-in to an electrical outlet.

- (d) permit horses to come within reach of electrical outlets or cords;
 - (e) store flammable materials such as cleaning fluids or solvents in the stable area; or
 - (f) lock a stall which is occupied by a horse.
- (4) An association shall post a notice in the stable area which lists the prohibitions outlined in 3a-f above.

C. Insect and Rodent Control

An association and the licensees occupying the association's barn area shall cooperate in procedures to control insects, rodents or other hazards to horses or licensees.

D. Performances

- (1) The hours of racing, the number of races per race day and the post time for the first race of each race day are subject to the approval of the Commission.
- (2) An association shall deliver to the Commission for approval a copy of the first condition book for a race meeting at least ___ days before the first day of the race meeting. The association shall deliver to the Commission, upon publication, a copy of each subsequent condition book.

E. Complaints

- (1) An association shall designate a location and provide personnel who shall be readily available to the public to provide or receive information.
- (2) An association shall promptly notify the Commission of a complaint regarding:
 - (a) an alleged violation of the Act or a rule of the Commission; (b)
an alleged violation of ordinances or statutes;
 - (c) accidents or injuries; or
 - (d) unsafe or unsanitary conditions for patrons, licensees or horses.

F. Ejection and Exclusion

- (1) An association shall immediately eject from the association grounds a person who is subject to such an exclusion order of the Commission or stewards and notify the Commission of the ejection.
- (2) An association may eject or exclude a person for any lawful reason. An association shall immediately notify the stewards and the Commission in writing of any person ejected or excluded by the association and the reasons for the ejection or exclusion.

G. Dangerous Weather Conditions

- (1) The association shall develop a hazardous weather and lightning protocol to be approved by the regulatory authority.
- (2) The regulatory authority shall designate the personnel responsible for immediately investigating any known impending threat of dangerous weather conditions to determine if conditions exist which warrant delay and/or cancellation of a performance and/or the notification to the public of such threatening weather conditions. The first priority of all decisions made shall be the well being and safety of all persons and animals.

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- a. The stewards shall commence a race delay and/or cancellation when lightning is detected within an 8 mile radius of the racetrack which shall remain in effect until a minimum of 30 minutes has passed since the last strike is observed within an 8 mile radius.
- (3) A written report of any such incident shall be filed within ___ hours to the regulatory authority designee by the highest-ranking association official.

H. Responsible Gambling

As a condition of licensure an association shall implement a problem gambling program appropriate to the circumstances of the licensee, incorporating concepts and methods outlined in the Responsible Wagering Resources Guide for Race Track Managers (available from the Winners Federation, Inc.; P.O. Box 46098; Chicago, Illinois 606460098; tel. 847 477-3551), or an appropriate and comparable resource.

I. Posting of Jockey Insurance Coverage

- (1) An association shall have on file with the commission a copy of the actual policy and post in the jockeys' quarters a summary of the association's insurance coverage for jockeys who are injured while on the grounds of the association and shall, upon the request of any licensed jockey who is participating in the race meeting, provide a copy of the policy of such insurance. Such request shall be made in writing to a racing official designated by the association in the notice to respond to such requests.
- (2) In the event that the insurance policy is changed during the race meeting the association shall promptly notify the commission and post a notice of any such changes.

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

Version 3.1 to 3.2 ARCI 12/9/04 NAPRA 12/9/04: Amended new rule and language added

Version 4.9 to 5.0 ARCI Board 12/9/11: Added Posting of Jockey Insurance Coverage

Version 5.1 to 5.2 ARCI Board 7/25/12: Added language to Security

Version 5.3 to 5.4 ARCI Board 4/25/13: Added language to Security

Version 8.2 to 8.3 ARCI Board 4/5/18: Added Section G to ARCI-007-025 (Dangerous Weather Conditions) and renumbered subsequent sections accordingly.

FLAT RACING LICENSING AND DUTIES OF LICENSEES - CHAPTER 8

ARCI-008-005 Purpose

To provide requirements and procedures for granting, refusing, suspending and revoking of licenses, as well as general duties and requirements for individuals holding specific occupational licenses.

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

ARCI-008-010 General Provisions

A. Licenses Required

- (1) A person shall not participate in pari-mutuel racing under the jurisdiction of the Commission without a valid license issued by the Commission. License categories shall include the following and others as may be established by the Commission:
 - (a) racing participants and personnel (including owner, authorized agent, trainer, assistant trainer, jockey, apprentice jockey, jockey agent, exercise rider, pony rider, veterinarian, veterinary assistant, horseshoer and stable employees);
 - (b) racing officials (including steward, racing secretary, starter, horsemen's bookkeeper, timer/clocker, clerk of scales, jockey room custodian, paddock judge, patrol judge, placing judge, official veterinarian, racing veterinarian and horse identifier);
 - (c) persons employed by the association, or employed by a person or concern contracting with or approved by the association or Commission to provide a service or commodity, which requires their presence in a restricted area, or which requires their presence anywhere on association grounds while parimutuel wagering is being conducted; and
 - (d) all Commission employees.
- (2) Members of the media, including chart callers, while not required to be licensed, may at the commission's discretion be subject to background investigation, fingerprinting, be required to carry credentials, and pay all required fees.
- (3) Persons required to be licensed shall submit a completed application on forms furnished by the Commission and accompanied by the required fee.
- (4) License applicants may be required to furnish to the Commission a set(s) of fingerprints and a recent photograph and may be required to be re-fingerprinted or rephotographed periodically as determined by the Commission.

B. Fingerprinting and Licensing Reciprocity

The Commission may license persons holding valid permanent (not temporary) licenses issued by racing jurisdictions in North America. The licensee must be in good standing; have cleared a Federal Bureau of Investigation (FBI) or Royal Canadian Mounted Police (RCMP) fingerprint check within the previous 36 months, or such other period as is

required by this jurisdiction; file an application and/or affidavit as may be required by the Commission; and pay the required applicable fees prior to participating in racing.

- (1) The Commission may recognize the issuance of racing licenses from jurisdictions in North America for purposes of issuance of licenses in this jurisdiction.
- (2) Only permanent licenses in good standing shall be considered. Temporary or probationary licenses shall not be considered.
- (3) An applicant must be in good standing in each jurisdiction where they hold or have held a racing license.
- (4) The applicant must have submitted fingerprints within the past 36 months, or such other period as is required by this jurisdiction, for the purpose of a criminal records check by the FBI or RCMP. The applicant shall provide this jurisdiction with proof of licensure from another jurisdiction to which fingerprints were submitted.
- (5) The applicant shall submit the license application form and license fee required by this jurisdiction.
- (6) Provided the above requirements have been met, this jurisdiction may issue either a license and/or a validation sticker. The validation sticker shall be affixed to either a license issued by this jurisdiction or a valid license issued by another jurisdiction. The validation sticker shall measure a maximum of one-half inch vertically by one and one-half inches horizontally and shall contain this jurisdiction's two-letter postal service abbreviation, the year of validation and the audit trail code or serial number (where applicable). The validation sticker shall be constructed of an approved tamperresistant material. The affixing of the validation sticker shall constitute licensing. This Commission shall determine the period of time that such license shall be valid in this jurisdiction.
- (7) In the event the licensee is absent from this jurisdiction, and upon payment of the applicable fees, a receipt shall be mailed to the licensee's permanent address. The receipt may then be presented at the Commission office by the licensee so that a Commission representative may affix the proper validation sticker to the racing license badge.

C. Multi-Jurisdictional Licensing Information

In lieu of a license application from this jurisdiction, the Commission shall accept a NAPRA or RCI Multi-Jurisdictional License Form.

D. Age Requirement

Applicants for licensing shall be a minimum of 16 years of age unless otherwise specified in these rules. An applicant may be required to submit a certified copy of his/her birth certificate. Persons under the age of 18 may be required to show evidence of active participation in a certified educational program or have a high school diploma or equivalent.

E. Consent to Investigation

The filing of an application for license shall authorize the Commission to investigate criminal and employment records, to engage in interviews to determine applicant's character and qualifications and to verify information provided by the applicant.

F. Consent to Search and Seizure

By acceptance of a license, a licensee consents to search and inspection by the Commission or its agents and to the seizure of any prohibited medication, drugs, paraphernalia or devices in accordance with state/provincial and federal law.

G. Protection of Horses

- (1) Each person licensed by the Commission shall do all that is reasonable and within his/her power and scope of duty to guard against and prevent the administration of any drug, medication or other substance, including permissible medication in excess of the maximum allowable level, to any horse entered or to be entered in an official workout or race, as prohibited by these rules.
- (2) No licensee or other person under the jurisdiction of the Commission shall subject or permit any animal under his/her control, custody or supervision to be subjected to or to incur any form of cruelty, mistreatment, neglect or abuse or abandon, injure, maim or kill or administer any noxious substance to or deprive any animal of necessary care or sustenance, shelter or veterinary care.

H. Substance Abuse/Addiction

- (1) All licensees shall be deemed to be exercising the privileges of their license, and to be subject to the requirements of these rules, when engaged in activities that could affect the outcome of a race or diminish the conditions of safety or decorum required in restricted areas.
- (2) It shall be a violation to exercise the privileges granted by a license from this Commission if the licensee:
 - (a) Is engaged in the illegal sale or distribution of alcohol or a controlled substance;
 - (b) Possesses, without a valid prescription, a controlled substance;
 - (c) Is intoxicated or under the influence of alcohol or a controlled substance;
 - (d) Is addicted, having been determined to be so by a professional evaluation, to alcohol or other drugs and not engaged in an abstinence-based program of recovery acceptable to the Commission;
 - (e) Has in his/her possession within the enclosure any equipment, products or materials of any kind which are used or intended for use in planting, propagating, cultivating, growing, harvesting, manufacturing, compounding, converting, producing, processing, preparing, testing, analyzing, packaging, repackaging, storing, containing, concealing, injecting, ingesting, inhaling or otherwise introducing into the human body a controlled dangerous substance;
 - (f) Refuses to submit to urine or drug testing, when notified that such testing is based on a random drug testing procedure, is based on reasonable suspicion that the

person is using drugs or alcohol or is based on the licensee's acting as if in an impaired condition; or

- (g) Presently has drugs (controlled substances) or alcohol in his or her body. With regard to alcohol, the results of a breathalyzer test showing a reading of more than .05 percent of alcohol in the blood shall be the criterion for a finding of alcohol present in the body. With regard to other controlled substances, presence of the drug in any quantity measured by the testing instrument establishes the presence of the drug for purposes of this paragraph.
- (3) At its discretion, the Commission may conduct random or episodic random drug testing, as well as testing based on reasonable suspicion, in order to ensure safety on the racetrack.
 - (4) When conducted, random drug testing shall apply, equally, to all licensees who are, at the time of the random testing, exercising the privileges of their license in such ways as may affect the outcome of a race or diminish the conditions of safety or decorum required in restricted areas.
 - (5) No notice need be given as to onset or cessation of random testing.
 - (6) For licensees who are tested under the provisions in this chapter, and whose testing shows the presence of drugs (controlled substances) or alcohol, any field screening test results shall be confirmed by a laboratory acceptable to the Commission which shall include Gas Chromatography/ Mass Spectrometry (GC/MS) procedures.
 - (7) When the sample quantity permits, each test sample shall be divided into portions so that one portion may be used for the confirmation procedure and another portion may be utilized by the licensee to obtain an independent analysis of the urine sample.
 - (8) The Commission shall provide for a secure chain of custody for the sample to be made available to the licensee.
 - (9) All costs for the transportation and testing for the sample portion made available for the licensee shall be the financial responsibility of the requesting person.
 - (10) Payment shall be due from the requesting person within 30 days of receipt of notice of the costs.
 - (11) A licensee penalized or restricted pursuant to this chapter shall retain rights of due process with respect to any determination of alleged violations which may adversely affect the right to hold a license.
 - (12) If there has been a violation, under number 2 above, the following procedures will be followed:
 - (13) The Commission may, at its discretion, order the licensee to obtain a professional assessment to determine whether there is a substantial probability that the licensee is dependent on, or abuses, alcohol or other drugs or the Commission may act on the information at hand.
 - (14) Actions in the case of first violators may include revocation of the license, suspension of the license for up to six months, placing the violator on probation for up to 90 days or ordering formal assessment and treatment.

- (15) Treatment or assessment, if ordered, must meet the conditions given in numbers 1618 below.
- (16) The license of the person may be revoked or suspended for a period of up to one year or a professional assessment of the person may be ordered by the Commission.
- (17) If a professional assessment indicates presence of a problem of alcohol or other drug abuse that is not treatable within the reasonably foreseeable future (360 days) the license may be suspended for a period of up to one year.
- (18) If a professional assessment indicates presence of a treatable problem of alcohol or other drug abuse or dependence, the Commission may order the licensee to undergo treatment as a condition of continuing licensure. Such treatment will be through a program or by a practitioner, acceptable to the licensee and the Commission. Required features of any program or practitioner acceptable to the Commission will be:
 - (a) Accreditation or licensure by an appropriate government agency, if required by state statute;
 - (b) A minimum of one year follow-up of formal treatment; and
 - (c) A formal contract indicating the elements of the treatment and follow up program that will be completed by the licensee and, upon completion, certified to the Commission as completed. To effect the contract, the licensee will authorize release of information by the treating agency, hospital or individual.
- (19) For third-time violators, the violator's license may be revoked and the violator may be deemed ineligible for licensure for up to five years.
- (20) Although relapse (failure to maintain abstinence) is not inevitable, it is common for relapse to occur in recovery from alcoholism or other substance dependence. Therefore, a licensee who is engaged in a formal program of recovery, and is compliant with all provisions other than abstinence, will not be regarded automatically as having committed a new violation.
- (21) When a licensee is determined to have failed in maintaining abstinence, the licensee shall furnish to the Commission an assessment by the treating agency, hospital or individual practitioner indicating whether the licensee was compliant with the agreed upon program of recovery, and an opinion as to whether a "new violation" occurred.
- (22) The Commission will determine whether a new violation has occurred in each instance. If a new violation has occurred, the Commission will proceed under numbers 13-15 above or numbers 16-18 above. Otherwise, the licensee shall continue in the agreed upon program of recovery.

I. Approval or Recommendations by Stewards

The Commission may designate categories of licenses which shall require stewards' prior approval or recommendation.

J. Employer Responsibility

- (1) The employment or harboring of any unlicensed person at facilities under the jurisdiction of the Commission is prohibited.

- (2) Every employer shall report the discharge of any licensed employee in writing to the Commission or its designee, including the person's name, occupation and reason for the discharge.

K. Employer Endorsement of License Applications

The license application of an employee shall be signed by the employer.

L. Workers' Compensation

Licensed employers shall carry workers' compensation insurance covering their employees as required by statute.

M. Financial Responsibility

Applicants for a license may be required to submit evidence of financial responsibility and shall maintain financial responsibility during the period for which the license is issued.

N. License Refusal

The Commission or its designee may refuse to issue a license and give the applicant the option of withdrawal of an application without prejudice. If an applicant is refused, the applicant may reapply for a license.

O. License Denial

The Commission may formally deny an application in accordance with these rules. An application denied shall be reported in writing to the applicant stating the reasons for denial, the date when a reapplication may be submitted, and shall be reported to or the Association of Racing Commissioners International, Inc whereby other member racing jurisdictions shall be advised.

P. Grounds for Refusal, Denial, Suspension or Revocation of License

- (1) The Commission or its designee may refuse to issue or may deny a license to an applicant, or may suspend or revoke a license issued, or may order disciplinary measures, if the applicant:
- (a) has been convicted of a felony;
 - (b) has been convicted of violating any law regarding gambling or a controlled dangerous substance;
 - (c) has pending criminal charges; or
 - (d) is unqualified to perform the duties required of the applicant;
 - (e) has failed to disclose or states falsely any information required in the application;
 - (f) has been found in violation of statutes or rules governing racing in this state or other jurisdictions;
 - (g) has racing disciplinary charges pending in this state or other jurisdictions;
 - (h) has been or is currently excluded from association grounds by a recognized racing jurisdiction;
 - (i) has had a license denied, suspended or revoked by any racing jurisdiction;
 - (j) is a person whose conduct or reputation may adversely reflect on the honesty and integrity of horse racing or interfere with the orderly conduct of a race meeting;

- (k) demonstrates financial irresponsibility by accumulating unpaid obligations, defaulting in obligations or issuing drafts or checks that are dishonored or payment refused;
 - (l) is ineligible for employment pursuant to federal or state law because of age or citizenship; or
 - (m) has violated any of the alcohol or substance abuse provisions outlined in Sec. H of this rule.
- (2) A license suspension or revocation shall be reported in writing to the applicant and the Association of Racing Commissioners International, Inc. whereby other member racing jurisdictions shall be advised.

Q. Relationships with Inactive Persons, Prohibited

- (1) A person shall not train a horse or practice veterinary medicine for the benefit, credit, reputation, or satisfaction of an inactive person. This prohibition shall not prevent the partners in a veterinary practice from providing services to horses as long as the inactive person does not receive a pecuniary benefit from those services.
- (2) An associated person of an inactive person shall not:
- (a) Assume the inactive person's responsibilities at a location under the jurisdiction of the commission;
 - (b) Complete an entry form for a race on behalf of or for the inactive person or an owner or customer for whom the inactive person has worked; or
 - (c) Pay or advance an entry fee for on behalf of the inactive person or owner or customer for whom the inactive person has worked.
- (3) An associated person who assumes the responsibility for the care, custody, or control of an unsuspended horse owned (fully or partially), leased, or trained by an inactive person shall not:
- (a) Be paid a salary directly or indirectly by or on behalf of the inactive person;
 - (b) Receive a bonus or any other form of compensation in cash, property, or other remuneration or consideration from the inactive person;
 - (c) Make a payment or give remuneration or other compensation or consideration to the inactive person or associated person; or
 - (d) Train or perform veterinarian work for the inactive person or an owner or customer of the inactive person at a location under the jurisdiction of the Authority.
- (4) A person who is responsible for the care, training, or veterinarian services provided to a horse formerly under the care, training, or veterinarian services of an inactive person shall:
- (a) Bill customers directly on his or her bill form for any services rendered at or in connection with any race meeting;
 - (b) Maintain a personal checking account totally separate from and independent of that of the inactive person to be used to pay expenses of and deposit income from an owner or client of the inactive person;

- (c) Not use the services, directly or indirectly, of current employees of the inactive person; and
- (d) Pay bills related to the care, training, and racing of the horse from a separate and independent checking account. Copies of the invoices for such expenses shall be retained for not less than six (6) months after the date of the reinstatement of the license of the inactive person or the expiration of the suspension of the inactive person's license.

R. License Restrictions, Limitations and Conditions

The Commission or its designee, for cause, may restrict, limit or place conditions on any license.

S. Duration of License

- (1) Licenses expire December 31 or are valid for such other period as permitted by the Commission.
- (2) A license is valid only under the condition that the licensee remains eligible to hold such license.

T. Changes in Application Information

During the period for which a license has been issued, the licensee shall report to the Commission changes in information provided on the license applications as to current legal name, marital status, permanent address, criminal convictions, license suspensions of 10 days or more or license revocations or fines of \$500 or more in other jurisdictions.

U. Temporary Licenses

The Commission may establish provisions for temporary licenses or may permit applicants to participate in racing pending action on an application.

V. More Than One License

More than one license to participate in flat racing may be granted to a person except when prohibited by these rules due to a potential conflict of interest.

W. Conflict of Interest

- (1) The Commission or its designee shall refuse, deny, suspend or revoke the license of a person whose spouse holds a license and which the Commission or stewards find to be a conflict of interest.
- (2) A commissioner or Commission employee or racing official shall not be an owner of a horse and shall not accept breeder awards at a race meeting where they have jurisdiction.
- (3) A racing official who is an owner of either the sire or dam of a horse entered to race shall not act as an official with respect to that race.
- (4) A person who is licensed as an owner or trainer, or has any financial interest in a horse registered for racing at a race meeting in this jurisdiction shall not be employed or licensed at that race meeting as a jockey; apprentice jockey; jockey agent; racing official; assistant starter; practicing veterinarian; veterinary assistant; racetrack

director, officer or managing employee; track maintenance supervisor or employee; jockey room custodian; valet; outrider; racetrack security employee; horseshoer; photo finish operator; horsemen's bookkeeper; racing chemist or testing laboratory employee.

X. License Presentation

- (1) A person shall present an appropriate license to enter a restricted area.
- (2) The stewards may require visible display of a license in a restricted area.
- (3) A license may only be used by the person to whom it is issued.

Y. Visitor's Pass

Track security may authorize unlicensed persons temporary access to restricted areas. Such persons shall be identified and their purpose and credentials verified and approved in writing by track security. A copy of the written approval shall be filed with the Commission or its designee within 48 hours. Such authorization or credential may only be used by the person to whom it is issued.

Z. Safety Equipment

(1) Helmets

Any person mounted on a horse or stable pony on association grounds must wear a properly secured safety helmet at all times. Additionally, all members of the starting gate crew must adhere to this regulation at all times while performing their duties or handling a horse. For the purpose of this regulation, a member of the starting crew means any person licensed as an assistant starter or any person who handles a horse in the starting gate. The helmet must comply with one of the following minimum safety standards or later revisions:

- a) American Society for Testing and Materials (ASTM 1163);
- b) European Standards (EN-1384 or PAS-015 or VG1);
- c) Australian/New Zealand Standards (AS/NZ 3838; or
- d) ARB HS 2012; or Snell Equestrian Standard 2001.

(2) Vests

Any person mounted on a horse or stable pony on the association grounds must wear a properly-secured safety vest at all times. Additionally, all members of the starting gate crew must also adhere to this regulation at all times while performing their duties or handling a horse. For the purpose of this regulation, a member of the starting gate crew means any person licensed as an assistant starter or any person who handles a horse at the starting gate. The safety vest must comply with one of the following minimum standards or later revisions:

- (a) British Equestrian Trade Association (BETA):2000 Level 1
- (b) Euro Norm (EN) 13158:2000 Level 1
- (c) American Society for Testing and Materials (ASTM) F2681-08 or F1937.

- (d) Shoe and Allied Trade Research Association (SATRA) Jockey Vest Document M6 Issue 3
- (e) Australian Racing Board (ARB) Standard 1.1998
- (3) A safety helmet or a safety vest shall not be altered in any manner nor shall the product marking be removed or defaced.
- (4) Reins
 - a. All 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 must be equipped with a type of safety reins approved by the commission. Reins to be approved must be originally designed and constructed to provide a secure secondary attachment to the bit that is secured to a reinforcement material to prevent failure due to breakage of the rein, or breakage or inadvertent loss of the primary connection to the bit.

AA. Knowledge of Rules

- (1) A licensee shall be knowledgeable of the rules of the Commission; and by acceptance of the license, agrees to abide by the rules.
- (2) A licensee shall report to track security or the stewards any knowledge he/she has that a violation of these rules has occurred or may occur.

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

Version 3.1 to 3.2 ARCI 12/9/04 NAPRA 12/9/04: Amended new rule and language added

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

Version 4.3 to 4.4 ARCI 12/10/08: Updated helmet standards

Version 4.4 to 4.5 ARCI 4/23/09 Amended language Relationships with Inactive Persons Prohibited

Version 4.5 to 4.6 ARCI 7/31/09 Amended language Safety Vest Standards

Version 4.8 to 4.9 ARCI Board 7/27/11 Added language prohibiting altering safety helmets and vests

Version 5.1 to 5.2 ARCI Board 7/25/12 Added language regarding Gate crew to Helmets and amended language for safety vests

Version 6.0 to 6.1 ARCI Board 12/7/15 Amended Helmets language regarding updated safety standards

ARCI-008-015 Owners

A. Licensing Requirements for Owners

- (1) Each person who has a five percent or more ownership or beneficial interest in a horse is required to be licensed.
- (2) An applicant for an owner's license shall own or lease a horse which is eligible to race, registered with the racing secretary and under the care of a trainer licensed by the Commission. An owner shall notify the stewards of a change in trainer of his/her horse. A horse shall not be transferred to a new trainer after entry.
- (3) The provisions of ARCI-008-010 Section D notwithstanding, a horse owner of any age may apply for an owner's license. If younger than 18 years of age, an applicant for an owner's license shall submit a notarized affidavit from his/her parent or legal guardian stating that the parent or legal guardian assumes responsibility for the applicant's financial, contractual and other obligations relating to the applicant's participation in racing.

- (4) If the Commission or its designee has reason to doubt the financial responsibility of an applicant for an owner's license, the applicant may be required to complete a verified financial statement.
- (5) Each licensed owner is responsible for disclosure to the Commission or its designee of the true and entire ownership of each of his/her horses registered with the racing secretary. Any change in ownership or trainer of a horse registered with the racing secretary shall be approved by the stewards. Each owner shall comply with all licensing requirements.
- (6) The Commission or its designee may refuse, deny, suspend or revoke an owner's license for the spouse or member of the immediate family or household of a person ineligible to be licensed as an owner, unless there is a showing on the part of the applicant or licensed owner, and the Commission determines that participation in racing will not permit a person to serve as a substitute for an ineligible person. The transfer of a horse to circumvent the intent of a Commission rule or ruling is prohibited.

B. Licensing Requirements for Multiple Owners

- (1) If the legal owner of any horse is a partnership, corporation, limited liability company, syndicate or other association or entity, each shareholder, member or partner shall be licensed as required in of this rule.
- (2) Each partnership, corporation, limited liability company, syndicate or other association or entity shall disclose to the Commission all owners holding a five percent or greater beneficial interest, unless otherwise required by the Commission.
- (3) Each partnership, corporation, limited liability company, syndicate or other association or entity which includes an owner with less than a five percent ownership or beneficial interest shall file with the Commission an affidavit which attests that, to the best of their knowledge, every owner, regardless of their ownership or beneficial interest, is not presently ineligible for licensing or suspended in any racing jurisdiction.
- (4) To obtain an owner's license, an owner with less than a five percent ownership or beneficial interest in a horse shall establish a bona fide need for the license and the issuance of such license shall be approved by the stewards.
- (5) Application for joint ownership shall include a designation of a managing owner and a business address. Receipt of any correspondence, notice or order at such address shall constitute official notice to all persons involved in the ownership of such horse.
- (6) The written appointment of a managing owner or authorized agent shall be filed with the Commission.

C. Lease Agreements

A horse may be raced under lease provided a completed breed registry or other lease form acceptable to the Commission is attached to the certificate of registration and on file with the Commission. The lessor and lessee shall be licensed as horse owners.

D. Stable Name Registration

Licensed owners and lessees may adopt a stable name subject to the approval of the Commission.

- (1) The applicant shall identify all persons using the stable name. Changes shall be reported immediately to the Commission.
- (2) A person who has registered a stable name may cancel it upon written notice to the Commission.
- (3) A stable name may be changed by registering a new stable name.
- (4) A stable name which has been registered by any other person will not be approved by the Commission.
- (5) A stable name shall be clearly distinguishable from other registered stable names.
- (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 on e 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 preapproved 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:

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- (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;
- (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.

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- (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);
 - 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) **Records for Horses Shipping to the Track:** if a horse is not stabled at a facility under the jurisdiction of the Relevant Racing Authority for the full 14 days prior to a race or working off the Veterinarian's List, the trainer must make available to the official veterinarian or other Regulatory Authority designee, upon request, the 14day Record.

Failure to provide accurate and complete records as requested may result in disciplinary action.

- (19) 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;

(20) *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 (30day 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
 - 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.
- (21) representing an owner in making entries and scratches and in all other matters pertaining to racing;
- (22) horses entered as to eligibility and weight or other allowances claimed;
- (23) ensuring the fitness of a horse to perform creditably at the distance entered;
- (24) 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.
- (25) 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.

- (26) 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;
- (27) personally attending to his/her horses in the paddock and supervising the saddling thereof, unless excused by the stewards;
- (28) instructing the jockey to give his/her best effort during a race and that each horse shall be ridden to win;
- (29) 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
- (30) 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

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- (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

Version 8.5 to 9.0, ARCI Board of Directors, 04/04/2019, Adopted 008-020 C (18), Records for Horses Shipping to the Track," 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.
- (6) The authorized agent's appointment may be terminated by the owner, in writing, acknowledged before a notary public and filed with the Commission whereupon the license shall not be valid.

B. Powers and Duties

- (1) A licensed authorized agent may perform on behalf of the licensed owner-principal all acts as relate to racing, as specified in the agency appointment, that could be performed by the principal if such principal were present.
- (2) In executing any document on behalf of the principal, the authorized agent shall clearly identify the authorized agent and the owner-principal.
- (3) When an authorized agent enters a claim for the account of a principal, the name of the licensed owner for whom the claim is being made and the name of the authorized agent shall appear on the claim slip or card.

- (4) Authorized Agents are responsible for disclosure of the true and entire ownership of each horse for which they have authority. Any change in ownership shall be reported immediately to, and approved by, the stewards and recorded by the racing secretary.

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

ARCI-008-030 Jockeys

A. Eligibility

- (1) No person under 18 years of age shall be licensed by the Commission as a jockey, except persons who have been licensed by this Commission prior to the date of adoption of this rule.
- (2) A jockey shall pass a physical examination given within the previous twelve months by a licensed physician affirming fitness to participate as a jockey, as well as a baseline concussion test using the most current SCAT testing protocol. The results of the physical examination and the baseline test shall be provided by the jockey to the Regulatory Authority. The stewards may require that any jockey be reexamined and may refuse to allow any jockey to ride pending completion of such examination.
- (3) An applicant shall show competence by prior licensing and the demonstration of riding ability, which may include participation in up to five races with the prior approval of the stewards with the consideration of the recommendations from the starter, the head outrider, and the designated representatives of the jockeys and the horsemen at the track. The demonstration of riding ability is defined at a minimum of:
 - (a) Breaking with a horse in company from the starting gate;
 - (b) Working a horse in company around the turn and down the stretch;
 - (c) Switching the riding crop from one hand to the other while maintaining control of the horse in a stretch drive;
 - (d) Causing a horse to switch leads coming out of the turn.
- (4) A jockey shall not be an owner or trainer of any horse competing at the race meeting where the jockey is riding.
- (5) A person whose weight exceeds 130 pounds at the time of application shall not be licensed as a jockey.

Version 8.5, ARCI Board of Directors, 12/3/2018 amended ARCI-008-030 A(2) to include baseline concussion testing requirements.

B. Apprentice Jockeys

- (1) An applicant may be prohibited from riding until the stewards or the Commission has sufficient opportunity (not to exceed 14 days) to verify the applicant's previous riding experience.
- (2) The conditions of an apprentice jockey license do not apply to quarter horse racing. A jockey's performances in quarter horse racing do not apply to the conditions of an apprentice jockey license.
- (3) An applicant with an approved apprentice certificate may be licensed as an apprentice jockey.

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- (4) An apprentice certificate may be obtained from the stewards on a form provided by the Commission. A person shall not receive more than one apprentice certificate. In case of emergencies, a copy of the original may be obtained from the Commission where it was issued.
- (5) An apprentice jockey may ride with a five pound weight allowance beginning with his/her first mount and for one full year from the date of his/her fifth winning mount. If after riding one year from the date of his/her fifth winning mount, the apprentice jockey has failed to ride a total of forty winners from the date of his/her first winning mount, he/she may continue to ride with a five pound weight allowance for one more year from the date of his/her fifth winning mount or until he/she has ridden forty winners, whichever comes first. Apprentice allowance may be waived with the stewards' permission at the time of entry by the trainer or the trainer's designee. If an apprentice jockey is unable to ride for a period of fourteen consecutive days or more after the date of his/her fifth winning mount because of service in national armed forces, enrollment in an institution of secondary or higher education, or because of physical disablement, the Commission may extend the time during which such apprentice weight allowance may be claimed for a period not to exceed the period such apprentice jockey was unable to ride (see APPRENTICE JOCKEY EXTENSION FORM). The Commission will take jurisdiction only on certificates which it has issued. All other requests for extensions shall be directed to the Commission that approved the apprentice certificate.
- (6) The conditions set forth in Section A or this rule shall also apply.

**APPRENTICE JOCKEY
EXTENSION FORM**

Date: _____

To: _____
(Name of Racing Commission)

Gentlemen and/or Ladies:

I hereby request an extension of my apprentice allowance for the following reason(s):

_____ physical disability or illness.

_____ military service.

_____ Attendance in an institution of secondary or higher learning. _____

_____ other reasons which would be acceptable to the Commission. (explain below) _____

My apprentice allowance expires on _____
(date)

My apprentice contract expires on _____
(date)

Incident occurred at _____ on _____
(Track & location) (date)

Name(s) of steward(s) at track: _____

I was examined at the time by _____ on _____

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(Name of physician) (date)

(Address of examining physician)

I was examined and declared fit to ride by _____ on _____
(Name of physician) (date)

(Address of examining physician)

(Attached is a letter from my physician verifying above facts.)

Total number of calendar days I was unable to ride requested as an extension in this application _____

Name of contract holder at time of incident _____

Present contract holder, if other than above _____

Signed: _____
(apprentice signature)

Note to applicant: No request will be considered by the Commission without a confirming report from your doctor. Be sure to secure letters from attending physicians stating nature & extent of injury, date, etc. and names of stewards presiding at meeting where you were injured.

C. Foreign Jockeys

Upon making an application for a license in this jurisdiction, a jockey from a foreign country shall declare that he/she is a holder of a valid license in his/her country and currently not under suspension. To facilitate this process, the jockey shall present a declaration sheet in a language recognized in this jurisdiction to the Commission.

D. Jockey Responsibility

- (1) A jockey shall give a best effort during a race, and each horse shall be ridden to win. A jockey shall not ease up on or coast to the finish, without reasonable cause, even if the horse has no apparent chance to win prize money.
- (2) A jockey shall not have a valet attendant except one provided and compensated by the association.
- (3) No person other than the licensed contract employer or a licensed jockey agent, may make riding engagements for a rider, except that a jockey not represented by a jockey agent may make his own riding engagements.
- (4) A jockey shall have no more than one jockey agent.
- (5) No revocation of a jockey agent's authority is effective until the jockey notifies the stewards in writing of the revocation of the jockey agent's authority.

E. Jockey Betting

A jockey shall only be allowed to wager on a race in which he/she is riding. A jockey shall only be allowed to wager if:

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- (1) the owner or trainer of the horse which the jockey is riding makes the wager for the jockey;
- (2) the jockey only wagers on his/her own mount to win or finish first in combination with other horses in multiple type wagers; and
- (3) records of such wagers are kept and available for presentation upon request by the stewards.

F. Jockey's Spouse

A jockey shall not compete in any race against a horse which is trained by the jockey's spouse.

G. Jockey Mount Fees

The organizations representing the majority of horse owners and jockeys should reach and present an agreement to the commission 30 days prior to the start of a race meet. In the absence of a contract or special agreement, and taking into consideration local conditions and total purses paid at their racing facility, the commission shall use the following as a guideline for establishing jockey mount fees.

| PURSE | WINNING MOUNT | SECOND MOUNT | THIRD MOUNT | FOURTH MOUNT | OTHER MOUNTS |
|----------------------|----------------------|---------------------|--------------------|--------------------------|---------------------|
| 0 to \$2,499 | 10% of Win Purse | \$55 | \$50 | \$45 | \$40 |
| \$2,500 to \$4,999 | 10% of Win Purse | \$60 - \$75 | \$55 - \$70 | \$50 - \$65 | \$45 - \$60 |
| \$5,000 to \$9,999 | 10% of Win Purse | \$65 - \$85 | \$60 - \$80 | \$55 - \$75 | \$50 - \$65 |
| \$10,000 to \$24,999 | 10% of Win Purse | 5% of Place Purse | \$90 - \$100 | \$70 - \$90 | \$65 - \$80 |
| \$25,000 to \$49,999 | 10% of Win Purse | 5% of Place Purse | 5% of Show Purse | \$80 - \$100 | \$75 - \$95 |
| \$50,000 to \$99,999 | 10% of Win Purse | 5% of Place Purse | 5% of Show Purse | 5% of Fourth Place Purse | \$80 - \$100 |
| \$100,000 and up | 10% of Win Purse | 5% of Place Purse | 5% of Show Purse | 5% of Fourth Place Purse | \$105 - \$115 |

Using a base year of 2010 commissions should adjust this table based on an average of the following indexes: US Social Security Administration's Cost of Living Adjustment (COLA), US Department

of Labor's CPA inflation calculator ([HTTP://BLS.GOV](http://BLS.GOV)), and Consumer Price Index (CPI), local percent change in pari-mutuel handle. As a guideline, taking into account local circumstances, tracks paying purses in excess of \$250,000 per day should move to the higher range in each category and tracks paying below \$125,000 per day in purses should be considered at the lower of the range.

H. Jockey Fee Earned

A jockey's fee shall be considered earned when the jockey is weighed out by the clerk of scales. In the event an owner or trainer elects to remove a jockey from his or her mount after naming a rider at the time of the draw, the stewards may require a double jockey fee to be paid. The fee to be paid is equal to that earned by the jockey who rode the horse. The fee shall not be considered earned when a jockey(s), of their own free will, take themselves off their mounts, where injury to the horse or rider is not involved. Any conditions or considerations not covered by the above rule shall be at the discretion of the stewards. All jockey protests must be filed prior to the race.

I. Jockey Suspensions and Designated Races

- (1) For the purposes of this subchapter, "designated race" shall mean any stakes race or associated trial in any state as designated by the stewards.
- (2) A jockey suspended for ten (10) days or less for a riding violation unless otherwise specified in the ruling may continue to exercise horses during training hours and may fulfill riding engagements in designated races, as designated by the Stewards at the beginning of the race meeting.
- (3) Prior to the commencement of a meeting, a listing of designated races by the Stewards shall be submitted to the Commission. A copy of such races shall be posted in the Jockeys' Room, and any other such place deemed appropriate by the Stewards. The stewards may elevate a race to designated race status after the commencement of the meet and shall submit it to the Commission and update the listing as above.
- (4) The official rulings where designated races are permitted shall be stated in the initial ruling.
- (5) A jockey who is serving a suspension of ten (10) race days or less may ride in designated races during the suspension under the following conditions:
 - a. the race has been specified as a designated race by the Stewards officiating at the meeting; and
 - b. the jockey is named no later than the time set for the close of entries for the designated race.
- (6) When a jockey rides in a designated race(s) the board of stewards, which originally imposed the suspension will designate the day to serve the additional suspension.

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

Version 4.3 to 4.4 ARCI Board 12/10/08: Amended jockey eligibility language

Version 4.7 to 4.8 ARCI Board 10/22/10 Added H. Jockey Fee Earned language

Version 5.1 to 5.2 ARCI Board 7/25/12 Made apprentice allowance permissive rather than mandatory

Version 6.1 to 6.2 ARCI Meeting of the Members 3/24/2016 Amended ARCI-004 Added "Jockey Suspensions and Designated Races" subchapter

ARCI-008-035 Jockey Agents

A. Eligibility

An applicant for a license as a jockey agent shall:

- (1) provide written proof of agency with at least one jockey licensed by the Commission;
- (2) demonstrate to the stewards that he/she has a contract for agency with at least one jockey who has been licensed by the Commission; and
- (3) be qualified, as determined by the stewards or other Commission designee, by reason of experience, background and knowledge. A jockey agent's license from another jurisdiction may be accepted as evidence of experience and qualifications. Evidence of qualifications may require passing one or both of the following:
 - (a) a written examination or
 - (b) an interview or oral examination.
- (4) Applicants not previously licensed as a jockey agent shall be required to pass a written and oral examination.

B. Limit on Contracts

A jockey agent may serve as agent for no more than two jockeys and one apprentice jockey.

C. Responsibilities

- (1) A jockey agent shall not make or assist in making engagements for a jockey other than those the agent is licensed to represent.
- (2) A jockey agent shall file written proof of all agencies and changes of agencies with the stewards.
- (3) A jockey agent shall notify the stewards, in writing, prior to withdrawing from representation of a jockey and shall submit to the stewards a list of any unfulfilled engagements made for the jockey.
- (4) All persons permitted to make riding engagements shall maintain current and accurate records of all engagements made, such records being subject to examination by the stewards at any time.

D. Prohibited Areas

A jockey agent is prohibited from entering the jockey room, winner's circle, racing strip, paddock or saddling enclosure during the hours of racing, unless permitted by the stewards.

E. Agent Withdrawal

- (1) When any jockey agent withdraws from representation of a jockey, the jockey agent shall immediately notify the stewards and shall submit to the stewards a list of any unfulfilled engagements made for the jockey.
- (2) A jockey agent shall not be permitted to withdraw from the representation of any jockey unless written notice to the stewards has been provided.

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

ARCI-008-040 Horseshoers

Eligibility

An applicant for a license as horseshoer shall:

- (1) be at least 18 years of age;
- (2) be qualified, as determined by the stewards and horseshoer consultant, by reason of experience, background and knowledge of horseshoing. A horseshoer's license from another jurisdiction, having been issued within a prior period as determined by the Commission, may be accepted as evidence of experience and qualifications.
- (3) Evidence of qualifications may require passing one or more of the following:
 - (a) a written examination;
 - (b) an interview or oral examination; and
 - (c) a demonstration of practical skills in horseshoing.
- (4) Applicants not previously licensed as a horseshoer shall be required to pass a written/oral examination, demonstrate practical skills and submit at least two written statements as to the character and qualifications of the applicant.

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

ARCI-008-045 Practicing Veterinarians

A. Eligibility

An applicant for a license as practicing veterinarian shall be qualified and licensed to practice veterinary medicine in this jurisdiction and be otherwise qualified to be issued a license to participate in racing. An application for a practicing veterinarian license from the Commission must be accompanied by a copy of the applicant's current license to practice veterinary medicine.

B. Responsibility

- (1) All practicing veterinarians administering drugs, medications or other substances shall be responsible for ensuring that the drugs, medications or other substances and the veterinary treatment of horses are administered in accordance with rules in Chapter 11.
- (2) All practicing veterinarians shall promptly notify the official veterinarian of any reportable disease and any unusual incidence of a communicable illness in any horse in his/her charge.

C. Restrictions on Wagering

A practicing veterinarian shall not wager on the outcome of any race if the practicing veterinarian has treated a horse participating in that race within the past 30 days.

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

CLAIMING RACING - CHAPTER 9

ARCI-009-005 Purpose

To describe the procedures and requirements for the claiming of horses and the conduct of claiming races.

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

ARCI-009-010 General Provisions

- (1) A person entering a horse in a claiming race warrants that the title to said horse is free and clear of any existing claim or lien, either as security interest mortgage, bill of sale, or lien of any kind; unless before entering such horse, the written consent of the holder of the claim or lien has been filed with the stewards and the racing secretary and its entry approved by the stewards. A transfer of ownership arising from a recognized claiming race will terminate any existing prior lease for that horse.
- (2) Title to a claimed horse shall be vested in the successful claimant at the time the horse leaves the paddock. The successful claimant shall then become the owner of the horse whether it be alive or dead, sound or unsound or injured at any time after leaving the paddock, during the race or after. However, the successful claimant may request on the claim blank at the time he/she makes the claim that the horse be tested for the presence of equine infectious anemia via a Coggins test., or other test as approved by the official veterinarian. Should this test prove positive, it shall be cause for voiding the claim. The expense of the test and the maintenance of the horse during the period requested for the test, shall be the responsibility of the successful claimant, unless the test proves positive, wherein the owner(s) of the horse at the time of entry shall be responsible.
- (3) An in-foal filly or mare shall be eligible to be entered into a claiming race only if the following conditions are fulfilled:
 - (a) Full disclosure of such fact is on file with the racing secretary and such information is posted in his/her office;
 - (b) The stallion service certificate has been deposited with the racing secretary's office;
 - (c) All payments due for the service in question and for any live progeny resulting from that service are paid in full; and
 - (d) The release of the stallion service certificate to the successful claimant at the time of claim is guaranteed.
- (4) The stewards may set aside and order rescission of a claim for any horse from a claiming race run in this jurisdiction upon a showing that any party to the claim committed a prohibited action, as specified in ARCI-009-025 of this chapter, or that the owner of the horse at the time of entry in the claiming race failed to comply with any requirement of these rules. Should the stewards order a rescission of a claim, they may make a further order for the costs of maintenance and care of the horse as they may deem appropriate.
- (5) A claim shall be voided if a horse is a starter as determined by the regulatory authority, and the horse:
 - (a) Dies on the racetrack; or

- (b) Suffers an injury which requires the euthanasia of the horse as determined by the Official Veterinarian while the horse is on the racetrack.
- (6) A claim is voidable at the discretion of the new owner for a period of one hour after the race is made official, for any horse:
 - (a) That is vanned off the track at the direction of the Official Veterinarian; or
 - (b) That is observed by the Official Veterinarian to be lame or unsound while on the racetrack for that race.

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

Version 8.1 to 8.2, ARCI Board of Directors, 12/8/2017, adopted ARCI-009-010 (5) and (6)

ARCI-009-015 Claiming Of Horses

- (1) Any horse starting in a claiming race is subject to be claimed for its entered price by any:
 - (a) licensed owner;
 - (b) holder of a valid claim certificate; or
 - (c) licensed authorized agent acting on behalf of an eligible claimant.
- (2) Every horse claimed shall race for the account of the original owner, but title to the horse shall be transferred to the claimant at the time the horse leaves the paddock. The successful claimant shall become the owner of the horse, regardless of whether it is alive or dead, sound or unsound, or injured prior to, during or after the race.

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

ARCI-009-020 Claim Certificate

- (1) An applicant for a claim certificate shall submit to the Commission:
 - (a) an application for an owner's license and the required fee; and
 - (b) the name of a licensed trainer, or person eligible to be a licensed trainer, who will assume the care and responsibility for any horse claimed;
- (2) The stewards shall issue a claim certificate upon satisfactory evidence that the applicant is eligible for an owner's license.
- (3) The claim certificate shall expire 30 days after the date of issuance, or upon the claim of a horse, or upon issuance or denial of an owner's license, whichever comes first.
- (4) A claim certificate may be renewed by the stewards during the same year.

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

ARCI-009-025 Prohibitions

- (1) A person shall not claim a horse in which the person has a financial or beneficial interest as an owner or trainer.
- (2) A person shall not cause another person to claim a horse for the purpose of obtaining or retaining an undisclosed financial or beneficial interest in the horse.
- (3) A person shall not enter into an agreement for the purpose of preventing another person from obtaining a horse in a claiming race.

- (4) A person shall not claim a horse, or enter into any agreement to have a horse claimed, on behalf of an ineligible or undisclosed person.
- (5) A person shall not claim more than one horse in a race. No authorized agent shall submit more than one claim for the same horse in a race, even if the authorized agent represents several owners.

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

ARCI-009-030 Procedure for Claiming

- (1) To make a valid claim for a horse, an eligible person shall:
 - (a) have on deposit with the horsemen's bookkeeper an amount equal to the amount of the claim, plus all transfer fees and applicable taxes;
 - (b) complete a written claim on a form furnished by the association and approved by the Commission;
 - (c) identify the horse to be claimed by the spelling of its name on the certificate of registration or as spelled on the official program;
 - (d) place the completed claim form inside a sealed envelope furnished by the association and approved by the Commission;
 - (e) have the time of day that the claim is entered recorded on the envelope; and
 - (f) have the envelope deposited in the claim box no later than 10 minutes prior to post time of the race for which the claim is entered.
- (2) After a claim has been deposited in the claim box, it is irrevocable by the claimant and shall not be withdrawn from the claim box until the time designated by the stewards.
- (3) Officials and employees of the association shall not provide any information as to the filing of claims until after the race has been run, except as is necessary for processing of the claim.
- (4) If more than one claim is filed on a horse, the successful claim shall be determined by lot conducted by the Stewards or their representatives.
- (5) Notwithstanding any designation of sex or age appearing in the racing program or in any racing publication, the claimant of a horse shall be solely responsible for the determination of the sex or age of any horse claimed.

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

ARCI-009-035 Transfer Of Claimed Horses

- (1) Upon successful claim, the stewards shall issue, upon forms approved by the Commission, an authorization of transfer of the horse from the original owner to the claimant. Copies of the transfer authorization shall be forwarded to and maintained by the stewards and the racing secretary. Upon notification by the stewards, the horsemen's bookkeeper shall immediately debit the claimant's account for the claiming price, applicable taxes and transfer fees.
- (2) A person shall not refuse to deliver a properly claimed horse to the successful claimant.
- (3) Transfer of possession of a claimed horse shall take place immediately after the race has been run unless otherwise directed by the stewards. If the horse is required to be

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taken to the test barn for post-race testing, the original trainer or his/her representative shall maintain physical custody of the claimed horse and shall observe the testing procedure and sign the test sample tag. The successful claimant or his/her representative shall also accompany the horse to the test barn.

- (4) When a horse is claimed out of a claiming race, the horse's engagements are transferred, with the horse, to the claimant.
- (5) Ownership interest in any horse claimed from a race shall not be resold or transferred back to the original owner for 30 days after such horse was claimed, except by claim from a subsequent race.
- (6) A claimed horse shall not remain in the same stable or under the control or management of its former owner.
- (7) If the claimed horse has been approved by the stewards to run without the registration certificate on file in the racing office, then the registration certificate must be provided to the stewards for transfer to the new owner before claiming funds will be approved for transfer by the stewards.

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 Claimed horse running without filed papers

FLAT RACING RULES OF THE RACE - CHAPTER 10

ARCI-010-005 Purpose

To describe the requirements and procedures for the rules of the race.

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

ARCI-010-010 Entries And Nominations

A. Entering

No horse shall be qualified to start unless it has been and continues to be entered.

B. Procedure

- (1) Entries and nominations shall be made with the racing secretary and shall not be considered until received by the racing secretary, who shall maintain a record of time of receipt of them for a period of one year.
- (2) An entry shall be in the name of the horse's licensed owner and made by the owner, trainer or a licensed designee of the owner or trainer.
- (3) Races printed in the condition book shall have preference over substitute and extra races.
- (4) An entry must be in writing, by telephone or facsimile machine to the racing secretary. The entry must be confirmed in writing should the stewards or the racing secretary so request.
- (5) The person making an entry shall clearly designate the horse so entered.
- (6) No alteration may be made in any entry after the closing of entries, but an error may be corrected with permission of the stewards.
- (7) No horse may be entered in more than one race (with the exception of stakes races) to be run on the same day on which pari-mutuel wagering is conducted.
- (8) Any permitted medication or approved change of equipment must be declared at time of entry.

C. Limitation as to Spouses

No entry in any race shall be accepted for a horse owned wholly or in part by, or trained by, a person whose husband or wife is under license suspension at time of such entry; except that, if the license of a jockey has been suspended for a routine riding offense, the stewards may waive this rule.

D. Coupled Entries

- (1) With the approval of the Stewards, when two or more horses with common ownership are entered in a race, the Racing Secretary may uncouple the horses as a mutual entry and single betting interest if they are owned or leased in whole or in part by the same owner or are trained by a trainer who owns or leases any interest in any of the other horses in the race.
- (2) No more than two horses having common ties through ownership or training may be entered in an overnight race. Under no circumstances may both horses of a coupled

entry start to the exclusion of a single entry. When making a coupled entry, a preference for one of the horses must be made.

Version 8.5, ARCI Board of Directors 12/3/2018 amended ARCI-010-010 D(1)

E. Nominations

- (1) Any nominator to a stakes race may transfer or declare such nomination prior to closing.
- (2) Joint nominations and entries may be made by any one of joint owners of a horse, and each such owner shall be jointly and severally liable for all payments due.
- (3) Death of a horse, or a mistake in its entry when such horse is eligible, does not release the nominator or transferee from liability for all stakes fees due. No fees paid in connection with a nomination to a stakes race that is run shall be refunded, except as otherwise stated in the conditions of a stakes race.
- (4) Death of a nominator to a stakes race shall not render void any subscription, entry or right of entry. All rights, privileges and obligations shall be attached to the legal heirs of the decedent or the successor owner of the horse.
- (5) When a horse is sold privately or at public auction or claimed, stakes engagements shall be transferred automatically to its new owner; except when the horse is transferred to a person whose license is suspended or who is otherwise unqualified to race or enter the horse, then such nomination shall be void as of the date of such transfer.
- (6) All stakes fees paid toward a stakes race shall be allocated to the winner unless otherwise provided by the conditions for the race. If a stakes race is not run for any reason, all such nomination fees paid shall be refunded.

F. Closings

- (1) Entries for purse races and nominations to stakes races shall close at the time designated by the association in previously published conditions for such races. No entry, nomination or declaration shall be accepted after such closing time; except in the event of an emergency or if a overnight race fails to fill, the racing secretary may, with the approval of a steward, extend such closing time.
- (2) Except as otherwise provided in the conditions for a stakes race, the deadline for accepting nominations and declarations is midnight of the day of closing, provided they are received in time for compliance with every other condition of the race.

G. Number of Starters in a Race

The maximum number of starters in any race shall be limited to the number of starting positions afforded by the association starting gate and its extensions. The number of starters may be further limited by the number of horses which, in the opinion of the board of stewards, after consultation with the horsemen's group and the jockeys' association, can be afforded a safe, fair and equal start.

H. Split or Divided Races

- (1) In the event a race is cancelled or declared off, the association may split any overnight race for which post positions have not been drawn.
- (2) Where a overnight race is split, forming two or more separate races, the racing secretary shall give notice of not less than 15 minutes before such races are closed to grant time for making additional entries to such split races.

I. Post Positions

Post positions for all races shall be determined by lot and shall be publicly drawn in the presence of a steward or steward designee.

J. Also-Eligible List

- (1) If the number of entries for a race exceeds the number of horses permitted to start, the racing secretary may create and post an also-eligible list.
- (2) If any horse is scratched from a race for which an also-eligible list was created, a replacement horse shall be drawn from the also-eligible list into the race in order of preference. If none is preferred, a horse shall be drawn into the race from the alsoeligible list by public lot.
- (3) Any owner or trainer of a horse on the also-eligible list who does not wish to start the horse in such race shall so notify the racing secretary prior to scratch time for the race, thereby forfeiting any preference to which the horse may have been entitled.
- (4) A horse which draws into a straightaway race from the also-eligible list shall start from the post position vacated by the scratched horse. In the event more than one horse is scratched, post positions of horses drawing in from the also-eligible list shall be determined by public lot.
- (5) A horse which draws into a non-straightaway race from the also-eligible list shall start from the outermost post position. In the event more than one horse is scratched, post positions of horses drawing in from the also-eligible list shall be determined by public lot.

K. Preferred List

The racing secretary shall maintain a list of entered horses eliminated from starting by a surplus of entries, and these horses shall constitute a preferred list and have preference. The manner in which the preferred list shall be maintained and all rules governing such list shall be the responsibility of the racing secretary. Such rules must be submitted to the Commission 30 days prior to the commencement of the race meeting and are subject to the approval of the Commission.

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

ARCI-010-015 Declarations and Scratches

Declarations and scratches are irrevocable.

A. Declarations

- (1) A *declaration* is the act of withdrawing an entered horse from a race prior to the closing of entries.

- (2) The declaration of a horse before closing shall be made by the owner, trainer or their licensed designee in the form and manner prescribed in these rules.

B. Scratches

- (1) A *scratch* is the act of withdrawing an entered horse from a contest after the closing of entries.
- (2) The scratch of a horse after closing shall be made by the owner, trainer or their licensed designee, with permission from the stewards.
- (3) A horse may be scratched from a stakes race for any reason at any time up until 45 minutes prior to post time for that race.
- (4) No horse may be scratched from an overnight race without approval of the stewards.
- (5) In overnight races, horses that are physically disabled or sick shall be permitted to be scratched first. Should horses representing more than 10 betting interests in the daily double or exotic wagering races, of horses representing more than eight betting interests in any other overnight race, remain in after horses with physical excuses have been scratched, then owners or trainers may be permitted at scratch time to scratch horses without physical excuses down to such respective minimum numbers for such races. This privilege shall be determined by lot if an excessive number of owners or trainers wish to scratch their horses.
- (6) Any horse which has been scratched, or excused from starting by the stewards, because of a physical disability or sickness shall not be accepted until the expiration of seven days after such horse was scratched or excused and the horse has been released from the Veterinarian's List by the official veterinarian.

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

Version 6.2.1 to Version 6.3, ARCI 7/14/16, amended ARCI-010-010(G) Number of Starters in a Race

Version 7.0 to 8.0, ARCI Board 4/20/2017, amended ARCI-010-015(B)(6)

ARCI-010-020 Weights

A. Allowances

- (1) Weight allowance must be claimed at time of entry and shall not be waived after the posting of entries, except by consent of the stewards.
- (2) A horse shall start with only the allowance of weight to which it is entitled at time of starting, regardless of its allowance at time of entry.
- (3) Horses not entitled to the first weight allowance in a race shall not be entitled to any subsequent allowance specified in the conditions.
- (4) Claim of weight allowance to which a horse is not entitled shall not disqualify it unless protest is made in writing and lodged with the stewards at least one hour before post time for that race.
- (5) A horse shall not be given a weight allowance for failure to finish second or lower in any race.
- (6) No horse shall receive allowance of weight nor be relieved extra weight for having been beaten in one or more races, but this rule shall not prohibit maiden allowances or

allowances to horses that have not won a race within a specified period or a race of a specified value.

- (7) Except in handicap races which expressly provide otherwise, two-year-old fillies shall be allowed three pounds, and fillies and mares, three-years-old and upward, shall be allowed five pounds before September 1 and three pounds thereafter in races where competing against male horses.
- (8) All allowances are optional and may be waived at the time of entry by the trainer or the trainer's designee with the permission of the stewards.

B. Penalties

- (1) Weight penalties are obligatory.
- (2) Horses incurring weight penalties for a race shall not be entitled to any weight allowance for that race.
- (3) No horse shall incur a weight penalty or be barred from any race for having been placed second or lower in any race.
- (4) Penalties incurred and allowances due in steeplechase or hurdle races shall not apply to races on the flat, and vice versa.
- (5) The reports, records and statistics as published by Daily Racing Form, Equibase or other recognized publications shall be considered official in determining eligibility, allowances and penalties, but may be corrected.
- (6) For determining weight penalties and allowances for horses that have previously won or placed in Graded or Group races, penalties in the race conditions will only apply to Graded or Group races in Part 1 countries as recognized in the international Catalogue Standards (ICS) book.

C. Weight Conversions

For the purpose of determining weight assignments and/or allowances for imported horses, the following weight conversions shall be used:

- (1) 1 kilogram = 2 1/4 pounds
- (2) 1 Stone = 14 pounds

D. Scale of Weights

- (1) With the exception of apprentice allowances, handicap races, and the allowance provided in subsection (2) of this section, the 2019 scale of weights will be implemented.
- (2) Except in handicaps, fillies two (2) years old shall be allowed three (3) pounds, and fillies and mares three (3) years old and upward shall be allowed five (5) pounds before September 1, and three (3) pounds thereafter in races where competing against horses of the opposite sex.
- (3) Quarter Horses, Appaloosas and Paints minimum scale weights shall be 124 pounds for two-year-olds, 126 pounds for three-year-olds, and 128 pounds for four-year-olds and older.

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- (4) A notice shall be included in the daily program that all jockeys will carry approximately three (3) pounds more than the published weight to account for safety equipment (vest and helmet) that is not included in require weighing out procedures. Additionally, upon stewards' approval, jockeys may weigh in with up to an additional three (3) pounds for inclement weather gear.

E. Distance Conversions

For the purpose of determining eligibility, weight assignments and/or allowances for imported horses, the racing secretary shall convert metric distances to English measures by reference to the following scale:

COMPARATIVE TABLE OF DISTANCES

| | |
|--------------|----------------|
| 200 Meters | = 1 Furlong |
| 1,000 Meters | = 5 Furlongs |
| 1,200 Meters | = 6 Furlongs |
| 1,400 Meters | = 7 Furlongs |
| 1,600 Meters | = 1 Mile |
| 1,700 Meters | = 1-1/16 Miles |
| 1,800 Meters | = 1-1/8 Miles |
| 2,000 Meters | = 1-1/4 Miles |
| 2,200 Meters | = 1-3/8 Miles |
| 2,400 Meters | = 1-1/2 Miles |
| 2,600 Meters | = 1-5/8 Miles |
| 3,000 Meters | = 1-7/8 Miles |
| 3,200 Meters | = 2 Miles |
| 3,600 Meters | = 2-1/4 Miles |
| 4,800 Meters | = 3 Miles |

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 – weights assignment for graded stakes

Version 4.6 to 4.7 ARCI Board 12/6/09: Amended language in Scale of Weights

Version 4.9 to 5.0 ARCI Board 12/9/11: Amended language in Scale of Weights

Version 5.1 to 5.2 ARCI Board 7/25/12: Amended language to make all allowances optional

Version 8.2 to 8.3 ARCI Board 4/5/18: Amended 010-020 D(3); added 4 lbs. to each age group for Quarter Horses

Version 9.1 to 9.2 ARCI Board 12/13/19 Amended language assigning weights of less than 118 and 116 pounds. Amended language on additional three pounds for inclement weather.

ARCI-010-025 Workouts

A. Requirements

A horse shall not start unless it has participated in an official race or has an approved timed workout satisfactory to the stewards. The workout must have occurred at a parimutuel or Commission recognized facility within the previous 30 days. A horse which has not started for a period of 60 days or more shall be ineligible to race until it has completed a timed workout approved by the stewards prior to the day of the race in which the horse is entered. The association may impose more stringent workout requirements.

B. Identification

- (1) Unless otherwise prescribed by the stewards or the Commission, the official lip tattoo must have been affixed to a horse's upper lip; or a unique, microchip (ISO 11784) implanting or freeze brand applied; or other identification method approved by the appropriate breed registry and the Commission applied prior to its participation in workouts from the gate, schooling races or workouts required for removal from the Stewards' List, the Starter's List, the Veterinarian's List or the Bleeder List.
- (2) The trainer or exercise rider shall bring each horse scheduled for an official workout to be identified by the clocker or clocker's assistant immediately prior to the workout.
- (3) A horse shall be properly identified by its lip tattoo, unique microchip (ISO 11784), freeze brand or other identification method approved by the appropriate breed registry and the Commission immediately prior to participating in an official timed workout.
- (4) The trainer or trainer's designee shall be required to identify the distance the horse is to be worked and the point on the track where the workout will start.

C. Information Dissemination

Information regarding a horse's approved timed workout(s) shall be furnished to the public prior to the start of the race for which the horse has been entered.

D. Restrictions

A horse shall not be taken onto the track for training or a workout except during hours designated by the association.

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

Version 4.4 to 4.5 Amended language added micro chip and freeze brand

ARCI-010-030 Horses Ineligible

A horse is ineligible to start in a race when:

- (1) it is not stabled on the grounds of the association or present by the time established by the Commission;
- (2) (i) its breed registration certificate is not on file with the racing secretary or horse identifier (unless the racing secretary has submitted the certificate to the appropriate breed registry for correction), or (ii) in the case of Thoroughbred horses foaled in 2018 or thereafter, the horse does not have a Digital Tattoo; the stewards may waive these requirements if the information contained on the registration certificate is otherwise available and the horse is otherwise correctly identified to the stewards' satisfaction
- (3) it is not fully identified and is tattooed on the inside of the upper lip, is microchipped with a unique microchip (ISO 11784), freeze brand or identified by any other method approved by the appropriate breed registry and the Commission;
- (4) it has been fraudulently entered or raced in any jurisdiction under a different name, with an altered registration certificate or altered lip tattoo, microchip ISO 11784, freeze brand or other identification method approved by the appropriate breed registry and the Commission;

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- (5) it is wholly or partially owned by or is under the direct or indirect training or management of a person who for any reason is ineligible to be licensed to participate in this jurisdiction;
- (6) it is wholly or partially owned by or is under the direct or indirect management of the spouse of a person who for any reason is ineligible to be licensed or participate in this jurisdiction; in such cases, it being presumed that the person who for any reason is ineligible to be licensed or participate in this jurisdiction and spouse constitute a single financial entity with respect to the horse, which presumption may be rebutted;
- (7) the stakes or entrance money for the horse has not been paid, in accordance with the conditions of the race;
- (8) the losing jockey mount fee is not on deposit with the horsemen's bookkeeper;
- (9) its name appears on the Starter's List, Stewards' List or Veterinarian's List except when an unforeseen administrative issue occurs in removing the horse from the list of another racing jurisdiction. The horse is eligible to be entered only if an off date is indicated on the list which is prior to the race date and the horse does not exclude another horse from drawing into the race.
- (10) it is a horse engaged in flat or jump racing that has received an intra articular injection within the preceding 14 days
- (11) it has not raced in 12 months since its previous start, until the horse has been subjected to the protocols within ARCI-011-030(B)(4)
- (12) it is a first-time starter four (4) years of age or older, until the horse has been subjected to the protocols within ARCI-011-030(B)(4)
- (13) it is a first-time starter and has not been approved to start by the starter;
- (14) it is owned in whole or in part by an undisclosed person or interest;
- (15) it lacks sufficient official published workouts or race past performance(s);
- (16) it has been entered in a stakes race and has subsequently been transferred with its engagements, unless the racing secretary has been notified of such prior to the start;
- (17) it is subject to a lien which has not been approved by the stewards and filed with the horsemen's bookkeeper;
- (18) it is subject to a lease not filed with the stewards;
- (19) it is not in sound racing condition;
- (20) it has had a surgical neurectomy performed on a heel nerve, which has not been approved by the official veterinarian;
- (21) it has been trachea tubed to artificially assist breathing;
- (22) it has been blocked with alcohol or otherwise drugged or surgically denerved to desensitize the nerves above the ankle;
- (23) it has impaired eyesight in both eyes;
- (24) it is barred or suspended in any recognized jurisdiction;
- (25) it does not meet the eligibility conditions of the race;

- (26) its owner or lessor is in arrears for any stakes fees, except with approval of the racing secretary;
- (27) its owner(s), lessor(s) and/or trainer have not completed the licensing procedures required by the Commission;
- (28) it is by an unknown sire or out of an unknown mare; or
- (29) there is no current negative test certificate for Equine Infectious Anemia attached to its breed registration certificate or proof of a negative test certificate is not otherwise available if the stewards have waived the requirement of a registration certificate, as required by statute.
- (30) If a thoroughbred, it has shoes (racing plates) which have toe grabs with a height greater than two millimeters (0.07874 inches), bends, jars, caulks, stickers or any other traction device on the front hooves while racing or training on all racing surface.

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 4.2 to 4.3 ARCI Board 8/2/08: Revised Toe Grab language

Version 4.4 to 4.5 ARCI 4/23/09 Amended language added microchip and freeze brand language and paper exception

Version 5.6 to 5.7 ARCI Board 4/9/2014 Amended ARCI-010-030 (5) and (6) to delete language pertaining to “disqualified person”

Version 7.0 to 8.0 ARCI Board 4/20/2017, Amended ARCI-010-030(9), added (10) and (11), renumbered accordingly

Version 8.3 to 8.4 ARCI Board 7/11/2018, Amended ARCI-010-030 (2) to include “digital tattoo” language.

Version 9.1 ARCI 8/09/19, Amended ARCI-010-030(9) to add language about “drawing in” rather than “entering”

Version 9.1 to 9.2 ARCI 12/13/19 Amended ARCI-010-030 to include a new (10) making a horse ineligible in flat or jump racing that has received an intra articular injection in the preceding 14 days

ARCI-010-035 Running of the Race

A. Equipment

- (1) All riding crops are subject to inspection and approval by the stewards and the clerk of scales.
 - (a) Riding crops shall have a shaft and a flap and will be allowed in flat racing including training, only as follows.
 - (A) Maximum weight of eight ounces;
 - (B) Maximum length, including flap of 30 inches
 - (C) Minimum diameter of the shaft of three-eighths inch; and
 - (D) Shaft contact area must be smooth, with no protrusions or raised surface, and covered by shock absorbing material that gives a compression factor of at least one-millimeter throughout its circumference.
 - (b) The flap is the only allowable attachment to the shaft and must meet these specifications:
 - (A) Length beyond the end of the shaft a maximum of one inch;
 - (B) Width a minimum of 0.8 inch and a maximum of 1.6 inches;
 - (C) No reinforcements or additions beyond the end of the shaft;

- (D) No binding within seven inches of the end of the shaft; and
 - (E) Shock absorbing characteristics similar to those the contact area of the shaft.
- (2) No bridle shall exceed two pounds.
 - (3) A horse's tongue may be tied down with clean bandages, gauze or tongue strap.
 - (4) No licensee may add blinkers or cheek pieces to a horse's equipment or discontinue their use without the prior approval of the starter, the paddock judge, and the stewards. Any request for such a change must be stated at entry. Blinkers and cheek pieces may not be utilized at the same time.
 - (5) No licensee may change any equipment used on a horse its last race in this jurisdiction without approval of the paddock judge.

B. Racing Numbers

- (1) Each horse shall carry a conspicuous saddle cloth number corresponding to the official number given that horse on the official program.
- (2) In the case of a coupled entry that includes more than one horse, each horse in the entry shall carry the same number, with a different distinguishing letter following the number. As an example, two horses in the same entry shall appear in the official program as 1 and 1A.
- (3) Each horse in the mutuel field shall carry a separate number or may carry the same number with a distinguishing letter following the number.

C. Jockey Requirements

- (1) Jockeys shall report to the jockeys' quarters at the time designated by the association. Jockeys shall report their engagements and any overweight to the clerk of scales. Jockeys shall not leave the jockeys' quarters, except to ride in scheduled races, until all of their riding engagements of the day have been fulfilled except as approved by the stewards.
- (2) A jockey who has not fulfilled all riding engagements, who desires to leave the jockeys' quarters, must first receive the permission of the stewards and must be accompanied by an association security guard.
- (3) While in the jockeys' quarters, jockeys shall have no contact or communication with any person outside the jockeys' quarters other than Commission personnel and officials, an owner or trainer for whom the jockey is riding or a representative of the regular news media, except with the permission of the stewards. Any communication permitted by the stewards may be conducted only in the presence of the clerk of scales or other person designated by the stewards.
- (4) Jockeys shall be weighed out for their respective mounts by the clerk of scales not more than 30 minutes before post time for each race.
- (5) Only valets employed by the association shall assist jockeys in weighing out.
- (6) A jockey must wear a safety vest when riding in any official race. The safety vest shall meet one of the standards for safety vests outlined in ARCI-008010(Z)(2).
- (7) Weighing Out

- (a) A jockey's weight shall include his/her clothing, boots, saddle and its attachments and any other equipment except the bridle, bit, blinkers, goggles, number cloth and safety equipment including helmet, vest, over-girth, reins and breast collar.
- (b) Upon Stewards approval, jockeys may be allowed up to three (3) pounds more than published weights to account for inclement weather clothing and equipment.
- (8) Seven pounds is the limit of overweight any horse is permitted to carry.
- (9) Once jockeys have fulfilled their riding engagements for the day and have left the jockeys' quarters, they shall not be re-admitted to the jockeys' quarters until after the entire racing program for that day has been completed, except with permission of the stewards.

D. Paddock to Post

- (1) Each horse shall carry the full weight assigned for that race from the paddock to the starting post, and shall parade past the stewards' stand, unless excused by the stewards. The post parade shall not exceed 12 minutes, unless otherwise ordered by the stewards. It shall be the duty of the stewards to ensure that the horses arrive at the starting gate as near to post time as possible.
- (2) After the horses enter the track, no jockey may dismount nor entrust his horse to the care of an attendant unless, because of accident occurring to the jockey, the horse or the equipment, and with the prior consent of the starter. During any delay during which a jockey is permitted to dismount, all other jockeys may dismount and their horses may be attended by others. After the horses enter the track, only the jockey, an assistant starter, the official veterinarian, the racing veterinarian or an outrider or pony rider may touch the horse before the start of the race.
- (3) If a jockey is injured on the way to the post, the horse shall be returned to the paddock or any other area designated by the stewards, re-saddled with the appropriate weight and remounted with a replacement jockey.
- (4) After passing the stewards' stand in parade, the horses may break formation and proceed to the post in any manner unless otherwise directed by the stewards. Once at the post, the horses shall be started without unnecessary delay.
- (5) Horses shall arrive at the starting post in post position order.
- (6) In case of accident to a jockey or his/her mount or equipment, the stewards or the starter may permit the jockey to dismount and the horse to be cared for during the delay, and may permit all jockeys to dismount and all horses to be attended to during the delay.
- (7) If a horse throws its jockey on the way from the paddock to the post, the horse must be returned to the point where the jockey was thrown, where it shall be remounted and then proceed over the route of the parade to the post. The horse must carry its assigned weight from paddock to post and from post to finish.
- (8) If a horse leaves the course while moving from paddock to post, the horse shall be returned to the course at the nearest practical point to that at which it left the course,

and shall complete its parade to the post from the point at which it left the course unless ordered scratched by the stewards.

- (9) No person shall willfully delay the arrival of a horse at the post.
- (10) The starter shall load horses into the starting gate in any order deemed necessary to ensure a safe and fair start. Only the jockey, the racing veterinarian, the starter or an assistant starter shall handle a horse at the post.

E. Post to Finish

(1) The Start

- (a) The starter is responsible for assuring that each participant receives a fair start.
- (b) If the stewards suspect a false start has occurred, they shall post the inquiry sign and may disqualify the horse(s), declare it a non-starter, or take no action.
- (c) If, when the starter dispatches the field, any door at the front of the starting gate stalls should not open properly due to a mechanical failure or malfunction or should any action by any starting personnel directly cause a horse to receive an unfair start, the stewards may declare such a horse a non-starter.
- (d) Should a horse, not scratched prior to the start, not be in the starting gate stall thereby causing it to be left when the field is dispatched by the starter, the horse shall be declared a non-starter by the stewards.
- (e) Should an accident or malfunction of the starting gate, or other unforeseeable event compromise the fairness of the race or the safety of race participants, the stewards may declare individual horses to be non-starters, exclude individual horses from all pari-mutuel pools or declare a "no contest" and refund all wagers except as otherwise provided in the rules involving multi-race wagers.

(2) Interference, Jostling or Striking

- (a) A jockey shall not ride carelessly or willfully so as to permit his/her mount to interfere with, impede or intimidate any other horse in the race.
- (b) No jockey shall carelessly or willfully jostle, strike or touch another jockey or another jockey's horse or equipment.
- (c) No jockey shall unnecessarily cause his/her horse to shorten its stride so as to give the appearance of having suffered a foul.

(3) Maintaining a Straight Course

- (a) When the way is clear in a race, a horse may be ridden to any part of the course, but if any horse swerves, or is ridden to either side, so as to interfere with, impede or intimidate any other horse, it is a foul.
- (b) The offending horse may be disqualified, if in the opinion of the stewards, the foul altered the finish of the race, regardless of whether the foul was accidental, willful or the result of careless riding.
- (c) If the stewards determine the foul was intentional, or due to careless riding, the jockey may be held responsible.

- (d) In a straightaway race, every horse must maintain position as nearly as possible in the lane in which it starts. If a horse is ridden, drifts or swerves out of its lane in such a manner that it interferes with, impedes or intimidates another horse, it is a foul and may result in the disqualification of the offending horse.
- (4) Disqualification
 - (a) When the stewards determine that a horse shall be disqualified for interference, they may place the offending horse behind such horses as in their judgment it interfered with, or they may place it last.
 - (b) If a horse is disqualified for a foul, any horse or horses in the same race owned or trained by the same interests, whether coupled or uncoupled may also be disqualified.
 - (c) When a horse is disqualified for interference in a time trial race, for the purposes of qualifying only, it shall receive the time of the horse it is placed behind plus one-hundredth of a second penalty or more exact measurement if photo finish equipment permits, and shall be eligible to qualify for the finals or consolations of the race on the basis of the assigned time.
 - (d) Possession of any electrical or mechanical stimulating or shocking device by a jockey, horse owner, trainer or other person authorized to handle or attend to a horse shall be prima facie evidence of a violation of these rules and is sufficient grounds for the stewards to scratch or disqualify the horse.
 - (e) The stewards may determine that a horse shall be unplaced for the purpose of purse distribution and time trial qualification.
- (5) Multiple Disqualifications. Should the stewards determine that there is more than one incident of interference in a race where disqualification is warranted, the stewards shall deal with the incidents in the order in which the incident occurs during the race from start to finish; except in the case where the same horses are involved in multiple incidents. Once a horse has been disqualified, it should remain placed behind the horse with which it interfered. The stewards shall make a conscious effort to place and maintain as placed, every and all horses placed behind others for interference.
- (6) Horses Shall be Ridden Out. All horses shall be ridden out in every race. A jockey shall not ease up or coast to the finish, without reasonable cause, even if the horse has no apparent chance to win prize money. A jockey shall give a best effort during a race, and each horse shall be ridden to win.
- (7) Use of Riding Crop
 - (a) Although the use of a riding crop is not required, any jockey who uses a riding crop during a race shall do so only in a manner consistent with exerting his/her best efforts to win.
 - (b) In all races where a jockey will ride without a riding crop, an announcement of such fact shall be made over the public-address system.
 - (c) No electrical or mechanical device or other expedient designed to increase or retard the speed of a horse, other than the riding crop approved by the stewards, shall be

possessed by anyone, or applied by anyone to the horse at any time on the grounds of the association during the meeting, whether in a race or otherwise.

- (d) Riding crops shall not be used on two-year-old horses before April 1 of each year.
- (e) The riding crop shall only be used for safety, correction and limited encouragement, and be appropriate, proportionate, professional, taking into account the rules of racing herein. However, stimulus provided by the use of the riding crop shall be monitored so as not to compromise the welfare of the horse.
- (f) Use of the riding crop varies with each particular horse and the circumstances of the race.
- (g) Except for extreme safety reasons all riders should comply with the following when using a riding crop:
 - (A) Initially showing the horse the riding crop, and/or tapping the horse with the riding crop down, giving it time to respond before using it;
 - (B) The riding crop shall not be used more than twice in succession and the horse must be given a chance to respond before using it again;
 - i. “Chance to respond” is defined as three complete strides and one of the following actions by a jockey:
 1. Pausing the use of the riding crop on their horse before resuming again; or
 2. Pushing on their horse with a rein in each hand, keeping the riding crop in the up or down position; or
 3. Showing the horse the riding crop without making contact; or
 4. Moving the riding crop from one hand to the other.
 - (C) Using the riding crop in rhythm with the horse’s stride.
- (h) When deciding whether or not to review the jockey’s use of the riding crop, Stewards will consider how the jockey has used the riding crop during the course of the entire race, with particular attention to its use in the closing stages, and relevant factors such as:
 - (A) The manner in which the riding crop was used
 - (B) The purpose for which the riding crop was used
 - (C) The distance over which the riding crop was used and whether the number of times it was used was reasonable and necessary (D) Whether the horse was continuing to respond.
- (i) In the event there is a review by the Stewards, use of the riding crop may be deemed appropriate in the following circumstances:
 - (A) To keep a horse in contention or to maintain a challenging position prior to what would be considered the closing stages of a race,
 - (B) To maintain a horse’s focus and concentration,
 - (C) To correct a horse that is noticeably hanging,

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- (D) To assure the horse maintains a straight course, or (E) Where there is only light contact with the horse.
- (j) Prohibited use of the riding crop includes but are not limited to striking a horse:
 - (A) On the head, flanks or on any other part of its body other than the shoulders or hind quarters except when necessary to control a horse;
 - (B) During the post parade or after the finish of the race except when necessary to control the horse;
 - (C) Excessively or brutally causing welts or breaks in the skin;
 - (D) When the horse is clearly out of the race or has obtained its maximum placing;
 - (E) Persistently even though the horse is showing no response under the riding crop; or
 - (F) Striking another rider or horse.
- (k) After the race, horses will be subject to inspection by a racing or official veterinarian looking for cuts, welts or bruises in the skin. Any adverse findings shall be reported to the Stewards.
- (l) The giving of instructions by any licensee that if obeyed would lead to a violation of this rule may result in disciplinary action also being taken against the licensee who gave such instructions.
- (7) Horse Leaving the Racecourse. If a horse leaves the racecourse during a race, it must turn back and resume the race from the point at which it originally left the course.
- (8) Order of Finish
 - (a) The official order of finish shall be decided by the stewards with the aid the photo finish system, and in the absence of the photo finish film record, the video replay. The photo finish and video replay are only aids in the stewards' decision. The decision of the stewards shall be final in all cases.
 - (b) The nose of the horse shall determine the placement of the horse in relationship to other horses in the race.
- (9) Returning After the Finish
 - (a) After a race has been run, the jockey shall ride promptly to the place designated by the stewards, dismount and report to the clerk of scales to be weighed in. Jockeys shall weigh in with all pieces of equipment with which they weighed out.
 - (b) If a jockey is prevented from riding to the designated unsaddling area because of an accident or illness to the jockey or the horse, the jockey may walk or be transported to the scales, or may be excused from weighing in by the stewards.
- (10) Unsaddling
 - (a) Only persons authorized by the stewards may assist the jockey with unsaddling the horse after the race.
 - (b) No one shall place a covering over a horse before it is unsaddled.
- (11) Weighing In

- (a) A jockey shall weigh in at no less than the same weight at which he/she weighed out, and if under that weight, and after consideration of mitigating circumstances by the board of stewards, his/her mount may be disqualified from any portion of the purse money.
- (b) In the event of such disqualification, all monies wagered on the horse shall be refunded unless the race has been declared official.
- (c) A jockey's weight shall include clothing, boots, saddle and its attachments and any other equipment except the bridle, bit, blinkers, number cloth and overgirth, reins and breast collar.
- (d) Upon approval of the stewards, the jockeys may be allowed up to three (3) pounds more than published weights to account for inclement weather clothing and equipment.
- (e) The post-race weight of jockeys includes any sweat, dirt and mud that have accumulated on the jockey, jockey's clothing, jockey's safety equipment and over-girth. This accounts for additional weight, depending on specific equipment, as well as weather, track and racing conditions.

(12) Dead Heats

- (a) When two horses run a dead heat for first place, all purses or prizes to which first and second horses would have been entitled shall be divided equally between them; and this applies in dividing all purses or prizes whatever the number of horses running a dead heat and whatever places for which the dead heat is run.
- (b) In a dead heat for first place, each horse involved shall be deemed a winner and liable to penalty for the amount it shall receive.
- (c) When a dead heat is run for second place and an objection is made to the winner of the race, and sustained, the horses which ran a dead heat shall be deemed to have run a dead heat for first place.
- (d) If the dividing owners cannot agree as to which of them is to have a cup or other prize which cannot be divided, the question shall be determined by lot by the stewards.

(13) Time Trials

In absence of specific conditions for a particular race that set forth criteria to address the situations that may arise from the running of time trials to determine the eligible horses to participate in finals, these rules shall apply:

- (a) Except in cases where the starting gate physically restricts the number of horses starting, each time trial shall consist of no more than 10 horses.
- (b) The time trials shall be raced under the same conditions as the finals. If the time trials are conducted on the same day, the horses with the 10 fastest times shall qualify to participate in the finals. If the time trials are conducted on two days, the horses with the five fastest times on the first day and the horses with the five fastest times on the second day shall qualify to participate in the finals. When time trials are conducted on two days, the racing secretary shall make his/her best

effort to split owners with more than one entry into separate days and/or time trials.

- (c) If the association's starting gate has less than 10 stalls, then the maximum number of qualifiers will correspond to the maximum number of starting gate post positions.
- (d) Except in races around the turn, if only 11 or 12 horses are entered to run in time trials from a gate with 12 or more stalls, the association may choose to run finals only. If 11 or 12 horses participate in the finals, only the first 10 finishers will receive purse money.
- (e) In the time trials, horses shall qualify on the basis of time and order of finish. The times of the horses in the time trial will be determined to the limit of the timer. The only exception is when two or more horses have the same time in the same trial heat. Then the order of finish shall also determine the preference in qualifying for the finals. Should two or more horses in different time trials have the same qualifying time to the limit of the timer for the final qualifying position(s), then a draw by public lot shall be conducted as directed by the stewards. Qualifying times in separate trials shall not be determined beyond the limit of the timer by comparing and/or enlarging photo-finish images.
- (f) Except in the case of a disqualification, under no circumstances shall a horse qualify ahead of a horse that finished ahead of that horse in the official order of finish in a time trial.
- (g) Should a horse be disqualified for interference during the running of a time trial, it shall receive the time of the horse it is immediately placed behind plus one hundredth of a second, or the maximum accuracy of the electronic timing device. No adjustments will be made in the times recorded in the time trials to account for head-wind, tail-wind, off-track, etc. If a horse is disqualified for interference with another horse causing loss of rider or the horse not to finish the race, the disqualified horse shall be given no time plus and that horse should not be eligible to run in the finals.
- (h) Should a malfunction occur with electronic timer on any time trial, finalists from that time trial will then be determined by official hand timing operated by three official and disinterested persons. The average of the three hand times will be utilized for the winning time, unless one of the hand times is clearly incorrect. In such cases, the average of the two accurate hand times will be utilized for the winning time: other horses shall be given times according to the order and margins of finish with the aid of the photo finish, if available.
- (i) When there is a malfunction of the timer during some time trials, but the timer operates correctly in other time trials, the accurate electronic times shall not be discarded, nor shall the average of hand times be used for all time trials.
- (j) If the accuracy of the electronic timer and/or the average of the hand times are questioned, the video of a time trial may be used by the stewards to estimate the winning time by counting the number of video frames in the race from the

moment the starting gate stall doors are fully open parallel to the racing track. When the timer malfunctions and there are no hand times, the stewards may select qualifiers based on the video.

- (k) Should there be a malfunction of the starting gate, and one or more stall doors not open or open after the exact moment when the starter dispatches the field, the stewards may declare the horses with malfunctioning stall doors nonstarters or may allow any horse whose stall door opened late, but still ran a time fast enough to qualify to be declared a starter for qualifying purposes. If a horse breaks through the stall door, or the stall door opens prior to the exact moment the starter purposely dispatches the field, the horse may be declared a nonstarter and the stewards may direct that all entry fees refunded. If one or more, but not all stall doors, open at the exact moment the starter purposely dispatches the field, these horses should be considered starters for qualifying purposes, and placed according to their electronic time. If the electronic timer malfunctions in this instance, the average of the hand times, or if not available, the video may be utilized for horses declared starters.
- (l) If a horse should be scratched from the time trials, the horse's owner shall not be eligible for a refund of the fees paid and shall not be allowed to enter the final. If a horse that qualified for the final should be unable to enter due to racing soundness, or scratched for any reason other than a positive drug test or a rule violation, the horse shall be deemed to have earned and the owner will receive, last place money. If more than one horse is scratched then those purse monies shall be added together and divided equally among those owners.
- (m) If a qualifier for a final or consolation is disqualified for ineligibility or a rule violation after the time trials are declared official, but prior to entry for the final or consolation, the non-qualifier with the next fastest time shall replace the disqualified horse. If a qualifier is disqualified after entry for a final or consolation for any reason other than racing unsoundness, illness or death, if necessary, the purse shall be redistributed among the remaining qualifiers.

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

Version 2.1 to 3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended new rule language

Version 4.1 to 4.2 ARCI 3/26/08; Amended language to include multiple disqualifications

Version 4.3 to 4.4 ARCI Board 12/10/08: Amended riding crop and jockey weight language

Version 4.6 to 4.7 ARCI Board 12/6/09: Amended language safety vest standard, weigh out and weigh in

Version 4.8 to 4.9 ARCI Board 3/ /11: Amended riding crop diameter

Version 4.8 to 4.9 ARCI Board 7/27/11 Amended to include False start alternative actions

Version 5.0 to 5.1 ARCI Board 4/27/2012 Added Cheek Pieces

Version 8.1 to 8.2 ARCI Board 12/8/2017 Amended language ARCI-010-035 E, 7 “Use of the Riding Crop” and “Chance to Respond.”

Version 8.2 to 9.5 ARCI Board 12/04/20 ARCI 010-035 Running of the Race E(7) “Use of the Riding Crop” to insert language determining the number of strikes

ARCI-010-040 Protests, Objections And Inquiries

A. Stewards to Inquire

- (1) The stewards shall take cognizance of foul riding and, upon their own motion or that of any racing official or person empowered by this chapter to object or complain, shall make diligent inquiry or investigation into such objection or complaint when properly received.
- (2) In determining the extent of disqualification, the stewards in their discretion may:
 - (a) declare null and void a track record set or equaled by a disqualified horse, or any horses coupled with it as an entry;
 - (b) affirm the placing judges' order of finish and hold the jockey responsible if, in the stewards' opinion, the foul riding did not affect the order of finish; or
 - (c) disqualify the offending horse and hold the jockey blameless if in the stewards' opinion the interference to another horse in a race was not the result of an intentional foul or careless riding on the part of a jockey.

B. Race Objections

- (1) An objection to an incident alleged to have occurred during the running of a race shall be received only when lodged with the clerk of scales, the stewards or their designees, by the owner, the authorized agent of the owner, the trainer or the jockey of a horse engaged in the same race.
- (2) An objection following the running of any race must be filed before the race is declared official, whether all or some riders are required to weigh in, or the use of a fast official procedure is permitted.
- (3) The stewards shall make all findings of fact as to all matters occurring during and incident to the running of a race; shall determine all objections and inquiries, and shall determine the extent of disqualification, if any, of horses in the race. Such findings of fact and determinations shall be final.

C. Prior Objections

- (1) Objections to the participation of a horse entered in any race shall be made to the stewards in writing, signed by the objector, and filed not later than one hour prior to post time for the first race on the day which the questioned horse is entered. Any such objection shall set forth the specific reason or grounds for the objection in such detail so as to establish probable cause for the objection. The stewards upon their own motion may consider an objection until such time as the horse becomes a starter.
- (2) An objection to a horse which is entered in a race may be made on, but not limited to, the following grounds or reasons:
 - (a) A misstatement, error or omission in the entry under which a horse is to run;
 - (b) the horse which is entered to run is not the horse it is represented to be at the time of entry, or the age was erroneously given;
 - (c) the horse is not qualified to enter under the conditions specified for the race, or the allowances are improperly claimed or not entitled the horse, or the weight to be carried is incorrect under the conditions of the race;

- (d) the horse is owned in whole or in part, or leased or trained by a person ineligible to participate in racing or otherwise ineligible to own a race horse as provided in these rules; or
 - (e) the horse was entered without regard to a lien filed previously with the racing secretary.
- (3) The stewards may scratch from the race any horse which is the subject of an objection if they have reasonable cause to believe that the objection is valid.

D. Protests

- (1) A protest against any horse which has started in a race shall be made to the stewards in writing, signed by the protestor, within 72 hours of the race exclusive of nonracing days. If the incident upon which the protest is based occurs within the last two days of the meeting, such protest may be filed with the Commission within 72 hours exclusive of Saturdays, Sundays or official holidays. Any such protest shall set forth the specific reason or reasons for the protest in such detail as to establish probable cause for the protest.
- (2) A protest may be made on any of the following grounds:
- (a) Any grounds for objection as set forth in this chapter;
 - (b) the order of finish as officially determined by the stewards was incorrect due to oversight or errors in the numbers of the horses which started the race;
 - (c) a jockey, trainer, owner or lessor was ineligible to participate in racing as provided in this chapter;
 - (d) the weight carried by a horse was improper, by reason of fraud or willful misconduct; or
 - (e) an unfair advantage was gained in violation of the rules.
- (3) Notwithstanding any other provision in this article, the time limitation on the filing of protests shall not apply in any case in which fraud or willful misconduct is alleged provided that the stewards are satisfied that the allegations are bona fide and verifiable.
- (4) No person shall file any objection or protest knowing the same to be inaccurate, false, untruthful or frivolous.
- (5) The stewards may order any purse, award or prize for any race withheld from distribution pending the determination of any protest. In the event any purse, award or prize has been distributed to an owner or for a horse which by reason of a protest or other reason is disqualified or determined to be not entitled to such purse, award or prize, the stewards or the Commission may order such purse, award or prize returned and redistributed to the rightful owner or horse. Any person who fails to comply with an order to return any purse, award or prize erroneously distributed shall be subject to fines and suspension.

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

EQUINE VETERINARY PRACTICES, HEALTH AND MEDICATION - CHAPTER 11

ARCI-011-005 Purpose

To describe requirements and procedures used to ensure the health and welfare of racehorses and to safeguard the interests of the public and the participants in racing.

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

ARCI-011-010 Veterinary Practices

A. Veterinarians under Authority of Official Veterinarian

Veterinarians licensed by the Commission and practicing at any location under the jurisdiction of the Commission are under the authority of the official veterinarian and the stewards. The official veterinarian shall recommend to the stewards or the Commission the discipline that may be imposed upon a veterinarian who violates the rules.

B. Appropriate Role of Veterinarians

The following limitations apply to drug treatments of horses that are engaged in activities, including training, related to competing in pari-mutuel racing in the jurisdiction:

(1) No drug may be administered except in the context of a valid veterinarian-client-patient relationship between an attending veterinarian, the horse owner (who may be represented by the trainer or other agent) and the horse. The owner is not required by this subdivision to follow the veterinarian's instructions, but no drug may be administered without a veterinarian having examined the horse and provided the treatment recommendation. Such relationship requires the following:

- (a) The veterinarian, with the consent of the owner, has accepted responsibility for making medical judgments about the health of the horse;
- (b) The veterinarian has sufficient knowledge of the horse to make a preliminary diagnosis of the medical condition of the horse;
- (c) The veterinarian has performed an examination of the horse and is acquainted with the keeping and care of the horse;
- (d) The veterinarian is available to evaluate and oversee treatment outcomes, or has made appropriate arrangements for continuing care and treatment;

- (e) The relationship is maintained by veterinary visits as needed, and;
 - (f) The veterinary judgments of the veterinarian are independent and are not dictated by the trainer or owner of the horse.
- (2) No prescription drug may be administered except as prescribed by an attending veterinarian.
- (3) The trainer and veterinarian are both responsible to ensure compliance with these limitations on drug treatments of horses, except the medical judgment to recommend a drug treatment or to prescribe a drug is the responsibility of the veterinarian and the decision to proceed with a drug treatment that has been so recommended is the responsibility of the horse owner (who may be represented by the trainer or other agent).

C. Treatment Restrictions

- (1) Only Licensed Trainers, Licensed Owners, or their designees shall be permitted to authorize veterinary medical treatment of horses under their care, custody, and control at locations under the jurisdiction of the relevant commission.
- (2) Except as otherwise provided by this subsection, no person other than a veterinarian licensed to practice veterinary medicine in this jurisdiction and licensed by the Commission may administer a prescription or controlled medication, drug, chemical or other substance (including any medication, drug, chemical or other substance by injection) to a horse at any location under the jurisdiction of the Commission.
- (3) This subsection does not apply to the administration of the following substances except in approved quantitative levels, if any, present in post-race samples or as they may interfere with post-race testing:
 - (a) A recognized non-injectable nutritional supplement or other substance approved by the official veterinarian;
 - (b) A non-injectable substance on the direction or by prescription of a licensed veterinarian; or
 - (c) A non-injectable non-prescription medication or substance.
- (4) No person shall possess a hypodermic needle, syringe capable of accepting a needle or injectable of any kind on association grounds, unless otherwise approved by the Commission. At any location under the jurisdiction of the Commission, veterinarians may use only one-time disposable syringe and needle, and shall dispose of both in a manner approved by the Commission. If a person has a medical condition which makes it necessary to have a syringe at any location under the jurisdiction of the Commission, that person may request permission of the stewards and/or the Commission in writing, furnish a letter from a licensed physician explaining why it is necessary for the person to possess a syringe, and

- must comply with any conditions and restrictions set by the stewards and/or the Commission.
- (5) Practicing Veterinarians shall not have contact with an entered horse within 24 hours before the scheduled post time of the race in which the horse is scheduled to compete except for the administration of furosemide under the guidelines set forth in ARCI-011-020 F.) unless approved by the official veterinarian. Any unauthorized contact may result in the horse being scratched from the race in which it was scheduled to compete and may result in further disciplinary action by the stewards.
 - (6) Any horse entered for racing must be present on the grounds 5 hours prior to the post time of the race they are entered in.
 - (7) Clenbuterol use is prohibited in racing and training unless the following conditions are met:
 - (a) The prescription for clenbuterol is made for a specific horse based upon a specific diagnosis. The prescription and volume dispensed cannot exceed a treatment period of 30 days.
 - (b) The horse's name, the specific diagnosis, dosage and duration of clenbuterol treatment must be reported by the prescribing veterinarian to the Official Veterinarian.
 - (c) This notification must be made on a form and by a deadline designated by the Commission.
 - (d) The veterinarian may be required to provide a copy of the prescription and diagnosis to the Equine Medical Director for review and approval. In such instances the horse may not receive clenbuterol before this approval is issued.
 - (e) Trainers must take daily notification to the official veterinarian of the horse(s) in their custody having been administered clenbuterol. Notification shall be made on a form and by a deadline designated by the Commission.
 - (f) A horse administered clenbuterol shall be placed on the official veterinarian's list. The horse must meet all conditions for removal from the list including a timed workout and blood and urine sampling. Both samples must have no detectable clenbuterol.
 - (g) A horse may not enter to race until it has completed all the requirements in subdivision (f).
 - (h) If clenbuterol is detected in a horse's post-race or out of competition testing sample and appropriate notification as outlined in subdivisions in 7(a) and (b) was not completed, the horse shall immediately be placed on the Official Veterinarian's List pending the outcome of the investigation. The horse shall be required to meet all the conditions for removal from the veterinarian's list outlined in subdivision (f) above.

D. Veterinarians' Reports

- (1) Every veterinarian who treats a racehorse at a facility under the jurisdiction of the Racing Authority shall submit a Veterinarian's Medication Report Form to the

official veterinarian or other Regulatory Authority designee in a manner specified by the Regulatory Authority and in an approved format which includes:

- a) The name of the horse treated;
 - b) Any medication, drug, substance, or procedure administered or prescribed;
 - c) The name of the trainer of the horse;
 - d) The date and time of treatment; and
 - e) Any other information requested by the official veterinarian.
- (2) The Veterinarian's Medication Report Form shall be signed by the practicing veterinarian, or, where reported electronically, shall be submitted by the practicing veterinarian.
- (3) The Veterinarian's Medication Report Form must be filed by the treating veterinarian not later than the time designated by the Regulatory Authority on the next race date following administration or prescription of any medication, drug, substance, or procedure.
- (4) Any such report is confidential to the extent allowed by state law. Access to a report is limited to the regulatory veterinarians and its contents shall not be disclosed except in the course of an investigation of a possible violation of these rules or in a proceeding before the Stewards or the Regulatory Authority, or to the trainer or owner of record at the time of treatment.
- (5) A timely and accurate filing of a Veterinarian's Medication Report Form that is consistent with the analytical results of a positive test may be used as a mitigating factor in determining the nature and extent, if any, of a rules violation.

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

Version 2.1 to 3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended new rule language

Version 3.2 to 3.3 ARCI 12/7/05: Added and modified rule language

Version 5.2 to 5.3 ARCI Board 12/7/12 Limits who can authorize veterinary care and time period in which practicing veterinarians have access to horses scheduled to race.

Version 6.1 to 6.2 ARCI Meeting of the Members 3/24/2016 Amended ARCI-011-010 (B) language pertaining to Medical Labeling.

Version 6.3 to 7.0 ARCI Board of Directors 12/09/2016 amended ARCI-011-010 to include section B "Appropriate Role of Veterinarians" and re-numbered accordingly

Version 8.1 to 8.2, ARCI Board of Directors 12/08/2017, amended ARCI-011-010 D

Version 9.5 ARCI Board of Directors meeting 12/04/20 to add subsection (7) to C on the prohibition of clenbuterol

ARCI-011-015 Prohibited Practices

- (1) No person may possess or use a drug, substance or medication on the premises of a facility under the jurisdiction of the Commission for which
 - (a) a recognized analytical method has not been developed to detect and confirm the administration of such substance; or
 - (b) the use of which may endanger the health and welfare of the horse or endanger the safety of the rider or driver; or

- (c) the use of which may adversely affect the integrity of racing; or, (d) no generally accepted use in equine care exists.
- (2) Prohibited Substances and Methods:
- (a) The substances and methods listed in the annexed Prohibited List may not be used at any place or time, and may not be possessed on the premises of a racing or training facility under the jurisdiction of the Commission, except as a restricted therapeutic use.
 - (b) *Restricted Therapeutic Use*. A limited number of medication on the Prohibited List shall be exempted when the administration occurs in compliance with the annexed Required Conditions for Restricted Therapeutic Use:
 - (i) *Report When Sampled* means the administration of the substance must be reported to the commission when the horse is next sampled, if the horse is sampled within 24 hours after the administration;
 - (ii) *Pre-File Treatment Plan* means that if the commission where the horse is located requires the filing of treatment plans, then a treatment plan for the substance must be filed by the time of administration in a manner approved by such commission;
 - (iii) *Written Approval from Commission* means the commission has granted written approval of a written treatment plan before the administration of the substance;
 - (iv) *Emergency Use (report)* means the substance had to be administered due to an acute emergency involving the life or health of the horse, provided the emergency use is reported to the commission as soon as practicable after the treatment occurs;
 - (v) *Prescribed by Veterinarian* means the substance has been prescribed by an attending veterinarian, in compliance with ARCI 011-010 Veterinary Practices, and recorded in the veterinary records in the manner required by the commission; (vi) *Report Treatment* means the treatment must be reported to the commission by the trainer at the time of administration to provide the commission with information for the Veterinarian's List. The trainer may delegate this responsibility to the treating veterinarian, who shall make the report when so designated; and
 - (vii) *Other Limitations* means additional requirements that apply, such as a substance may be used in only fillies or mares or a horse that is administered a substance shall be reported immediately to the commission and placed on the Veterinarian's List for a specific minimum period of time.The use of the substance must comply with other applicable rules of the Commission.
 - (c) No person shall at any time administer any other doping agent to a horse except pursuant to a valid therapeutic, evidence-based treatment plan.

- (i) *Other doping agent* means a substance that is not listed in the annexed Prohibited List, has a pharmacologic potential to alter materially the performance of a horse, has no generally accepted medical use in the horse when treated, and is:
 - (A) capable at any time of causing an action or effect, or both, within one or more of the blood, cardiovascular, digestive, endocrine, immune, musculoskeletal, nervous, reproductive, respiratory, or urinary mammalian body systems; including but not limited to endocrine secretions and their synthetic counterparts, masking agents, oxygen carriers, and agents that directly or indirectly affect or manipulate gene expression; but
 - (B) not a substance that is considered to have no effect on the physiology of a horse except to improve nutrition or treat or prevent infections or parasite infestations.
 - (ii) The commission may publish advisory warnings that certain substances or administrations may constitute a violation of this rule.
 - (iii) *Therapeutic, evidence-based treatment plan* means a planned course of treatment written and prescribed by an attending veterinarian before the horse is treated that:
 - (A) describes the medical need of the horse for the treatment, the evidence-based scientific or clinical justification for using the doping agent, and a determination that recognized therapeutic alternates do not exist; and
 - (B) complies with ARCI 011-010 Veterinary Practices, meets the standards of veterinary practice of the jurisdiction, and is developed in good faith to treat a medical need of the horse.
 - (iv) Such plans shall not authorize the possession of a doping agent on the premises of a racing or training facility under the jurisdiction of the commission.
- (3) The possession and/or use of the following substances or of blood doping agents, including but not limited to those listed below, on the premises of a facility under the jurisdiction of the Commission is forbidden:
- (a) Aminoimidazole carboxamide ribonucleotide (AICAR)
 - (b) Darbepoetin
 - (c) Equine Growth Hormone
 - (d) Erythropoietin
 - (e) Hemopure ®
 - (f) *Myo*-Inositol Trispyrophosphate (ITPP)
 - (g) Oxyglobin®
 - (h) Thymosin beta
 - (i) Venoms or derivatives thereof

- (j) Thymosin beta
- (4) The use of Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy shall not be permitted unless the following conditions are met:
 - (a) Any Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy machine, whether in operating condition or not, must be registered with and approved by the Commission or its designee before such machine is brought to or possessed on any racetrack or training center within the jurisdiction of the commission;
 - (b) The use of Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy within the jurisdiction:
 - 1. shall be limited to veterinarians licensed to practice by the commission;
 - 2. may only be performed with machines that are:
 - (i) registered and approved for use by the commission; and
 - (ii) used at a previously-disclosed location that is approved by the commission
 - 3. must be reported within 24-hours prior to treatment on the prescribed form to the official veterinarian.
 - (c) Any treated horse shall not be permitted to race or breeze for a minimum of 10 days following treatment;
 - (d) Any horse treated with Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy shall be added to a list of ineligible horses. This list shall be kept in the race office and accessible to the jockeys and/or their agents during normal business hours and be made available to other regulatory jurisdictions.
 - (e) A horse that receives any such treatment without full compliance with this section and similar rules in any other jurisdiction in which the horse was treated shall be placed on the Steward's List.
 - (f) Any person participating in the use of ESWT and/or the possession of ESWT machines in violation of this rule shall be considered to have committed a Prohibited Practice and is subject to a Class A Penalty.
- (5) The use of a nasogastric tube (a tube longer than six inches) for the administration of any substance within 24 hours prior to the post time of the race in which the horse is entered is prohibited without the prior permission of the official veterinarian or his/her designee.
- (6) It is a Prohibited Practice to administer bisphosphonates to any horse under four years of age. Horses four years of age or older may only be administered bisphosphonate under the following circumstances:
 - (a) Only bisphosphonates that are FDA approved for use in the horse may be administered according to label requirements and only for diagnosed cases of navicular disease.

- (1) If a horse is older than four years of age is administered bisphosphonates the Regulatory Authority must be notified within 24 hours of the administration and the horse shall be placed on the Veterinarian's list for no less than six months after the last administration. Prior to returning to racing, the horse must work for the Official Veterinarian as required by ARCI -01130)(8)(4)
- (b) If any bisphosphonate is detected in and out of competition or post race test sample and the Regulatory Authority has not received timely notification of an administration, the detection shall be treated as the finding of an illicit substance. The horse shall be placed on the Veterinarian's List for no less than six months from the date of sampling and be required to work for the official veterinarian as described in Model Rules section ARCI 011-030(b)(4).
- (c) Prohibited practices include but are not limited to:
- (1) Racing a pregnant mare beyond the time set by the appropriate authority.
 - (2) Withholding of water pre-race to the detriment of the health, welfare or safety of the horse.
 - (3) The use of extracorporeal shock wave therapy in a manner that may desensitize any limb structures during racing or training.
 - (4) The withdrawal of blood from a horse for any purpose other than for diagnostic/laboratory testing procedures or as permitted by 2(e) below.
 - (5) The withdrawal, manipulation and re-infusion of homologous, heterologous, or autologous, blood products or blood cells into the circulatory system with the exception of those procedures performed for life-saving purposes or in the use of veterinary regenerative therapies for the treatment of musculoskeletal injury or disease.
 - (6) The use of chemical castration or immunocastration.
- (7) The application of thermocautery to the skin over the musculoskeletal structures to cause a counter-irritant effect.
- Where such an application is made, the appropriate authority may, in its discretion:
- (a) suspend, make ineligible to race or otherwise make any order in relation to the subject horse; and/or
 - (b) take any disciplinary action against the trainer and/or any other relevant person.
- (8) The application of a substance to cause vesiculation of the skin and underlying tissues.
- Where such an application is made, the Racing Authority may, in its discretion:
- (a) suspend, make ineligible to race or otherwise make any order in relation to the subject horse; and or;

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(b) take any disciplinary action against the trainer and/or any other relevant person.

Annexed Materials For ARCI-011-015

- **Annex I: Prohibited List**
- **Annex II: Restricted Therapeutic Use requirements**

Annex I

PROHIBITED SUBSTANCES

All substances in the categories below shall be strictly prohibited unless otherwise provided in accordance with ARCI-011-015 or ARCI025-015. Any reference to substances in this section does not alter the requirements for testing concentrations in race day samples.

Nothing in this list shall alter the requirements of post-race testing.

S0. NON-APPROVED SUBSTANCES

Any pharmacologic substance that is not approved by any governmental regulatory health authority for human or veterinary use within the jurisdiction is prohibited. This prohibition includes drugs under pre-clinical or clinical development, discontinued drugs, and designer drugs (a synthetic analog of a drug that has been altered in a manner that may reduce its detection); but does not include vitamins, herbs and supplements for nutritional purposes that do not contain any other prohibited substance, or the administration of a substance with the prior approval of the commission in a clinical trial for which an FDA or similar exemption has been obtained.

S1. ANABOLIC AGENTS

Anabolic agents are prohibited.

1. Anabolic Androgenic Steroids (AAS)

1.1. Exogenous AAS, including:

1-androstenediol (5 α -androst-1-ene-3 β ,17 β -diol);
1androstenedione (5 α - androst-1-ene-3,17-dione);
bolandiol (estr-4-ene-3 β ,17 β -diol); bolasterone;
boldenone; boldione (androsta-1,4-diene-3,17dione);
calusterone; clostebol; danazol
([1,2]oxazolo[4',5':2,3]pregna-4-en-20-
yn17aol);dehydrochlormethyltestosterone (4-
chloro17 β hydroxy-17 α -methylandrosta- 1,4-dien-3-one);
desoxymethyltestosterone (17 α -methyl-5 α -androst-2-en- 17 β -
ol); drostanolone; ethylestrenol (19-norpregna-4en17 α -ol);
fluoxymesterone; formebolone; furazabol (17 α -
methyl[1,2,5]oxadiazolo[3',4':2,3]-5 α -androstan-17 β -ol);
gestrinone; 4- hydroxytestosterone
(4,17 β dihydroxyandrost-4-en-3-one); mestanolone;
mesterolone; metandienone (17 β -
hydroxy17 α methylandrosta-1,4-dien-3- one); metenolone;
methandriol; methasterone (17 β -hydroxy-2 α ,17 α - dimethyl-
5 α -androstan-3-one); methyldienolone (17 β hydroxy-17 α -
methylestra-4,9-dien-3-one); methyl1testosterone (17 β -
hydroxy-17 α -methyl-5 α -androst-1en3-one);
methylnortestosterone (17 β -hydroxy17 α methylestr-4-en-3-
one); methyltestosterone; metribolone (methyltrienolone,
17 β - hydroxy-17 α methylestra-4,9,11trien-3-one);
mibolone; nandrolone; 19norandrostenedione (estr-4-ene-
3,17-dione); norboletone; norclostebol; norethandrolone;
oxabolone; oxandrolone; oxymesterone; oxymetholone;
prostanazol (17 β [(tetrahydropyran-2-yl)oxy]-1'H-
pyrazolo[3,4:2,3]-
5 α - androstane); quinbolone; stanozolol; stenbolone;
1testosterone (17 β - hydroxy-5 α -androst-1-en-3-one);
tetrahydrogestrinone (17-hydroxy-18 α - homo-19-
nor17apregna-4,9,11-trien-3-one); trenbolone
(17 β hydroxyestr- 4,9,11-trien-3-one); and other substances
with a similar chemical structure or similar biological
effect(s).

1.2. Endogenous AAS or their synthetic esters when administered
exogenously:

androstenediol (androst-5-ene-3 β ,17 β -diol);
androstenedione (androst-4-ene-3,17-dione);

dihydrotestosterone (17 β -hydroxy-5 α -androstane-3-one);
prasterone (dehydroepiandrosterone, DHEA,
3 β hydroxyandrost-5-en-17-one); testosterone;
and their metabolites and isomers, including but not limited to:

5 α -androstane-3 α ,17 α -diol; 5 α -androstane-3 α ,17 β -diol;
5 α androstane-3 β ,17 α -diol; 5 α -androstane-3 β ,17 β -diol;
5 β androstane-3 α , 17 β -diol, androst-4-ene-3 α ,17 α -diol;
androst-4-ene-3 α ,17 β -diol; androst-4-ene-3 β ,17 α -diol;
androst-5-ene-3 α ,17 α -diol; androst-5-ene-3 α ,17 β -diol;
androst-5-ene-3 β ,17 α -diol; 4-androstenediol (androst-
4ene3 β ,17 β -diol); 5-androstenedione (androst-5- ene-
3,17dione); androsterone (3 β -hydroxy-5 α – androstan-17-
one); epidihydrotestosterone; epitestosterone; etiocholanolone;
7 α hydroxy-DHEA ; 7 β -hydroxy-DHEA; 7-keto-
DHEA; 19norandrosterone; 19-noretiocholanolone.

2. Other Anabolic Agents, including but not limited to:

Clenbuterol, selective androgen receptor modulators (SARMs e.g.,
andarine and ostarine), ractopamine, tibolone, zeranol,
zilpaterol.

**S2. PEPTIDE HORMONES, GROWTH FACTORS AND RELATED
SUBSTANCES**

The following substances, and other substances with similar chemical
structure or similar biological effect(s), are prohibited:

1. Erythropoietin-Receptor agonists:

1.1 Erythropoiesis-Stimulating Agents (ESAs) including, e.g.,
darbepoetin (dEPO); erythropoietins (EPO); EPO-Fc;
EPOmimetic peptides (EMP), e.g., CNTO 530 and peginesatide;
and methoxypolyethylene glycol-epoetin beta (CERA); and

1.2 Non-erythropoietic EPO-Receptor agonists, e.g., ARA-290,
asialo EPO and carbamylated EPO;

2. Hypoxia-inducible factor (HIF) stabilizers, e.g., cobalt (when found in excess of regulatory authority limits) and roxadustat (FG-4592); and HIF activators, (e.g., argon, xenon);
3. Chorionic Gonadotropin (CG) and Luteinizing Hormone (LH) and their releasing factors, in males;
4. Corticotrophins and their releasing factors;
5. Growth Hormone (GH) and its releasing factors including Growth Hormone Releasing Hormone (GHRH) and its analogues, e.g., CJC-1295, sermorelin and tesamorelin; Growth Hormone Secretagogues (GHS), e.g., ghrelin and ghrelin mimetics, e.g., anamorelin and ipamorelin; and GH-Releasing Peptides (GHRPs), e.g., alexamorelin, GHRP-6, hexarelin and pralmorelin (GHRP-2);
6. Venoms and toxins including but not limited to venoms and toxins from sources such as snails, snakes, frogs, and bees as well as their synthetic analogues such as ziconotide.
7. In addition, the following growth factors are prohibited:

Fibroblast Growth Factors (FGFs), Hepatocyte Growth Factor (HGF), Insulin-like Growth Factor-1 (IGF-1) and its analogues, Mechano Growth Factors (MGFs), Platelet-Derived Growth Factor (PDGF), Vascular-Endothelial Growth Factor (VEGF) and any other growth factor affecting muscle, tendon or ligament protein synthesis/degradation, vascularization, energy utilization, regenerative capacity or fiber type switching.

S3. BETA-2 AGONISTS

All beta-2 agonists, including all optical isomers (i.e. *d*- and *l*-) where relevant, are prohibited.

S4. HORMONE AND METABOLIC MODULATORS

The following are prohibited:

1. Aromatase inhibitors, including but not limited to: aminoglutethimide, anastrozole, androsta-1,4,6-triene-3,17dione (androstatrienedione), 4-androstene-3,6,17 trione (6oxo), exemestane, formestane, letrozole, testolactone;
2. Selective estrogen receptor modulators (SERMs), including but not limited to: raloxifene, tamoxifen, toremifene;
3. Other anti-estrogenic substances, including but not limited to: clomiphene, cyclofenil, fulvestrant;
4. Agents modifying myostatin function(s), including but not limited to: myostatin inhibitors;
5. Metabolic modulators:
 - 5.1. Activators of the AMP-activated protein kinase (AMPK), e.g., AICAR, and Peroxisome Proliferator Activated Receptor δ (PPAR δ) agonists (e.g., GW 1516);
 - 5.2. Insulins;
 - 5.3. Trimetazidine; and
 - 5.4. Thyroxine and thyroid modulators/hormones, including but not limited to those containing T4 (tetraiodothyronine/thyroxine), T3 (triiodothyronine), or combinations thereof.

S5. DIURETICS AND OTHER MASKING AGENTS

The following diuretics and masking agents are prohibited, as are other substances with similar chemical structure or similar biological effect(s): acetazolamide, amiloride, bumetanide, canrenone, chlorthalidone, desmopressin, etacrynic acid, indapamide, metolazone, plasma expanders (e.g. glycerol; intravenous administration of albumin, dextran, hydroxyethyl starch and mannitol), probenecid, spironolactone, thiazides (e.g. bendroflumethiazide, chlorothiazide, hydrochlorothiazide), torsemide,

triamterene, and vasopressin receptor antagonists or vaptans (e.g., tolvaptan).

Furosemide and trichlormethiazide may be administered only in a manner permitted by other rules of the commission.

PROHIBITED METHODS

M1. MANIPULATION OF BLOOD AND BLOOD COMPONENTS

The following are prohibited:

1. The administration or reintroduction of any quantity of autologous, allogenic (homologous) or heterologous blood or red blood cell products of any origin into the circulatory system.
2. Artificially enhancing the uptake, transport or delivery of oxygen, including, but not limited to, perfluorochemicals, efaproxiral (RSR13) and modified hemoglobin products (e.g. hemoglobin-based blood substitutes, microencapsulated hemoglobin products), excluding supplemental oxygen.
3. Any form of intravascular manipulation of the blood or blood components by physical or chemical means.

M2. CHEMICAL AND PHYSICAL MANIPULATION

Tampering, or attempting to tamper, in order to alter the integrity and validity of samples collected by the commission, is prohibited. These methods include but are not limited to urine substitution or adulteration (e.g., proteases).

M3. GENE DOPING

The following, with the potential to enhance sport performance, are prohibited:

1. The transfer of polymers of nucleic acids or nucleic acid analogues.
2. The use of normal or genetically modified hematopoietic cells.

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Annex II

Restricted Therapeutic Use Requirements

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| | Required Conditions for Therapeutic Use Exemption | | | | | | |
|---|--|--------------------------------|---|-------------------------------|-----------------------------------|--------------------------|-------------------------------------|
| Prohibited Substance | Report When Sampled | Pre-file Treatment Plan | Written Approval from Commission | Emergency Use (Report) | Prescribed by Veterinarian | Veterinary Record | Other Limitations |
| Adrenocorticotrophic Hormone (ACTH) | | X | | | X | X | |
| Albuterol | | X | | | X | X | 6-month Vet List⁴ |
| Altrenogest | | | | | X | X | Fillies/Mares only |
| Autologous Conditioned Plasma (IRAP) | | | | | | | |

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|--|----------|----------|----------------------|----------|----------|----------|---|
| Bisphosphonates (clondronate, tiludronate only; all prohibited all times) | | | | | X | X | Four years old and older only 6-month Vet list |
| Blood Replacements | X | | | X | X | X | |
| Boldenone | | X | | | X | X | 6-month Vet List |
| Clenbuterol | | X | | | X | X | 6-month Vet List⁴ |
| Chorionic Gonadotropin | | X | X₁ | | X | X | 60-day Vet List |
| Furosemide | X | | | | X | X | |
| Lutenizing Hormone | | X | X₁ | | X | X | 60-day Vet List |
| Nandrolone | | X | | | X | X | 6-month Vet List |
| Nucleic Polymer Transfers | | X | X | | | | |

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|-----------------------------------|----------|--|--|--|----------|----------|--|
| Platelet Rich Plasma (PRP) | X | | | | X | X | |
|-----------------------------------|----------|--|--|--|----------|----------|--|

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|-----------------------|---|---|----------------|---|---|---|------------------|
| Stanozolol | | X | | | X | X | 6-month Vet List |
| S0 (not FDA approved) | | | X ₂ | | X | X | |
| Testosterone | | X | | | X | X | 6-month Vet List |
| Thyroxine (T4) | | X | X ₃ | | X | X | |
| Trichlormethiazide | X | | | | X | X | |
| Other Diuretics | X | | | X | X | X | |

1: The approved treatment plan must show a specific treatment of a specific individual horse for an undescended testicle condition.
2: The approved treatment plan must show: (A) the substance has a generally accepted veterinary use; (B) the treatment provides a significant health benefit for the horse; (C) there is no reasonable therapeutic alternative; and (D) the use of the substance is highly unlikely to produce any additional enhancement of performance beyond what might be anticipated by a return to the horse's normal state of health, not exceeding the level of performance of the horse prior to the onset of the horse's medical

diti

3: The approved treatment plan must show: (A) the thyroxine is prescribed to a specific individual horse for a specific period of time; (B) the diagnosis and basis for prescribing such drug, the dosage, and the estimated last administration date; and (C) that any container of such drug on licensed premises shall be labeled with the foregoing information and contain no more thyroxine than for the treatment of the specific individual horse, as prescribed.

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4: Vet list requirement applies to Quarter Horses only

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

Version 2.1 to 3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended new rule language

Version 4.3 to 4.4 ARCI Board 12/10/08: Amended Shock Wave to 10 days

Version 5.1 to 5.2 ARCI Board 7/15/12: Amended Shock Wave language

Version 5.2 to 5.3 ARCI Board 12/7/12 Amended Blood doping agents, limited uses of drugs and broadened approving agency designation, changed train to breeze in shock wave restrictions

Version 5.5 to 5.6 ARCI Board 12/9/13 Amended ARCI-011-015 (4) Extracorporeal Shock Wave Therapy

Version 5.5 to 5.6 ARCI Board 12/9/2013 Amended ARCI-011-015(4) Extracorporeal Shock Wave Therapy

Version 6.3 to 7.0 ARCI Board 12/09/2016 Amended ARCI 011-015(1) Prohibited Practices; Added ARCI-001-015(2)

Prohibited Substances and Methods, Restricted Therapeutic Use language

Version 6.3 to 7.0 ARCI Board 12/09/2016 ARCI 011-015, added annexed materials “Prohibited List” and “Restricted Therapeutic Use Requirements” table.

Version 7.0 to 8.0, ARCI Board, 4/20.2017, Amended Annex II, “Restricted Therapeutic Use Requirements,” (Added: footnote 4, re: Quarter Horses

Version 9.1 to 9.2 ARCI Board 12/13/19, Endorsed in Principal, Subsection 6 added to ban the use of bisphosphonates in horses younger than four years old, must be used to treat navicular disease only and FDA approved substances only. Can only be administered by label instructions and horses will be placed on a vet’s list for 180 days if used. Subsection 6 (c) was added to ban bloodletting and chemical castration/immunocastration and to harmonize with IFHA rules.

ARCI-011-020 Medications and Prohibited Substances

Upon a finding of a violation of these medications and prohibited substances rules, the stewards shall consider the classification level of the violation as listed in at the time of the violation in the Uniform Classification Guidelines of Foreign Substances as promulgated by the Association of Racing Commissioners International and impose penalties and disciplinary measures consistent with the recommendations contained therein. The stewards shall also consult with the official veterinarian to determine if the violation was a result of the administration of a therapeutic medication as documented in a veterinarian’s Medication Report Form received per ARCI-011-010 (C). The stewards may also consult with the laboratory director or other individuals to determine the seriousness of the laboratory finding or the medication violation Penalties for all medication and drug violations shall be investigated and reviewed on a case by case basis. Extenuating factors include, but are not limited to:

- (1) The past record of the trainer, veterinarian and owner in drug cases;
- (2) The potential of the drug(s) to influence a horse’s racing performance;
- (3) The legal availability of the drug;
- (4) Whether there is reason to believe the responsible party knew of the administration of the drug or intentionally administered the drug;
- (5) The steps taken by the trainer to safeguard the horse;
- (6) The probability of environmental contamination or inadvertent exposure due to human drug use;
- (7) The purse of the race;
- (8) Whether the drug found was one for which the horse was receiving a treatment as determined by the Medication Report Form;
- (9) Whether there was any suspicious betting pattern in the race, and;

(10) Whether the licensed trainer was acting on the advice of a licensed veterinarian. As a result of the investigation, there may be mitigating circumstances for which a lesser or no penalty is appropriate for the licensee and aggravating factors, which may increase the penalty beyond the minimum.

A. Uniform Classification Guidelines

The following outline describes the types of substances placed in each category. This list shall be publicly posted in the offices of the official veterinarian and the racing secretary.

(1) Class 1

Opiates, opium derivatives, synthetic opioids, psychoactive drugs, amphetamines, all United States Drug Enforcement Agency (DEA) Schedule I drugs and many Schedule II drugs. Also found in this class are drugs that are potent stimulants of the central nervous system. Drugs in this class have no generally accepted medical use in the racing horse and their pharmacologic potential for altering the performance of a racing horse is very high.

(2) Class 2

Drugs placed in this category have a high potential for affecting the outcome of a race. Most are not generally accepted as therapeutic agents in the racing horse. Many are products intended to alter consciousness or the psychic state of humans, and have no approved or indicated use in the horse. Some, such as injectable local anesthetics, have legitimate use in equine medicine, but should not be found in a racing horse. The following groups of drugs placed are in this class:

- (a) Opiate partial agonists, or agonist-antagonists;
- (b) Non-opiate psychotropic drugs. These drugs may have stimulant, depressant, analgesic or neuroleptic effects;
- (c) Miscellaneous drugs which might have a stimulant effect on the central nervous system (CNS);
- (d) Drugs with prominent CNS depressant action;
- (e) Antidepressant and antipsychotic drugs, with or without prominent CNS stimulatory or depressant effects;
- (f) Muscle blocking drugs that have a direct neuromuscular blocking action;
- (g) Local anesthetics that have a reasonable potential for use as nerve blocking agents (except procaine); and
- (h) Snake venoms and other biologic substances, which may be used as nerve blocking agents.

(3) Class 3

Drugs placed in this class may or may not have an accepted therapeutic use in the horse. Many are drugs that affect the cardiovascular, pulmonary and autonomic nervous systems. They all have the potential of affecting the performance of a racing horse. The following groups of drugs are placed in this class:

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- (a) Drugs affecting the autonomic nervous system that do not have prominent CNS effects, but which do have prominent cardiovascular or respiratory system effects. Bronchodilators are included in this class;
- (b) A local anesthetic that has nerve blocking potential but also has a high potential for producing urine residue levels from a method of use not related to the anesthetic effect of the drug (procaine);
- (c) Miscellaneous drugs with mild sedative action, such as the sleep inducing antihistamines;
- (d) Primary vasodilating/hypotensive agents;
- (e) Potent diuretics affecting renal function and body fluid composition; and
- (f) Anabolic and/or androgenic steroids and other drugs

(4) Class 4

Drugs in this category comprise primarily therapeutic medications routinely used in racing horses. These may influence performance, but generally have a more limited ability to do so. Groups of drugs assigned to this category include the following:

- (a) Non-opiate drugs that have a mild central analgesic effect;
- (b) Drugs affecting the autonomic nervous system that do not have prominent CNS, cardiovascular or respiratory effects
 - (A) Drugs used solely as topical vasoconstrictors or decongestants (B) Drugs used as gastrointestinal antispasmodics
 - (C) Drugs used to void the urinary bladder
 - (D) Drugs with a major effect on CNS vasculature or smooth muscle of visceral organs.
 - (E) Antihistamines which do not have a significant CNS depressant effect (This does not include H1 blocking agents, which are listed in Class 5);
- (c) Antihistamines that do not have a significant CNS depressant effect. This does not include H2 blocking agents, which are in Class 5.
- (d) Mineralocorticoid drugs;
- (e) Skeletal muscle relaxants;
- (f) Anti-inflammatory drugs. These drugs may reduce pain as a consequence of their anti-inflammatory action.
 - (A) Non-Steroidal Anti-Inflammatory Drugs (NSAIDs);
 - (B) Corticosteroids (glucocorticoids); and
 - (C) Miscellaneous anti-inflammatory agents.
- (g) Less potent diuretics;
- (h) Cardiac glycosides and antiarrhythmic agents.
 - (A) Cardiac glycosides;
 - (B) Antiarrhythmic agents (exclusive of lidocaine, bretylium and propranolol); and

- (C) Miscellaneous cardiotoxic drugs.
- (i) Topical Anesthetics--agents not available in injectable formulations; (j)
Antidiarrheal drugs;
- (k) Miscellaneous drugs.
 - (A) Expectorants with little or no other pharmacologic action;
 - (B) Stomachics; and
 - (C) Mucolytic agents.

(5) Class 5

Drugs in this category are therapeutic medications for which concentration limits have been established by the racing jurisdictions as well as certain miscellaneous agents. Included specifically are agents that have very localized actions only, such as anti-ulcer drugs and certain antiallergenic drugs. The anticoagulant drugs are also included.

B. Penalties

- (1) In issuing penalties against individuals found guilty of medication and drug violations a regulatory distinction shall be made between the detection of therapeutic medications used routinely to treat racehorses and those drugs that have no reason to be found at any concentration in the test sample on race day.
- (2) The stewards or the commission will use the penalty guidelines schedule contained in these rules as a starting place in the penalty stage of the deliberations for a rule violation for any drug listed in the *Association of Racing Commissioners International Uniform Classification Guidelines for Foreign Substances*.
- (3) If a licensed veterinarian is administering or prescribing a drug not listed in the *RCI Uniform Classification Guide lines for Foreign*, the identity of the drug shall be forwarded to the official veterinarian to be forwarded to the Drug Testing Standards and Practices Committee of the Association of Racing Commissioners International for classification.
- (4) Any drug or metabolite thereof found to be presenting a pre- or post-race sample which is not classified in the most current *RCI Uniform Classification Guidelines for Foreign Substances* shall be assumed to be a RCI Class 1 Drug and the trainer and owner shall be subject to those penalties as set forth in schedule "A" unless satisfactorily demonstrated otherwise by the Racing Medication and Testing Consortium, with a penalty category assigned.
- (5) The penalty categories and their related schedules, if applicable, shall be on the following criteria:
 - (a) Whether the drug is approved by the U.S. Food and Drug Administration for use in the horse;

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- (b) Whether the drug is approved by the U.S. Food and Drug Administration for use in any species;
 - (c) Whether the drug has any legitimate therapeutic application in the equine athlete;
 - (d) Whether the drug was identified as “necessary” by the RMTC Veterinary Advisory Committee;
 - (e) Whether legitimate, recognized therapeutic alternatives exist, and; (f) The current RCI Classification of the drug.
- (6) The penalty categories “A”, “B” and “C” and their related schedules for Trainers and Owners are shown in the following tables.

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The following are recommended penalties for violations due to the presence of a drug carrying a **Category “A” penalty** and for violations of ARCI-011-015: Prohibited Practices:

| LICENSED TRAINER: | | |
|--|---|---|
| 1st offense | 2nd LIFETIME offense in any jurisdiction | 3rd LIFETIME offense in any jurisdiction |
| <ul style="list-style-type: none"> ◦ Minimum one-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a three-year suspension. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ Minimum fine of \$10,000 or 10% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$25,000 or 25% of purse (greater of the two). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ May be referred to the Commission for any further action deemed necessary by the Commission. | <ul style="list-style-type: none"> ◦ Minimum three-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of license revocation with no reapplication for a three-year period. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ Minimum fine of \$25,000 or 25% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$50,000 or 50% of purse (greater of the two). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ May be referred to the Commission for any further action deemed necessary by the Commission. | <ul style="list-style-type: none"> ◦ Minimum five-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of license revocation with no reapplication for a five-year period. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ Minimum fine of \$50,000 or 50% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$100,000 or 100% of purse (greater of the two). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ May be referred to the Commission for any further action deemed necessary by the Commission. |
| LICENSED OWNER: | | |
| 1st offense | 2nd LIFETIME offense in owner’s stable in any jurisdiction | 3rd LIFETIME offense in owner’s stable in any jurisdiction |
| <ul style="list-style-type: none"> ◦ Disqualification and loss of purse. <p style="text-align: center;">AND</p> | <ul style="list-style-type: none"> ◦ Disqualification and loss of purse. <p style="text-align: center;">AND</p> | <ul style="list-style-type: none"> ◦ Disqualification, loss of purse and \$50,000 fine. <p style="text-align: center;">AND</p> |

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| <ul style="list-style-type: none"> ◦ Horse shall be placed on the veterinarian’s list for 180 days and must pass a commission-approved examination before becoming eligible to be entered. | <ul style="list-style-type: none"> ◦ Horse shall be placed on the veterinarian’s list for 180 days and must pass a commission-approved examination before becoming eligible to be entered. | <ul style="list-style-type: none"> ◦ Horse shall be placed on the veterinarian’s list for 180 days and must pass a commission-approved examination before becoming eligible to be entered. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ Referral to the Commission with a recommendation of a suspension for a minimum of 90 days. |
|---|---|--|

Version 7.0 to 8.0, ARCI Board, April 2017, changed recommended veterinarian’s list time to 180 Days for 1st and 2nd offense.

The following are recommended penalties for violations due to the presence of a drug carrying **Category “B” penalty**, for the for the detection of two or more NSAIDs in a plasma/serum and/or urine sample, subject to the provisions set forth in ARCI-011020(E) and for violations of the established levels for total carbon dioxide:

| LICENSED TRAINER: | | |
|---|--|--|
| 1st offense | 2nd offense (365-day period) in any jurisdiction | 3rd offense (365-day period) in any jurisdiction |
| <ul style="list-style-type: none"> ◦ Minimum 15-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 60-day suspension. AND ◦ Minimum fine of \$500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$1,000. | <ul style="list-style-type: none"> ◦ Minimum 30-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 180-day suspension. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ Minimum fine of \$1,000 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$2,500. | <ul style="list-style-type: none"> ◦ Minimum 60-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a one-year suspension. AND ◦ Minimum fine of \$2,500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$5,000 or 5% of purse (greater of the two). AND ◦ May be referred to the Commission for any further action deemed necessary by the Commission. |

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| LICENSED OWNER: | | |
|---|---|---|
| 1st offense | 2nd offense in stable (365-day period) in any jurisdiction | 3rd offense in stable (365-day period) in any jurisdiction |
| <ul style="list-style-type: none"> Disqualification and loss of purse [in the absence of mitigating circumstances] * <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> Horse must pass a commission-approved examination before becoming eligible to be entered. | <ul style="list-style-type: none"> Disqualification and loss of purse [in the absence of mitigating circumstances] * <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> Horse must pass a commission-approved examination before becoming eligible to be entered. | <ul style="list-style-type: none"> Disqualification and loss of purse, and a \$5,000 fine.* <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> Horse shall be placed on the veterinarian's list for 45 days and must pass a commission-approved examination before becoming eligible to be entered. |

The following are recommended penalties for violations due to the presence of a drug carrying a Category “C” penalty and overages for permitted NSAIDs and furosemide: *(All concentrations are for measurements in serum or plasma.)*

| LICENSED TRAINER | Furosemide (>100 ng/ml) and no furosemide when identified as administered** | Phenylbutazone (>0.3 mcg/ml) Flunxin (>5.0 ng/ml) Ketoprofen (>2.0 ng/ml) and CLASS C Violations |
|--|---|--|
| 1 st Offense (365-day period) in any jurisdiction | Minimum of a written warning to a maximum fine of \$500 | Minimum fine of \$1,000 absent mitigating circumstances |

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| | | |
|--|--|---|
| 2 nd Offense (365-day period) in any jurisdiction | Minimum of a written warning to a maximum fine of \$750 | Minimum fine of \$1,500 and 15-day suspension absent mitigating circumstances |
| 3 rd Offense (365-day period) in any jurisdiction | Minimum fine of \$500 to a maximum fine of \$1,000 | Minimum fine of \$2,500 and 30-day suspension absent mitigating circumstances |
| LICENSED OWNER | Furosemide (>100 ng/ml) and no furosemide when identified as administered** | Phenylbutazone (>0.3 mcg/ml) Flunixin (>5.0 ng/ml) Ketoprofen (>2.0 ng/ml) AND CLASS C VIOLATIONS |
| 1 st Offense (365-day period) in any jurisdiction | Horse may be required to pass commission-approved examination before being eligible to run. | Loss of purse [in the absence of mitigating circumstances]. Horse must pass commission-approved examination before being eligible to run |
| 2 nd Offense (365-day period) in any jurisdiction | Horse may be required to pass commission-approved examination before being eligible to run | Loss of purse. If same horse, placed on veterinarian's list for 45 days, must pass commission-approved examination before being eligible to run |
| 3 rd Offense (365-day period) in any jurisdiction | Disqualification and loss of purse. Horse must pass commission-approved examination before being eligible to run | Loss of purse. Minimum \$5,000 fine. If same horse, placed on veterinarian's list for 60 days, must pass commission-approved examination before being eligible to run |

*If the trainer has not had more than one violation within the previous two years, the Stewards/Judges are encouraged to issue a warning in lieu of a fine provided the reported level is below 3.0 mcg/ml, absent of aggravating factors.

After a two year period, if the licensee has had no further violations, any penalty due to an overage in the 2.0 – 5.0 category will be expunged from the licensee's record for penalty purposes.

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- (7) The recommended penalty for a violation involving a drug that carries a Category “D” penalty is a written warning to the trainer and owner. Multiple violations may result in fines and/or suspensions
- (8) Any licensee of the commission, including veterinarians, found to be responsible for the improper or intentional administration of any drug resulting in a positive test may, after proper notice and hearing, be subject to the same penalties set forth for the licensed trainer.
- (9) The licensed owner, veterinarian or any other licensed party involved in a positive laboratory finding shall be notified in writing of the hearing and any resulting action. In addition their presence may be required at any and all hearings relative to the case.
- (10) Any veterinarian found to be involved in the administration of any drug carrying the penalty category of “A” shall be referred to the State Licensing Board of Veterinary Medicine for consideration of further disciplinary action and/or license revocation. This is in addition to any penalties issued by the stewards or the commission.
- (11) Any person who the stewards or the commission believe may have committed acts in violation of criminal statutes may be referred to the appropriate law enforcement agency. Administrative action taken by the stewards or the commission in no way prohibits a prosecution for criminal acts committed, nor does a potential criminal prosecution stall administrative action by the stewards or the commission.
- (12) Procedures shall be established to ensure that a licensed trainer is not able to benefit financially during the period for which the individual has been suspended. This includes, but is not limited to, ensuring that horses are not transferred to licensed family members.
- (13) Multiple Medication Violations (MMV)
 - (a) A trainer who receives a penalty for a medication violation based upon a horse testing positive for a Class 1-5 medication with Penalty Class A-C, as provided in the most recent version of the ARCI Uniform Classification Guidelines for Foreign Substances, or similar state regulatory guidelines, shall be assigned points as follows:

| Penalty Class | Points If Controlled Therapeutic Substance | Points If Non-Controlled Substance |
|----------------------|--|--|
| Class A | N/A | 6 |
| Class B | 2 | 4 |
| Class C | ½ for first violation with an additional ½ point for | 1 for first violation with an additional ½ point for each additional violation within 365 days |

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| | | |
|----------------|---|---|
| | each additional violation within 365 days ⁴ | |
| Class D | 0 | 0 |

If the Stewards or Commission determine that the violation is due to environmental contamination, they may assign lesser or no points against the trainer based upon the specific facts of the case.

- (b) The points assigned to a medication violation by the Stewards or Commission ruling shall be included in the ARCI official database. The ARCI shall record points consistent with Section 13(a) including when appropriate, a designation that points have been suspended for the medication violation. Points assigned by such regulatory ruling shall reflect, in the case of multiple positive tests as described in paragraph (d), whether they constitute a single violation. The Stewards' or Commission Ruling shall be posted on the official website of the Commission and within the official database of the Association of Racing Commissioners International. If an appeal is pending, that fact shall be noted in such Ruling. No points shall be applied until a final adjudication of the enforcement of any such violation.
- (c) A trainer's cumulative points for violations in all racing jurisdictions shall be maintained by the ARCI. Once all appeals are waived or exhausted, the points shall immediately become part of the trainer's official ARCI record and shall be considered by the Commission in its determination to subject the trainer to the mandatory enhanced penalties by the Stewards or Commission as provided in this regulation.
- (d) Multiple positive tests for the same medication incurred by a trainer prior to delivery of official notice by the commission may be treated as a single violation. In the case of a positive test indicating multiple substances found in a single post-race sample, the Stewards may treat each substance found as an individual violation for which points will be assigned, depending upon the facts and circumstances of the case.

⁴ Points for NSAID violations only apply when the primary threshold of the NSAID is exceeded. Points are not to be separately assigned for a stacking violation.

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- (e) The official ARCI record shall be used to advise the Stewards or Commission of a trainer's past record of violations and cumulative points. Nothing in this administrative regulation shall be construed to confer upon a licensed trainer

the right to appeal a violation for which all remedies have been exhausted or for which the appeal time has expired as provided by applicable law.

- (f) The Stewards or Commission shall consider all points for violations in all racing jurisdictions as contained in the trainer's official ARCI record when determining whether the mandatory enhancements provided in this regulation shall be imposed.
- (g) In addition to the penalty for the underlying offense, the following enhancements shall be imposed upon a licensed trainer based upon the cumulative points contained in his/her official ARCI record:

| Points | Suspension in days |
|---------------|---------------------------|
| 5-5.5 | 15 to 30 |
| 6-8.5 | 30 to 60 |
| 9-10.5 | 90 to 180 |
| 11 or more | 180 to 360 |

MMV penalties are not a substitute for the current penalty system and are intended to be an additional uniform penalty when the licensee:

- (i) Has had more than one medication violation for the relevant time period, and
- (ii) Exceeds the permissible number of points.

The Stewards and Commission shall consider aggravating and mitigating circumstances, including the trainer's prior record for medication violations, when determining the appropriate penalty for the underlying offense. The MMP is intended to be a separate and additional penalty for a pattern of violations.

- (h) The suspension periods as provided in Section 13(g) shall run consecutive to any suspension imposed for the underlying offense.

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- (i) The Stewards' or Commission Ruling shall distinguish between the penalty for the underlying offense and any enhancement based upon a Stewards or Commission review of the trainer's cumulative points and regulatory record, which may be considered an aggravating factor in a case.
- (j) Points shall expire as follows:

| Penalty Classification | Time to Expire |
|-------------------------------|-----------------------|
| A | 3 years |
| B | 2 years |
| C | 1 year |

In the case of a medication violation that results in a suspension, any points assessed expire on the anniversary date of the date the suspension is completed.

c. Medication Restrictions

- (1) A finding by the commission approved laboratory of a prohibited drug, chemical or other substance in a test specimen of a horse is prima facie evidence that the prohibited drug, chemical or other substance was administered to the horse and, in the case of a post-race test, was present in the horse's body while it was participating in a race. Prohibited substances include:
 - (a) Drugs or medications for which no acceptable threshold concentration has been established;
 - (b) Controlled therapeutic medications in excess of established threshold concentrations or administration within the restricted time period as set forth in the ARCI Controlled Therapeutic Medication Schedule, Version 2.2.;
 - (c) Substances present in the horse in excess of concentrations at which such substances could occur naturally; and
 - (d) Substances foreign to a horse at concentrations that cause interference with testing procedures.
- (2) Except as otherwise provided by this chapter, a person may not administer or cause to be administered by any means to a horse a prohibited drug, medication, chemical or other substance, including any restricted medication pursuant to this chapter during the 24-hour period before post time for the race in which the horse is entered.

d. Medical Labeling

- (1) No person on association grounds where horses are lodged or kept, excluding licensed veterinarians, shall have in or upon association grounds which that person

occupies or has the right to occupy, or in that person's personal property or effects or vehicle in that person's care, custody or control, a drug, medication, chemical, foreign substance or other substance that is prohibited in a horse on a race day unless the product is labeled in accordance with this subsection.

- (2) All allowable medications must have a prescription label which is securely attached to the medication container and clearly ascribed to show the following:
 - (a) name, address, and telephone number of the pharmacy or veterinarian dispensing the medication;
 - (b) prescription number when dispensed by a pharmacy if required by law;
 - (c) date prescription filled;
 - (d) name of the prescribing veterinarian;
 - (e) name of the horse for whom the medication is prescribed or dispensed;
 - (f) name of the trainer or owner of the horse for whom the product was dispensed;
 - (g) dose, dosage, route of administration, and duration of treatment of the prescribed product (instructions for use);
 - (h) name, active ingredient, quantity prescribed, expiration date (if applicable), beyond use date (if applicable), and lot number (if applicable); and (i) cautionary statements (if any), and if applicable, withdrawal time.
- (3) The use of an expired medication is considered a violation of this rule.
- (4) Any medication that has a label that is missing, illegible, tampered with or altered, or in any other way does not comply with this section shall be considered a violation of these rules.
- (5) Any licensee that voluntarily surrenders any non-compliant medication shall not be considered to be in violation of the medication rules described in this section and/or ARCI-011-020(D). A surrender shall not be deemed voluntary after a licensee has been advised or it is apparent that an investigatory search has commenced.

E. Non-Steroidal Anti-Inflammatory Drugs (NSAIDs)

- (1) The use of NSAIDs shall be governed by the following conditions:
 - (a) No NSAID may be administered at less than 48 hours to the scheduled post time of the race in which the horse is entered;
 - (b) Evidence of an NSAID administration at less than 48 hours to the scheduled post time of the race in which the horse is entered constitutes a Class C violation.
 - (c) NSAIDs included in the ARCI Controlled Therapeutic Medication Schedule, Version 4.1, are not to be used in a manner inconsistent with the restrictions contained therein. NSAIDs not included on the ARCI Controlled Therapeutic Medication Schedule, Version 4.1, are not be present in a racing horse biological sample at concentrations in excess of the laboratory's lower limit of quantification in blood or urine.

- (d) Notwithstanding the above, the presence of one of the following does not constitute a violation:
1. Phenylbutazone at a concentration of less than 0.3 micrograms per milliliter of plasma or serum;
 2. Flunixin at a concentration less than 5.0 nanograms per milliliter of plasma or serum; or
 3. Ketoprofen at a concentration less than 2.0 nanograms per milliliter of plasma or serum.
- (e) The detection of two or more NSAIDS in blood and/or urine constitutes a NSAID Stacking Violation (Penalty Class B).

F. Intra Articular Joint Injections

- (1) The use of intra articular joint injections in flat and jump racing shall be governed by the following conditions;
- (a) Treatment reporting is required pursuant to ARCI 011-010 (2)
 - (b) A treated horse shall be established as ineligible to race for a period of 14 days following an intra articular injection;
 - (i) For the purpose of the counting number of days a horse is ineligible to run following an intra articular injection is the first day.
 - (ii) The horse is eligible to race on the 15th day.

G. Corticosteroids

- (1) The detection of two or more corticosteroids in a flat or jump racing horse's post race serum/plasma and/or urine sample constitutes a stacking violation (Penalty Class B).
- (2) The detection of one or more additional NSAIDS in blood and/or urine constitutes a stacking violation in addition to the violation associated with the detection of each additional NSAID.

H. Furosemide

(1) Furosemide may be administered intravenously to a horse, which is entered to compete in a race. Except under the instructions of the official veterinarian or the racing veterinarian for the purpose of removing a horse from the Veterinarian's List or to facilitate the collection of a post-race urine sample, furosemide shall be permitted only after the official veterinarian has placed the horse on the Furosemide List. In order for a horse to be placed on the Furosemide List the following process must be followed.

- (a) After the horse's licensed trainer and licensed veterinarian determine that it would be in the horse's best interests to race with furosemide the official veterinarian or his/her designee shall be notified using the prescribed form, that the horse is to be put on the Furosemide List.
- (b) The form must be received by the official veterinarian or his/her designee by the proper time deadlines so as to ensure public notification.
- (c) A horse placed on the official Furosemide List must remain on that list unless the licensed trainer and licensed veterinarian submit a written request to remove the horse from the list. The request must be made to the official veterinarian or his/her designee, on the proper form, no later than the time of entry.

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- (d) After a horse has been removed from the Furosemide List, the horse may not be placed back on the list for a period of 60 calendar days unless it is determined to be detrimental to the welfare of the horse, in consultation with the official veterinarian. If a horse is removed from the official Furosemide List a second time in a 365-day period, the horse may not be placed back on the list for a period of 90 calendar days.
 - (e) Furosemide shall only be administered on association grounds.
 - (f) Furosemide shall be the only authorized bleeder medication
- (2) The use of furosemide shall be permitted under the following circumstances on association grounds where a detention barn is utilized:
- (a) Furosemide shall be administered by the official veterinarian, the racing veterinarian or his/her designee no less than four hours prior to post time for the race for which the horse is entered.
 - (b) Any veterinarian or vet techs participating in the administration process must be prohibited from working as private veterinarians or technicians on the race track or with participating licensees;
 - (c) A horse qualified for furosemide administration must be brought to the detention barn within time to comply with the four-hour administration requirement specified above.
 - (d) The dose administered shall not exceed 500 mg. nor be less than 150 mg.
 - (e) Furosemide shall be administered by a single, intravenous injection.
 - (f) After treatment, the horse shall be required by the Commission to remain in the detention barn in the care, custody and control of its trainer or the trainer's designated representative under association and/or Commission security supervision until called to the saddling paddock.
- (3) The use of furosemide shall be permitted under the following circumstances on association grounds where a detention barn is not utilized:
- (a) Furosemide shall be administered by the official veterinarian, the racing veterinarian or his/her designee no less than four hours prior to post time for the race for which the horse is entered.
 - (b) Any veterinarian or vet techs participating in the administration process must be prohibited from working as private veterinarians or technicians on the race track on or with participating licensees;
 - (c) The furosemide dosage administered shall not exceed 500 mg. nor be less than 150 mg.
 - (d) Furosemide shall be administered by a single, intravenous injection.
 - (e) After treatment, the horse shall be required by the Commission to remain in the proximity of its stall in the care, custody and control of its trainer or the trainer's designated representative under general association and/or Commission security surveillance until called to the saddling paddock.
- (4) Test results must show a detectable concentration of the drug in the post-race serum, plasma or urine sample.

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- (a) The specific gravity of post-race urine samples may be measured to ensure that samples are sufficiently concentrated for proper chemical analysis. The specific gravity shall not be below 1.010. If the specific gravity of the urine is found to be below 1.010 or if a urine sample is unavailable for testing, quantitation of furosemide in serum or plasma shall be performed;
 - (b) Quantitation of furosemide in serum or plasma shall be performed when the specific gravity of the corresponding urine sample is not measured or if measured below 1.010. Concentrations may not exceed 100 nanograms of furosemide per milliliter of serum or plasma.
- (5) The administering authority or association may assess a fee approved by the commission on licensed owners of treated horses to recoup the reasonable costs associated with the administration of furosemide in the manner prescribed in these rules.
- (6) The presence of furosemide in a post-race sample in a furosemide restricted contest constitutes a violation (Penalty Class B).

I. Bleeder List

- (1) The official veterinarian shall maintain a Bleeder List of all horses, which have demonstrated external evidence of exercise induced pulmonary hemorrhage from one or both nostrils during or after a race or workout as observed by the official veterinarian.
- (2) Every confirmed bleeder, regardless of age, shall be placed on the Bleeder List and be ineligible to race for the following time periods:
 - (a) First incident – 14 days;
 - (b) Second incident within 365 day period – 30 days;
 - (c) Third incident within 365 day period – 180 days;
 - (d) Fourth incident within 365-day period – barred for racing lifetime.
- (3) For the purposes of counting the number of days a horse is ineligible to run, the day the horse bled externally is the first day of the recovery period.
- (4) The voluntary administration of furosemide without an external bleeding incident shall not subject the horse to the initial period of ineligibility as defined by this policy.
- (5) A horse may be removed from the Bleeder List only upon the direction of the official veterinarian, who shall certify in writing to the stewards the recommendation for removal.
- (6) A horse which has been placed on a Bleeder List in another jurisdiction pursuant to these rules shall be placed on a Bleeder List in this jurisdiction.

J. Environmental Contaminants and Substances of Human Use

- (1) Environmental contaminants are either endogenous to the horse or can arise from plants traditionally grazed or harvested as equine feed or are present in equine feed because of contamination during the cultivation, processing, treatment, storage or transportation phases.

- (2) Substances of human use and addiction may be found in the horse due to its close association with humans.
- (3) If the preponderance of evidence presented in the hearing shows that a positive test is the result of environmental contamination, including inadvertent exposure due to human drug use, or dietary intake, or is endogenous to the horse, those factors should be considered in mitigation of any disciplinary action taken against the affected trainer. Disciplinary action shall only be taken if test sample results exceed the regulatory thresholds in the most recent version of the ARCI Endogenous, Dietary, or Environmental Substances Schedule.
- (4) The identification and adoption of these uniform thresholds for certain substances shall not preclude an individual jurisdiction from maintaining thresholds for substances not on this list which predate the adoption of this regulation in such jurisdiction.

K. Androgenic-Anabolic Steroids (AAS)

- (1) No AAS shall be permitted in test samples collected from racing horses except for endogenous concentrations of the naturally occurring substances **boldenone**, **nandrolone**, and testosterone at concentrations less than the indicated thresholds.
- (2) Concentrations of these AAS shall not exceed the following free (*i.e.*, not conjugated) steroid concentrations in plasma or serum:
 - (a) Boldenone – A confirmatory threshold not greater than 25 picograms/milliliter for all horses, regardless of sex;
 - (b) Nandrolone – A confirmatory threshold not greater than 25 picograms/milliliter for fillies, mares, and geldings; males horses other than geldings shall be tested for Nandrolone in urine (see (2)(b)(B) below);
 - (c) Testosterone – A confirmatory threshold not greater than 100 picograms/milliliter for fillies, mares, and gelding.
- (3) Total concentrations of these AAS shall not exceed the following total concentrations in urine after hydrolysis of conjugates:
 - (a) Boldenone - A confirmatory threshold not greater than 1 nanogram/milliliter for fillies, mares, and geldings; a confirmatory threshold not greater than 15 nanograms/milliliter in male horses other than geldings;
 - (b) Nandrolone - A confirmatory threshold not greater than 1 nanogram/milliliter for fillies, mares, and geldings; a confirmatory threshold not greater than 45 nanograms/milliliter (as 5 α -estrane-3 β ,17 α -diol) of urine in male horses other than geldings;
 - (c) Testosterone – A confirmatory threshold of not greater than 55 nanograms/milliliter of urine in fillies and mares (unless in foal); a confirmatory threshold of not greater than 20 nanograms/milliliter in geldings
- (4) Any other AAS are prohibited in racing horses.
- (5) The sex of the horse must be identified to the laboratory on all pre-race and postrace samples designated for AAS testing.

- (6) If an anabolic steroid has been administered to a horse in order to assist in its recovery from illness or injury, that horse may be placed on the Veterinarian's List in order to monitor the concentration of the drug or metabolite in urine or blood. After the concentration has fallen below the designated threshold for the administrated AAS, the horse is eligible to be removed from the list.

Version 8.4.1 to 8.5 ARCI Board 12/03/18, amended ARCI-011-020 I.(2)(c) to 100 picograms/ml. Version 8.5 to 9.0 ARCI Board 04/04/2019, corrected language in ARCI-011-020 I (3)(c).

L. Alkalinizing Substances

The use of agents that elevate the horse's TCO₂ or Base excess level above those existing naturally in the untreated horse at normal physiological concentrations is prohibited. The following levels also apply to blood gas analysis:

- (1) The regulatory threshold for TCO₂ is 37.0 millimoles per liter of plasma/serum or a base excess level of 10.0 millimoles, and;
- (2) The decision level to be used for the regulation of TCO₂ is 37.0 millimoles per liter of plasma/serum plus the measurement uncertainty of the laboratory analyzing the sample, or a base excess level of 10.4 millimoles per liter of plasma/serum.

M. Compounded Medications on Association Grounds

- (1) The possession or use of a drug, substance, or medication on Association Grounds that has not been approved by the appropriate federal agency (e.g., the United States Food and Drug Administration in the United States) for any use in (human or animal) is forbidden without prior permission of the Commission or its designee.
- (2) It is a violation of this regulation to possess, use, or distribute a compounded medication on Association Grounds if there is an FDA approved equivalent of that substance available for purchase. A difference in available formulations or concentrations does not alleviate the need to use FDA approved products.
- (3) It is a violation of this regulation to possess, use, or distribute a compounded medication on Association Grounds made from bulk substances if an FDA approved equivalent is available for purchase.
- (4) Combining two or more substances with pharmacologic effect constitutes the development of a new drug. This may only be done in accordance with state and local laws and must contain FDA approved medications, if available.
- (5) Compounded veterinary drugs. Veterinary drugs shall be compounded in accordance with all applicable state and federal laws. Compounded medication shall be dispensed only by prescription issued by a licensed veterinarian to meet the medical needs of a specific horse and for use only in that specific horse
- (6) Labels on compounded veterinary drugs. All compounded medications must be labeled in accordance with section ARCI-011-020(D) : Medical Labeling
- (7) Possession of an improperly labeled product by any person on Association Grounds is considered a violation of this section.

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Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 1.4 to 2.0 ARCI 4/26/03 NAPRA 4/14/03: Rule topic was renumbered to ARCI-011-023
Version 2.1 to 3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended and modified new rule language
Version 3.2 to 3.3 ARCI 12/7/05: Added and modified rule language
Version 4.0 to 4.1 ARCI 4/26/07: Added new rule language
Version 4.1 to 4.15 ARCI Board of Directors meeting 12/5/2007: Amended rule language
Version 4.3 to 4.4 ARCI Board 12/10/08: Amended language
Version 4.4 to 4.5 ARCI 4/23/09: Amended language added Alkalinizing Substances
Version 4.7 to 4.8 ARCI Board 10/22/10 Amended language regarding Phenylbutazone level 5.0 to 2.0
Version 4.8 to 4.9 ARCI Board 7/27/11 Amended language regarding Class C penalties
Version 5.0 to 5.1 ARCI Board 4/27/2012 Made furosemide administration fee subject to approval of commission
Version 5.2 to 5.3 ARCI Board 12/7/12 included reference to “ARCI Controlled Therapeutic Medication Schedule”
Version 5.4 to 5.5 ARCI Board 7/31/13 included language adopting Multiple Medication Violations (MMV)
Version 5.5 to 5.6 ARCI Board 12/9/13 deleted ARCI-011-022 Anti-Ulcer Medications
Version 5.5 to 5.6 ARCI Board 12/9/2013 Added language establishing ARCI Endogenous, Dietary or Environmental Substances Schedule
Version 5.5 to 5.6 ARCI Board 12/9/2013 Added language pertaining to environmental contaminants
Version 5.5 to 5.6 ARCI Board 12/9/2013 Amended Androgenic-Anabolic Steroid language
Version 5.6 to 5.7 ARCI Board 4/9/2014 Amended language in ARCI-011-020 (B)(13) pertaining to Multiple Medication Violation (MMV)
Version 5.6 to 5.7 ARCI Board 4/9/2014 Added ARCI-011-010 (H)(4) pertaining to previously-regulated environmental contaminants thresholds in individual racing jurisdictions.
Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Reconciled ARCI-011-020(A) with Uniform Classification Guidelines language.
Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Updated ARCI-011-020(B) to reflect amended levels of Ketoprofen
Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Amended ARCI-011-020(E) to reflect Class 1-3 NSAID Stacking Penalties
Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Amended ARCI-011-020(H) in relation to Environmental Contaminants and Substances of Human Abuse
Version 5.8 to 5.9 ARCI Board 12/12/2014 Amended ARCI-011-020(E)(1)(c)(C)(i) Class 3 Anti-Stacking Violations
Version 5.8 to 5.9 ARCI Board 12/12/2014 Added ARCI-011-020(K) Compounded Medications on Association Grounds
Version 5.9 to 6.0 ARCI Board of Directors 7/16/2015 Amended ARCI-011-020(B) Penalties
Version 6.1 to 6.2 ARCI Meeting of the Members 3/24/2016 Amended ARCI-011-020 (D) Medical Labeling Version 6.3 to 7.0, ARCI Board 12/09/2016; amended points assessed by penalty class, suspension length as determined by point totals (allowed for discretion in penalty length), and time required for point expiration.

Version 9.1 to 9.2 ARCI Board 12/13/19 approved NSAIDS may not be administered less than 48 hours before a horse’s scheduled post time and violating this rule is a Class C violation.

Version 9.1 to 9.2 ARCI Board 12/13/19 banned stacking and it is a Penalty Class B. Language was altered to reflect these modifications for E (1)(a)(b)(c). Sections E(d)(1)(2)(3) were added as was E(1)(e). Section F on intra articular injections and G on corticosteroids were also added.

ARCI-011-022 Out of Competition Testing

(1) *Out-of-competition testing authorized.* The commission may at a reasonable time on any date take blood, urine or other biologic samples as authorized by commission rules from a horse to enhance the ability of the commission to enforce its medication and antidoping rules, e.g., the Prohibited List pursuant to ARCI-011-015. The commission shall own such samples. This rule authorizes only the collection and testing of samples and does not independently make impermissible the administration to or presence in any horse of any drug or other substance. A race day prohibition or

restriction of a substance by a commission rule is not applicable to an out-of-competition test unless there is an attempt to race the horse in a manner that violates such rule.

(2) *Horses eligible to be tested.* Any horse that has been engaging in activities related to competing in horse racing in the jurisdiction may be tested. This includes without limitation any horses that are training outside the jurisdiction to participate in racing in the jurisdiction and all horses that are training in the jurisdiction, but excludes weanlings, yearlings and horses no longer engaged in horse racing (e.g., retired broodmares).

- (a) A horse is presumed eligible for out-of-competition testing if:
 - (i) It is on the grounds at a racetrack or training center under the jurisdiction of the commission;
 - (ii) It is under the care or control of a trainer licensed by the commission;
 - (iii) It is owned by an owner licensed by the commission;
 - (iv) It is entered or nominated to race at a premises licensed by the commission;
 - (v) It has raced within the previous 12 months at a premises licensed by the commission; or
 - (vi) It is nominated to a program based on racing in the jurisdiction, including without limitation a state thoroughbred development, breeder's award fund, or standardbred state sires stakes.
- (b) Such presumptions are conclusive in the absence of evidence that a horse is not engaged in activities related to competing in horse racing in the jurisdiction.

(3) *Selection of horses to be tested.*

- (a) Horses shall be selected for sampling by a commission Veterinarian, Executive Director, Equine Medical Director, Steward or Presiding Judge or a designee of any of the foregoing.
- (b) Horses may be selected to be tested at random, for cause, or as otherwise determined in the discretion of the commission.
- (c) Collectors shall for suspicion-less collections of samples abide by a plan that has been approved by a supervisor not in the field and identifies specific horses or provides neutral and objective criteria to follow in the field to determine which

horses to sample. Such a supervisor may consider input from persons in the field during the operation of the plan and select additional horses to be sampled.

(4) *Cooperation with the commission*

- (a) Licensees of the commission are required to cooperate and comply fully with the provisions of this rule.
- (b) Persons who apply for and are granted a trainer or owner license shall be deemed to have given their consent for access at such premises as their horse may be found for the purpose of commission representatives collecting out-of-competition samples. Licensees shall take any steps necessary to authorize access by commission representatives at such premises.
- (c) No other person shall knowingly interfere with or obstruct a sampling.

(5) *General procedure for collecting samples*

- (a) Samples shall be taken under the supervision and direction of a person who is employed or designated by the commission. All blood samples shall be collected by a veterinarian licensed in the state where the sample is collected, or by a veterinary technician who is acting under appropriate supervision of the veterinarian.
- (b) Upon request of a representative of the commission, the trainer, owner, or their specified designee shall provide the location of their horses eligible for out-of-competition testing.
- (c) The commission need not provide advance notice before arriving at any location, whether or not licensed by the commission, to collect samples.
- (d) The trainer, owner, or their specified designee shall cooperate with the person who takes samples for the commission, which cooperation shall include without limitation:
 - (i) Assist in the immediate location and identification of the horse;
 - (ii) Make the horse available as soon as practical upon arrival of the person who is responsible for collecting the samples;
 - (iii) Provide a stall or other safe location to collect the samples;
 - (iv) Assist the person who is collecting samples in properly procuring the samples; and

(v) Witness the taking of samples including sealing of sample collection containers.

(e) The management and employees of a licensed racetrack or training facility at which a horse may be located shall cooperate fully with a person who is authorized to take samples. The person who collects samples for the commission may require that the collection be done at a specified location on such premises.

(f) The commission, if requested and in its sole discretion, may permit the trainer, owner, or their specified designee to present a horse that is located in the jurisdiction, but not at a racetrack or training center licensed by the commission, to be sampled at a time and location designated by the commission.

(6) *Procedure for collecting samples from horses located outside the jurisdiction*

(a) The commission may arrange for the sampling of an out-of-state horse by the racing commission or other designated person in the jurisdiction where the horse is located. Such racing commission or other designated person shall follow the relevant provisions of this rule, including paragraph (a) of subdivision five of this rule.

(b) The test results shall be made available, for its regulatory use, to each jurisdiction that has participated in the process of collecting any out-of-competition sample, subject to any restrictions on public disclosure of test results that apply to the commission that selected the horse for sampling.

(c) The commission, if requested and in its sole discretion, may permit the trainer or owner instead to transport the horse into its jurisdiction for sampling at a time and place designated by the commission.

(7) *Additional procedures*

(a) The person who takes samples for the commission shall provide identification and disclose the purpose of the sampling to the trainer or designated attendant of the horse.

(b) A written protocol for the collection of samples shall be made generally available.

(c) An owner or trainer does not consent to a search of the premises by making a horse that is not located at a racetrack or training center available for sampling.

(d) If the trainer or other custodian of a selected horse refuses or declines to make the horse available for sampling and the managing owner has previously provided the commission with a means for the commission to give immediate notification to the managing owner in such situation, then the commission shall attempt to notify the managing owner and the eligibility of the horse shall be preserved if the managing owner is able to make the horse available for immediate sampling. The commission is not required to make repeated attempts to notify the managing owner.

(e) The chain of custody record for the sample (including a split sample where appropriate) shall be maintained and made available to the trainer, owner, or their designee when a complaint results from an out-of-competition test.

(8) *Analysis of collected samples*

(a) The commission may have out-of-competition samples tested to produce information that may enhance the ability of the commission to enforce its medication and anti-doping rules.

(b) Split sample rules and procedures for post-race testing shall apply to outofcompetition testing.

(c) The commission may use any remaining sample for research and investigation.

(9) *Penalties for non-cooperation*

(a) Willful failure to make a horse available for sampling or other willfully deceptive acts or interference in the sampling process shall carry a minimum penalty of a one year license suspension and referral to the commission in addition to any other authorized penalties.

(b) A selected horse that is not made available for out-of-competition sampling shall be placed on the Steward's List. The horse shall remain on the Steward's List for a minimum of 180 days unless the owner can establish extraordinary mitigating circumstances.

(c) A selected horse that is presumed eligible for out-of-competition testing shall be placed on the Steward's list and be ineligible to race in the jurisdiction for 180 days if the horse is not sampled because the trainer, owner or their designee asserts that the horse is not engaged in activities related to competing in horse racing in the

jurisdiction. This restriction shall not apply if the trainer, owner or their designee instead permits voluntarily an immediate collection of such samples from the horse.

(10) Responsible Persons

- (a) The trainer of the horse is responsible for the condition of a horse sampled for an out-of-competition test while on the grounds of a licensed training facility or racetrack.
- (b) If the horse is sampled while not on the grounds of a licensed training facility or racetrack, then the owner shall be presumed to be the responsible person unless the owner can establish, by substantial evidence, that another licensed person had accepted the responsibility for the care, custody, and control of the horse, making such person the responsible person.
- (c) If a horse sampled for an out-of-competition test was claimed, sold, or otherwise transferred during the time the substance giving rise to the positive test may have been administered, then the Commission shall investigate to determine, by a preponderance of the evidence, the identity of the responsible person at the time such substance may have been administered.
- (d) If the Commission cannot determine a responsible person, then the Commission may deem the owner responsible and may place the horse on the veterinarian's list for such time as is necessary to protect the integrity of racing. (e)

A claimed horse is ineligible to be subjected to out-of-competition testing in the 48 hours post claim unless the horse was subjected to post race testing.

Adopted Version 4.1 ARCI 4/26/07

Version 6.3 to 7.0, ARCI Board of Directors, 12/09/2016; ARCI-011-022, Amended section title

Version 6.3 to 7.0, ARCI Board of Directors, 12/09/2016, ARCI-011-022, Amended subsections (1) through (6), added subsections (7), (8), and (9)

Version 8.1 to 8.2, ARCI Board of Directors, 12/08/2017, ARCI-011-022, Added subsection (10) "Responsible Persons."

ARCI-011-023 Testing

A. Reporting to the Test Barn

- (1) The official winning horse and any other horse ordered by the Commission and/or the stewards shall be taken to the test barn to have a blood and urine samples taken at the direction of the official veterinarian.
- (2) Random or extra testing may be required by the stewards or the Commission at any time on any horse on association grounds.
- (3) Unless otherwise directed by the stewards or the official veterinarian, a horse that is selected for testing must be taken directly to the test barn.
- (4) A track security guard shall monitor access to the test barn area during and immediately following each racing performance. All persons who wish to enter the test barn area must be a minimum of 18-years-old, be currently licensed by the

Commission, display their Commission identification badge and have a legitimate reason for being in the test barn area.

B. Sample Collection

- (1) Sample collection shall be done in accordance with the guidelines and instructions provided by the official veterinarian.
- (2) The official veterinarian shall determine a minimum sample requirement for the primary testing laboratory.
 - (a) If the specimen obtained from a horse is less than the minimum sample requirement, the entire specimen shall be sent to the primary testing laboratory.
 - (b) If a specimen obtained is greater than the minimum sample requirement but less than twice that amount, the portion of the sample that is greater than the minimum sample requirement shall be secured as the split sample.
 - (c) If a specimen obtained is greater than twice the minimum sample requirement, a portion of the sample approximately equal to the amount provided for the primary testing laboratory shall be secured as the split sample.
 - (d) Split samples collected for simultaneous determination of TCO₂ levels shall be collected and shipped in accordance with C. of this rule.
 - (e) Blood samples must be collected at consistent time, preferably not later than one hour post-race.

C. Alkalinizing Substances

- (1) Pre-race Sampling, Post-race Testing
 - (a) Blood samples for TCO₂ and base excess testing should be collected within one hour pre-race. The samples must be handled in a consistent manner and cannot be frozen.
 - (b) If a secure detention barn is available, a sample may be obtained prior to furosemide administration and the horse must be kept in the secure detention barn until race time.
 - (c) The provisions of this rule pertaining to B. Sample Collection and C. Storage and Shipment of Split Samples shall not apply to blood samples drawn for TCO₂ analysis.
 - (d) Split sample analyses of TCO₂ must be run in parallel with the official sample at the official laboratory in order to avoid delays in testing that result in lower TCO₂ values as a result of sample degradation.
 - (e) Blood samples must be processed within 120 hours and tested using standardized, reproducible, validated procedures.
- (2) Pre-race Sampling, Pre-race Testing
 - (a) The commission shall adopt standard operating procedures that include but is not limited to calibration procedures, sampling procedures, personnel and notification processes.

- (b) If a sample taken pre-race is determined to be above the thresholds stated in ARCI-011-020(J)(2) the horse shall be scratched.
- (c) Any owner, trainer or other licensed delegate of the owner or trainer who refuses or fails to permit any horse to be tested when a demand for testing has been made by an authorized commission designee shall have the applicable horse scratched.

(3) Post-race Sampling, Post-race Testing

Post-race sampling of thoroughbreds is discouraged.

D. Storage and Shipment of Split Samples

(1) Split samples obtained in accordance with Subsection B, Numbers 2b and 2c above shall be secured and made available for further testing in accordance with the following procedures:

- (a) A split sample shall be secured in the test barn under the same manner as the portion of the specimen acquired for shipment to a primary laboratory until such time as specimens are packed and secured for shipment to the primary laboratory. Split samples shall then be transferred to a freezer at a secure location approved by the Commission.
- (b) A freezer for storage of split samples shall be equipped with two hasps or other devices to provide for use of two independent locks. One lock shall be the property of the Commission and one lock shall be the property of a representative of the group representing a majority of the horsemen at a race meeting. The locks shall be closed and locked so as to prevent access to the freezer at all times except as specifically provided by these rules.
- (c) A freezer for storage of split samples shall be opened only for depositing or removing split samples, for inventory, or for checking the condition of samples.
- (d) When a freezer used for storage of split samples is opened, it shall be attended by both a representative of the Commission and the owner, trainer or designee. A log shall be maintained that shall be used each time a split sample freezer is opened to specify each person in attendance, the purpose for opening the freezer, identification of split samples deposited or removed, the date and time the freezer was opened, and the time the freezer was closed and to verify that both locks were secured prior to and after opening of the freezer.
- (e) Any evidence of a malfunction of a split sample freezer or samples that are not in a frozen condition during storage shall be documented in the log and immediately reported to the official veterinarian or a designated Commission representative.

(2) Provisions for split sample testing for TCO₂ analysis shall be arranged by the trainer or designee at the time of sampling. The trainer shall be responsible for the cost of split sample testing. The trainer or designee shall make arrangements for

payment prior to or at the time of sampling. Split sample analysis of TCO₂ must be run in parallel with the official sample at the official laboratory as described in C. of this rule.

- (3) A trainer or owner of a horse having been notified that a written report from a primary laboratory states that a prohibited substance has been found in a specimen obtained pursuant to these rules may request that a split sample corresponding to the portion of the specimen tested by the primary laboratory be sent to another laboratory approved by the Commission. The request must be made in writing and delivered to the stewards not later than three (3) business days after the trainer of the horse receives written notice of the findings of the primary laboratory. Any split sample so requested must be shipped within an additional 48 hours.
- (4) The owner or trainer requesting testing of a split sample shall be responsible for the cost of shipping and testing. Failure of the owner, trainer or designee to appear at the time and place designated by the official veterinarian shall constitute a waiver of all rights to split sample testing. Prior to shipment, the Commission shall confirm the split sample laboratory's willingness to simultaneously provide the testing requested, the laboratory's willingness to send results to both the person requesting the testing and the Commission, and arrangements for payment satisfactory to the split sample laboratory. If a reference laboratory will accept split samples, that laboratory must be included among the laboratories approved for split sample testing.
- (5) Prior to opening the split sample freezer, the Commission shall provide a split sample chain of custody verification form that shall provide a place for recording the following information and such other information as the official veterinarian may require. The form shall be fully completed during the retrieval, packaging, and shipment of the split sample. The split sample chain of custody form requirements are:
 - (a) The date and time the sample is removed from the split sample freezer;
 - (b) The sample number;
 - (c) The address where the split sample is to be sent;
 - (d) The name of the carrier and the address where the sample is to be taken for shipment;
 - (e) Verification of retrieval of the split sample from the freezer;
 - (f) Verification of each specific step of the split sample packaging in accordance with the recommended procedure;
 - (g) Verification of the address of the split sample laboratory on the split sample package;
 - (h) Verification of the condition of the split sample package immediately prior to transfer of custody to the carrier; and
 - (i) The date and time custody of the sample is transferred to the carrier.

- (6) A split sample shall be removed from the split sample freezer by a Commission representative in the presence of a representative of the horsemen's association.
- (7) The owner, trainer or designee shall pack the split sample for shipment in the presence of the representative of the Commission, in accordance with the packaging procedures recommended by the Commission. A form shall be signed by both the horsemen's representative and the Commission representative to confirm the packaging of the split sample. The exterior of the package shall be secured and identified with initialed tape, evidence tape or other means to prevent tampering with the package.
- (8) The package containing the split sample shall be transported in a manner prescribed by the commission to the location where custody is transferred to the delivery carrier charged with delivery of the package to the Commission-approved laboratory selected by the owner or trainer.
- (9) The owner, trainer or designee and the Commission representative shall inspect the package containing the split sample immediately prior to transfer to the delivery carrier to verify that the package is intact and has not been tampered with.
- (10) The split sample chain of custody verification form shall be completed and signed by the representatives of the Commission and the owner or trainer. A Commission representative shall keep the original and provide a copy for the owner or trainer.

E. Frozen Samples

The commission has the authority to direct the official laboratory to retain and preserve by freezing samples for future analysis. Positive Tests arising from this analysis are subject to penalties in effect on the date of the race. The fact that purse money has been distributed prior to the issuance of a laboratory report from the future analysis of a frozen sample shall not be deemed a finding that no drug substance prohibited by these rules has been administered.

F. Laboratory Minimum Standards

Laboratories conducting either primary or split post-race sample analysis must meet at least the following minimum standards.

- (1) A testing laboratory must be accredited by an accrediting body designated by the Association of Racing Commissioners International to standards set forth and required by the Commission or the Association of Racing Commissioners International.
- (2) A testing laboratory must have, or have access to, LC/MS instrumentation for screening and/or confirmation purposes.
- (3) A testing laboratory must be able to meet minimum standards of detection, which is defined as the specific concentration at which a laboratory is expected to detect the presence of a particular drug and/or metabolite or by the adoption of a regulatory threshold.

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

Version 1.4 to 2.0 ARCI 4/26/03 NAPRA 4/14/03: Rule topic was renumbered from ARCI-011-020

Version 2.1 to 3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended and modified rule language

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

Version 4.1 to 4.2 ARCI 3/36/08: Added new rule language

Version 4.4 to 4.5 ARCI 4/23/09 Amended language TCO2 Testing added

Version 5.2 to 5.3 ARCI Board 12/7/12 Amended language regarding penalties if positive test using frozen samples
Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Amended ARCI-011-025(C)(2)(b) to reflect corrected numbering

Version 5.9 to 6.0 ARCI Board of Directors 7/16/2015 Amended ARCI-011-023(F) Laboratory Minimum Standards

ARCI-011-025 Trainer Responsibility

The purpose of this subsection is to identify responsibilities of the trainer that pertain specifically to the health and well being of horses in his/her care.

- (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 concentration, 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) For a horse not on association grounds at the time the drug or medication is prescribed and such medication is not prescribed by a veterinarian licensed by the commission, the trainer shall have 14 days from the time the horse enters association grounds to:
 - (a) exhaust any supply of medication validly prescribed pursuant to ARCI011010(B)(6); or
 - (b) consult with a veterinarian licensed by the Commission to review the medication(s) in his or her possession to determine:
 - i. if all medications comply with the medical labeling requirements described in ARCI-011-020(D); and
 - ii. If the medications are permitted for use in a racehorse under applicable law.
- (4) The trainer of the horse that has a medication reviewed in Subsection 3 shall sign a form approved by the Commission certifying that the required review described in Subsection 3 has been undertaken. The form shall be filed with the Commission prior to the expiration of the 14 days described in Subsection 3.
- (5) Any medication that does not comply with Subsection 3, Subsection 4, and the medical labeling requirements in ARCI-011-020(D) is considered to be in violation of these rules.
- (6) 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.
- (7) The trainer is responsible for:

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- (a) Maintaining the assigned stable area in a clean, neat and sanitary condition at all times;
 - (b) Using the services of those veterinarians licensed by the Commission to attend horses that are on association grounds;
- (8) Additionally, with respect to horses in his/her care or custody, the trainer is responsible for:
- (a) The proper identity, custody, care, health, condition and safety of horses;
 - (b) Ensuring that at the time of arrival at locations under the jurisdiction of the Commission a valid health certificate and a valid negative Equine Infectious Anemia (EIA) test certificate accompany each horse and which, where applicable, shall be filed with the racing secretary;
 - (c) 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 the jurisdiction's law and for filing evidence of such negative test results with the racing secretary;
 - (d) Using the services of those veterinarians licensed by the Commission to attend horses that are on association grounds;
 - (e) Immediately reporting the alteration of the sex of a horse to the horse identifier and the racing secretary;
 - (f) Promptly reporting to the racing secretary and the official veterinarian when a posterior digital neurectomy (heel nerving) is performed and ensuring that such fact is designated on its certificate of registration;
 - (g) Promptly notifying the official veterinarian of any reportable disease and any unusual incidence of a communicable illness in any horse in his/her charge;
 - (h) Promptly reporting the serious injury and/or death of any horse at locations under the jurisdiction of the Commission to the stewards and the official veterinarian and compliance with the rules in this chapter governing postmortem examinations;
 - (i) Maintaining a knowledge of the medication record and status;
 - (j) Immediately reporting to the stewards and the official veterinarian knowledge or reason to believe, that there has been any administration of a prohibited medication, drug or substance;
 - (k) Ensuring the fitness to perform creditably at the distance entered;
 - (l) Ensuring that every horse he/she has entered to race is present at its assigned stall for a pre-race soundness inspection as prescribed in this chapter;
 - (m) Ensuring proper bandages, equipment and shoes;
 - (n) Presence 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;
 - (o) Personally attending in the paddock and supervising the saddling thereof, unless excused by the stewards; and

- (p) Attending the collection of a urine or blood sample or delegating a licensed employee or the owner to do so.

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

Version 2.1 to 3.0 ARCI 4/3/04 NAPRA 4/3/04: Modify rule language

Version 6.1 to 6.2 ARCI Meeting of the Members 3/24/2016 Amended ARCI-011-025, Language pertaining to Medical Labeling

ARCI-011-030 Physical Inspection of Horses

A. Assessment of Racing Condition

- (1) Every horse entered to participate in an official race shall be subjected to a veterinary inspection prior to starting in the race for which it is entered.
- (2) The inspection shall be conducted by the official veterinarian or the racing veterinarian.
- (3) The agency or the association employing the examining veterinarian(s) should provide a staffing level of not less than 2 veterinarians.
- (4) The trainer of each horse or a representative of the trainer must present the horse for inspection as required by the examining veterinarian. Horses presented for examination must have bandages removed; the legs must be clean. Prior to examination horses may not be placed in ice nor shall any device or substance be applied that impedes veterinary clinical assessment.
- (5) The assessment of a horse's racing condition shall include:
 - (a) Proper identification of each horse inspected;
 - (b) Observation of each horse in motion;
 - (c) Manual palpation and passive flexion of both forelimbs;
 - (d) Visual inspection of the entire horse and assessment of overall condition;
 - (e) Clinical observation in the paddock and saddling area, during the parade to post and at the starting gate, during the running of the race, and following the race until the horse has exited the race track; and,
 - (f) Any other inspection deemed necessary by the official veterinarian and/or the racing veterinarian.
- (6) The official veterinarian and/or the racing veterinarian shall maintain a permanent continuing health and racing soundness record of each horse inspected.
- (7) The official veterinarian and/or the racing veterinarian are authorized access to any and all horses housed on association grounds regardless of entry status.
- (8) If, prior to starting, a horse is determined to be unfit for competition, or if the veterinarian is unable to make a determination of racing soundness, the veterinarian will recommend to the Stewards the horse be scratched.
- (9) Horses scratched upon the recommendation of the official veterinarian and/or the racing veterinarian are to be placed on the Veterinarian's List.

B. Veterinarian's List

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- (1) The official veterinarian shall maintain the Veterinarian's List of all horses which are determined to be unfit to compete in a race due to illness, unsoundness, injury, infirmity, heat exhaustion, positive test or overage, administration of a medication invoking a mandatory stand down time, administration of shock-wave therapy, positive out-of-competition test, or any other assessment or determination by the regulatory veterinarian that the horse is unfit to race.
- (2) Horses so listed are ineligible to start in a race in any jurisdiction until released by an official veterinarian or racing veterinarian except when there is an unforeseen administrative issue in releasing the horse from the Veterinarian's List of another racing jurisdiction.
- (3) A horse may be released from the Veterinarian's List when a minimum of seven days has passed from the time the horse was placed on the Veterinarian's List.
- (4) A horse placed on the Veterinarian's List for being unfit to compete in a race due to illness, physical distress, unsoundness, injury, infirmity, heat exhaustion, or any other assessment of determination by the regulatory veterinarian that warrants withdrawal from the race shall be released from the list only after the following has been met:
 - a. establish or demonstrate to the satisfaction of the official veterinarian or the racing veterinarian that the horse is serviceably sound and in fit physical condition to exert its best effort in a race or pass the Assessment of Racing Condition by the official veterinarian and/or the racing veterinarian,
 - b. provide a published work of a minimum of four furlongs at 0:52 for Thoroughbreds (220 yards at 13.3 seconds for Quarter Horses) observed by the official veterinarian and/or the racing veterinarian for horses that are listed as unsound or lame; other listed reasons above may be required to work at the discretion of the official veterinarian. Prior to such work, a declaration in writing must be provided by the attending veterinarian as to the fitness of the subject horse, and,
 - c. submit to a post-work biologic sample collection for laboratory confirmation for compliance with ARCI-011-020 at the expense of the current owner unless otherwise provided in the local jurisdiction. Violations of ARCI-011-020 may result in penalties consistent with ARCI-011 Equine Veterinary Practices, Health, and Medication.
- (5) A horse placed on the Veterinarian's List for Positive Test or Overage, administration of a medication invoking a mandatory stand down time, administration of shock-wave therapy, positive out-of-competition test, or any other veterinary administrative withdrawal shall be released from the list only after the following have been met:
 - a. establish or demonstrate to the satisfaction of the official veterinarian or the racing veterinarian that the horse is serviceably sound and in fit physical condition to exert its best effort in a race or it has passed the

Assessment of Racing Condition by the official veterinarian and/or the racing veterinarian, and

- b. at the discretion of the official veterinarian, it has provided a published work at a minimum of four furlongs in 0:52 (220 yards in 13.3 seconds for Quarter Horses) observed by the official veterinarian and/or the racing veterinarian and submit to a post-work biologic sample collection for laboratory confirmation for compliance with ARCI-011-020 at the expense of the current owner. Violations of ARCI-011-020 may result in penalties consistent with ARCI-011 Equine Veterinary Practices, Health, and Medication.
- (6) Horses having generated a positive finding on a biological sample collected pursuant to this section shall not be released from the vet's list until generating a negative test.

C. Postmortem Examinations

- (1) The Commission may require a postmortem examination of any horse that dies or is euthanized on association grounds.
- (2) The Commission may require a postmortem examination of any horse that dies or is euthanized at recognized training facilities within this jurisdiction.
- (3) If a postmortem examination is to be conducted, the Commission shall take possession of the horse upon death for postmortem examination. All shoes and equipment on the horse's legs shall be left on the horse.
- (4) If a postmortem examination is to be conducted, the Commission or its representative shall collect blood, urine, bodily fluids, or other biologic specimens immediately, if possible before euthanization. The Commission may submit blood, urine, bodily fluids, or other biologic specimens collected during a postmortem examination for analysis. The presence of a prohibited substance in a specimen collected during the postmortem examination may constitute a violation.
- (5) All licensees shall be required to comply with postmortem examination requirements as a condition of licensure. In proceeding with a postmortem examination the Commission or its designee shall coordinate with the owner or the owner's authorized agent to determine and address any insurance requirements.
- (6) Postmortem examinations shall be conducted according to the most recent edition of the *American Association of Equine Practitioners Guidelines for the Necropsy of Racehorses*.

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

Version 2.1 to 3.0 ARCI 4/3/04 NAPRA 4/3/04: Modify rule language

Version 4.4 to 4.5 ARCI 4/23/09 Amend language

Version 4.6 to 4.7 ARCI Board 12/6/09 Amended Postmortem Examination

Version 7.0 to 8.0 ARCI Board 4/20/2017 Amended ARCI-011-030(B)

(EDITOR'S NOTE: The information below is included for commissions' use in case it is required because of it being cited in the above rule. It is not part of the Model Rules rather it is only included for reference.)

The Association of Racing Commissioners International
Model Rules of Racing

AAEP GUIDELINES FOR THE NECROPSY OF RACEHORSES

General Guidelines

The AAEP recommends that all horses that die or are euthanized at a licensed racetrack or training facility undergo a complete necropsy by a board-certified veterinary pathologist at an accredited veterinary diagnostic laboratory. Necropsy findings should be entered into The Jockey Club Equine Injury Database.

It is recommended that regular communication and interaction between the on-site regulatory veterinarian(s), practicing racetrack veterinarians, and the pathology staff at the diagnostic laboratory be established. This will enhance the necropsy process and the resultant information. It will also facilitate collaborative efforts when specific research interests are identified.

Transportation options for necropsy cases should be identified prior to need. Storage, pending transport, and transportation of the body should be managed in such a way that tissue degradation and the development of post-mortem artifacts are minimized. Care should also be taken to employ good infection control practices with respect to equine infectious and/or zoonotic disease.

If time or distance constraints preclude the transport of a deceased horse to the veterinary diagnostic laboratory, a field necropsy is recommended.

Field Necropsy

It is recommended for racetracks where field necropsy must be performed that a dedicated facility be available for performing necropsies. This facility should be located in a secluded area and be enclosed and covered for both privacy and protection from the elements. (A temperature-controlled environment is recommended in areas where extreme weather conditions may exist.) Facility design should allow an equine ambulance to drive through. The enclosure should contain a large, well-drained concrete or asphalt slab with a rough finish providing adequate traction. Ample hot and cold water supply and hose are required to clean the area. Disinfection and/or sanitization protocols should be employed following each necropsy.

Field necropsy requires advance communication with carcass removal companies to determine requirements to insure that necropsied remains can be removed. Carcass removal and disposal should be performed by a licensed animal disposal company and in compliance with local, state, and federal regulations.

Regulatory veterinarians are encouraged to seek guidance from veterinary pathologists to establish field necropsy protocols. Minimum standards for field necropsy are as follows:

For appendicular injuries, the affected limb at the site of the injury should undergo gross dissection (+/- diagnostic imaging, toxicology, histopathology) and appropriate documentation of findings (written description and photography). The necropsy report should include identification of the affected anatomical structure(s) including a description of gross lesions found in bones, joints, ligaments, tendons, skin and blood vessels.

For non-appendicular conditions, reasonable effort should be made to determine and document the cause of death. For sudden death occurring during or immediately after a race, the cardiovascular and respiratory systems warrant as comprehensive an examination as is possible.

Race-related Fatalities

For race-related fatalities, a ‘best practice’ inquest protocol is recommended that incorporates ante-mortem information (examples include: interviews with personnel relevant to the horse and/or the incident, exercise history, race replay video, medical history) and post-mortem findings.

Ante- or immediately post-mortem blood samples (and urine, when available) should be collected, maintained under chain of custody protocols, and submitted to the official racing laboratory.

Approved by the AAEP Board of Directors, August 2009.