

## 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.

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- (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.

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