The Association of Racing Commissioners International's

Model Rules of Racing

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The Association of Racing Commissioners International has drafted Model Rules of Racing for the use of the Pari-Mutuel Industry.

The Model Rules are seen as a living document that is amended as the need arises.

Interested parties that have proposals for rule changes should contact the RCI office at (859) 224-7070 to submit their proposals.

The RCI Model Rules Committee meetings are open to any interested member of the pari-mutuel industry or the public and all input regarding the rules is welcome.

The Model Rules are housed and maintained on the ARCI website.

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GENERAL DEFINITIONS - CHAPTER 1

ARCI-001-005 Purpose

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

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

ARCI-001-010 Terms

(1) **Act** is the enabling legislation permitting pari-mutuel racing and wagering in this jurisdiction

(2) **Added Money** is the amount exclusive of trophy added into a stakes by the association, or by sponsors, state-bred programs or other funds added to those monies gathered by nomination, entry, sustaining and other fees coming from the owners of racing animals.

(3) **Administer or Administration** is the introduction of a substance into the body of a horse or greyhound.

(4) **Appeal** is a request for the Commission or its designee to investigate, consider and review any decisions or rulings of stewards/judges of a meeting.

(5) **Associated person** is the spouse of an inactive person, or a companion, family member, employer, employee, agent, partnership, partner, corporation, or other entity whose relationship, whether financial or otherwise, with an inactive person would give the appearance that such other person or entity would care for or train a racing animal or perform veterinarian service on a racing animal for the benefit, credit, reputation, or satisfaction of the inactive person.

(6) **Association** is a person or business entity holding a license from the commission to conduct racing and/or pari-mutuel wagering.

(7) **Authorized Agent** is a person licensed by the Commission and appointed by a written instrument, signed and acknowledged before a notary public by the owner in whose behalf the agent will act.

(8) **Beneficial Interest** is profit, benefit or advantage resulting from a contract or the ownership of an estate as distinct from the legal ownership or control. When considered as designation of character of an estate, is such an interest as a devisee, legatee or donee takes solely for his own use or benefit and not as holder of title for use and benefit of another.

(9) **Breakage** is the net pool minus payout.

(10) **Business Day** is a day other than Saturday or Sunday or legal holiday.

(11) **Carryover** is non-distributed pool monies which are retained and added to a corresponding pool in accordance with these rules.

(12) **Cheek Piece** is two stripes of sheepskin or any other similar material that is attached to the cheek pieces of the bridle.

(13) **Commission** is the regulatory agency with the authority to regulate racing and/or pari-mutuel wagering.

(14) **Complaint** is a written allegation of a violation of these rules.

(15) **Contest** is a competitive racing event on which pari-mutuel wagering is conducted.

(16) **Contestant** is an individual participant in a contest.

(17) **Controlled Substance** is any substance included in the five classification schedules of the (U.S.) Controlled Substance Act of 1970.

(18) **Controlled Therapeutic Medication** is any medication approved by the Association of Racing Commissioners International for which the regulatory analyte concentration in the sample(s) may not exceed specified regulatory limits published herein.

(19) **Course** is the track over which contestants race.

(20) **Day** is a 24-hour period ending at midnight.

(21) **Dark Day** - A day during a live or a simulcast race meeting when no pari-mutuel wagering is conducted.

(22) **Ejection** is the removal of a person from the areas under the jurisdiction of the Commission.

(23) **Episodic Random Testing** is a strategy of testing for alcohol or controlled substances, which provides for random testing for periods with varying durations. The periods of random testing ordinarily are related to circumstances, such as the beginning of a race meeting, when an influx of new licensees raises concern about increased probability of substance abuse. Episodic testing for alcohol or controlled substances may be started without notice and may be terminated as circumstances make it advisable to do so.

(24) **Exclusion** -The act of preventing a person from entering or remaining on the grounds of any association and/or simulcast facility under the jurisdiction of the Commission.

(25) **Exhibition Race** is a race on which no wagering is permitted.

(26) **Expired Ticket** is an outstanding ticket which was not presented for redemption within the required time period for which it was issued.

(27) **False Start** is when a horse(s) exits prematurely through the front of the gates prior to the starter officially dispatching the field regardless of cause. This does not include a horse which exits through the front of the gates and is subsequently reloaded.

(28) **Financial Interest** is an interest that could result in directly or indirectly receiving a pecuniary gain or sustaining a pecuniary loss as a result of ownership or interest in a contestant or business entity; or as a result of salary, gratuity or other compensation or remuneration from any person. The lessee and lessor of a contestant have a financial interest.

(29) **Forfeit** is money due from a licensee because of error, fault, neglect of duty, breach of contract or a penalty imposed by the stewards/judges or the Commission.

(30) **14-day Record** is confidential to the extent allowed by law and it shall include the following information regarding veterinary treatments:

i. the name of the horse treated;

ii. any medication, drug, substance, or procedure administered or prescribed by a veterinarian within 14 days prior to working off the vet's list or racing; and
iii. the date and time of treatment

(31) **Guest Association** is an association which offers licensed pari-mutuel wagering on contests conducted by another association (the host) in either the same jurisdiction or another jurisdiction.

(32) **Handle** is the total amount of all pari-mutuel wagering sales excluding refunds and cancellations.

(33) **Host Association** is the association conducting a licensed pari-mutuel meeting from which authorized contests or entire performances are simulcast.

(34) **Inactive person** is any person whose license has been suspended for more than 30 days; whose license has expired or been revoked; or whose license application has been denied.

(35) **Laboratory** is the facility designated by the commission for testing samples.

(36) **Licensee** is any person or entity holding a license from the Commission to engage in racing or a regulated activity.

(37) **Maiden Race** - A contest restricted to non-winners.

(38) **Match Race** -A race between two or more contestants under conditions agreed to by their owners.

(39) **Measurement Uncertainty** – is a parameter associated with the results of a measurement that characterizes the dispersion of the values that could reasonably be attributed to the measurement.

(40) **Medication** is any substance or metabolite capable of exerting a pharmacological effect on the horse's or greyhound's system with an accepted use in the diagnosis, cure, treatment or prevention of a veterinary medical condition.

(41) **Meeting** is the specified period and dates each year during which an association is authorized to conduct racing and/or pari-mutuel wagering by approval of the Commission.

(42) **Minus Pool** occurs when the payout is in excess of the net pool.

(43) **Month** is a calendar month.

(44) **Net Pool** is the amount of gross ticket sales less refundable wagers and statutory commissions.

(45) **No Contest** is a race cancelled for any reason by the stewards/judges. Any race designated as "For Purse Money Only" shall also be treated as a "No Contest" for Pick (n) wagering purposes, with all runners considered winners.

(46) **NSAID Stacking** is deemed to occur when a post-race sample is found to contain the presence of multiple Non-Steroidal Anti-Inflammatory Drugs in violation of the restrictions noted in ARCI-11-020(E) or ARCI-025-020(E).

(47) **Official Order of Finish** is the order of finish of the contestants in a contest as declared official by the stewards/judges.

(48) **Outstanding Ticket** is a winning or refundable pari-mutuel ticket which was not cashed during the performance for which it was issued; also known as "Outs".

(49) **Overage** is a finding certified by the laboratory that a regulatory analyte from a controlled therapeutic medication is present in the sample in an amount that exceeds the regulatory limit.[1]

(50) **Owner** is a person who holds any title, right or interest, whole or partial in a contestant, including the lessee and lessor of a contestant.

(51) **Pari-Mutuel System** is the manual, electro-mechanical or computerized system and all software (including the totalisator, account betting system and off-site betting equipment) that is used to record bets and transmit wagering data.

(52) **Pari-Mutuel Wagering** is a form of wagering on the outcome of an event in which all wagers are pooled and held by an association for distribution of the total amount, less the deductions authorized by law, to holders of tickets on the winning contestants.

(53) **Patron** is a member of the public present on the grounds of a pari-mutuel association during a meeting for the purpose of wagering or to observe racing.

(54) **Payout** is the amount of money payable to winning wagers.

(55) **Performance** is a schedule of races run consecutively as one program.

(56) **Person** is any individual, partnership, corporation or other association or entity.

(57) **Place** - To finish second in a race. In wagering, to finish first or second in a race.

(58) **Positive Test** is a finding certified by the Laboratory that a regulatory analyte from a Prohibited Substance is present in the sample in an amount that exceeds the regulatory limit.

(59) **Preponderance of Evidence** is greater weight of evidence, or evidence which is more credible.

(60) **Prima Facie Evidence** is evidence that, until its effect is overcome by other evidence, will suffice as proof of fact in issue.

(61) **Primary Laboratory** is a facility designated by the Commission for the testing of samples.

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[1] The working group deferred consideration of the EDE issue. Discussion needed. [2]
EDE issue deferred

(62) **Profit** is the net pool after deduction of the amount bet on the winners.

(63) **Profit Split** is a division of profit amongst separate winning betting interests or winning betting combinations resulting in two or more payout prices.

(64) **Prohibited Substance** is any substance, other than controlled therapeutic medication, or vaccine, equine anthelmintic, antibiotic, equine feed supplement, vitamins and minerals (collectively, "horse health and husbandry products"), for which the regulatory analyte concentration in samples may not exceed specified regulatory limits published herein.[2]

(65) **Program** is the published listing of all contests and contestants for a specific performance.

(66) **Paper/Program Trainer** is a licensed trainer who solely for the purposes of the official race program is identified as the trainer of a horse that is actually under the control of and trained by another person who may or may not hold a current trainer's license in any jurisdiction. For any given horse an individual cannot be the trainer and the program trainer at the same time.[2]

(67) **Purse** is the total dollar amount for which a race is contested.

(68) **Race** is a contest between contestants at a licensed meeting.

(69) **Race Day** - A day during a race meeting when pari-mutuel wagering is conducted on live racing.

(70) **Random Testing** is a strategy for testing for alcohol or controlled substances not based on a reasonable belief that an individual has drugs or alcohol in his/ her system that assures that all affected individuals have an equal probability of being selected for testing.

(71) **Reasonable Cause/Reasonable Suspicion Testing** is a strategy for testing for alcohol or controlled substances based on an official's having good reason to believe that a licensee has alcohol or controlled substances in his/her system.

(72) **Regulatory Analyte** is an analyte or substance identified and, where appropriate, quantified in a specified matrix for regulatory purposes.

(73) **Regulatory Limit** is the concentration of a specified regulatory analyte that has been defined and published by the Racing Medication and Testing Consortium and adopted by the commission such that exceeding the specified concentration is either an overage or a positive test.

(74) **Relevant Regulatory Authority:** The Relevant Regulatory Authority is the Regulatory Authority under which the horse is entered to race or scheduled to work off the Veterinarian's List.

[2] Please see ARCI-008-010 General Provisions (Q) Relationships with Inactive Persons, Prohibited.

(75) **Restricted Area** is an enclosed portion of the association grounds to which access is limited to licensees whose occupation or participation requires access.

(76) **Result** is that part of the official order of finish used to determine the pari-mutuel payout of pools for each individual contest.

(77) **Sample** is a portion of any bodily substance or fluid, including but not limited to, tissue, hair, blood or urine obtained from a horse or greyhound at the direction of the commission for the purposes of determining the presence and/or concentration of regulatory analytes.

(78) **Show** - To finish third in a race. In wagering, to finish first, second or third in a race.

(79) **Simulcast** is the live audio and visual transmission of a contest to another location for parimutuel wagering purposes.

(80) **Simulcast Race Day** - A day during a race meeting when pari-mutuel wagering is conducted on simulcast racing.

(81) **Single Price Pool** is an equal distribution of profit to winning betting interests or winning betting combinations through a single payout price.

(82) **Split Sample Laboratory** is a facility approved by the Commission to test split samples.

(83) **Substantial Evidence** is evidence which a reasoning mind would accept as sufficient to support a particular conclusion and consists of more than a mere scintilla of evidence but may be somewhat less than a preponderance.

(84) **Takeout** is the total amount of money, excluding breakage, withheld from each pari-mutuel pool, as authorized by statute or rule.

(85) **Trainer** is a person who holds a valid trainer's license and who has a horse eligible to race under his care, custody, or control at the time entry is made.

(86) **Week** is a calendar week.

(87) **Win** - To finish first in a race.

(88) **Withdrawal Time Guideline**[3] means as published herein:

(a) The specified time period before a race to cease Administration of a controlled therapeutic medication so as to minimize the risk of overage;

(b) Specification of the dose of controlled therapeutic medication;

(c) specification of the route of administration;

[3] This term may be changed following a discussion as to whether the withdrawal time guidelines should be actually restricted administration times.

(d) (d) the regulatory limit;

(e) the frequency and duration of administration.

(89) **Year** is a calendar year.

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 4.4 to 4.5 ARCI 4/23/09: Added new definitions
Version 4.8 to 4.9 ARCI Board of Directors 7/27/11: Added False Start
Version 5.0 to 5.1 ARCI Board of Directors 4/27/2012 Added Cheek Piece, Program Trainer and Trainer
Version 5.2 to 5.3 ARCI Board of Directors 12/7/2012 Added and modified several drug/medication related definitions. version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Added definition for NSAID Stacking
Version 8.5 to 9.0 ARCI Board of Directors 04/04/2019 added definitions for 14-day Record and Relevant Regulatory Authority
Version 13.1 to 14 ARCI Board of Directors 5/7/25 amended (45) – definition of No Contest

COMMISSION - CHAPTER 2

ARCI-002-005 Purpose

(1) The _____ Racing Commission, created by the Act, ____ Civil Statutes, Article ____, is charged with implementing, administering and enforcing the Act. It is the intent of the Commission that the rules of the Commission be interpreted in the best interests of the public and the jurisdiction.

(2) Through these rules, the Commission intends to encourage agriculture, the _____ breeding industry, the _____ training industry, tourism and employment opportunities in this jurisdiction related to _____ racing and to control and regulate pari-mutuel wagering in connection with that _____ racing. *(Adapt as necessary to conform with statute.)*

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

ARCI-002-010 General Authority

(1) The Commission shall regulate each race meeting and the persons who participate in each race meeting.

(2) Pursuant to the authority granted in the Act the Commission may delegate to the executive director and the stewards/judges all powers and duties necessary to fully implement the purposes of the Act.

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

ARCI-002-015 Membership and Meetings

(1) The Commission consists of ___ members appointed as prescribed by statute. *(Insert appropriate language describing the makeup of the Commission.)*

(2) *(Insert appropriate language describing the procedure for designating or electing Commission officers.)*

(3) The Commission shall meet at the call of the chair or a majority of the members, or as otherwise provided by statute. Notice of the meetings must be given and the meetings must be conducted in accordance with the Open Meetings Act, ___ Civil Statutes, Article ___.

(4) A majority of the Commission constitutes a quorum. When a quorum is present, a motion before the Commission is carried by an affirmative vote of the majority of the Commissioners present at the meeting.

(5) Except as otherwise provided by the Act, the Commission rules and orders are subject to the Administrative Procedures Act, ___ Civil Statutes, Article ___.

(6) A Commission member may not act in the name of the Commission on any matter without a majority vote of a quorum of the Commission.

ARCI-002-020 Annual Report

The Commission shall submit an annual report as prescribed by statute.

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

ARCI-002-025 Employees

(1) The Commission shall employ an executive director who shall employ other employees necessary to implement, administer and enforce the Act.

(2) The executive director shall maintain the records of the Commission and shall perform other duties as required by the Commission. Except as otherwise provided by a rule of the Commission, if a rule of the Commission places a duty on the executive director, the executive director may delegate that duty to another employee of the Commission. The Commission and the executive director may not employ or continue to employ a person:

(3) who owns a financial interest in an association in this jurisdiction;

(4) who accepts remuneration from an association in this jurisdiction;

(5) who is an owner, lessor or lessee of a contestant that is entered in a race in this jurisdiction; or

(6) who accepts or is entitled to a part of the purse or purse supplement to be paid on a contestant in a race held in this jurisdiction.

(7) Commission employees shall not wager in any pari-mutuel pool at any facility or through any pari-mutuel system subject to the jurisdiction of this Commission.

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

ARCI-002-030 Power Of Entry

(1) A member or employee of the Commission, a steward/judge , a peace officer or a designee of such a person may enter any area on association grounds or other place of business of an association at any time to enforce or administer the Act or Commission rules.

(2) An association or an officer, employee or agent of an association may not hinder a person who is conducting an investigation under or attempting to enforce or administer the Act or Commission rules.

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

ARCI-002-035 Subpoenas

(1) A member of the Commission, the executive director, the stewards/judges, the presiding officer of a Commission proceeding or other person authorized to perform duties under the

Act may require by subpoena the attendance of witnesses and the reproduction of books, records, papers, correspondence and other documents.

(2) A member of the Commission, the executive director, a presiding officer of a Commission proceeding or other person authorized by the Commission may administer an oath or affirmation to a witness appearing before the Commission or a person authorized by the Commission.

(3) Each party is responsible for proper service of any subpoenas it requests and for the payment of witness fees and expenses as provided by this jurisdiction's civil procedures statute.

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

ARCI-002-040 Ejection/Exclusion

(1) The stewards/judges, executive director or Commission may order an individual ejected or excluded from all or part of any premises under the regulatory jurisdiction of the Commission if the stewards/judges, executive director or Commission determine that:

(2) the individual may be ejected or excluded under Sec. ___ of the Act; and

(3) the individual's presence on association grounds is inconsistent with maintaining the honesty and integrity of racing.

(4) If an exclusion is ordered, the excluded individual is entitled to a hearing before the stewards/judges or Commission. A hearing on an exclusion shall be conducted in the same manner as other hearings conducted by the stewards/judges or Commission.

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

ARCI-002-045 Records

(1) Except as otherwise provided by the Act, Commission records are subject to the ___ Open Records Act, ___ Civil Statutes, Article ___.

(2) Except as otherwise authorized by statute, all original records of the Commission shall be maintained in the main offices of the Commission. No person may remove an original record from the offices of the Commission without the approval of the executive director.

(3) To inspect Commission records, a person must make a written request to the executive director on a form prescribed by the Commission and must pay all costs including preparing or copying the record and postage, if applicable. The Commission shall determine the costs involved in preparing and copying Commission records as provided by statute.

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

ARCI-002-050 Allocation Of Race Dates And Permits

(1) The Commission shall allocate race dates and permits to each association in accordance with the Act and these rules. An association shall apply to the Commission not later than ___of each year for race dates to be conducted in the next calendar year. Applications shall not be received or amended after this date except by approval of a majority of the Commission. The application must contain the information required by statute and the Commission. After the request is filed, the Commission may require the association to submit additional information.

(2) The burden of proof is on the association to demonstrate that the allocation of the race dates will be in the public interest and will achieve the purposes of the Act.

(3) In allocating race dates under this section, the Commission may consider the following factors: (Insert the appropriate criteria for race date allocation.)

(4) The association shall be obligated to conduct pari-mutuel racing, except in the case of emergencies, on each race date allocated. Any change in race dates must be approved by the Commission. In the case of emergencies the stewards/judges may authorize cancellation of all or a portion of any race day.

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

DUE PROCESS AND HEARINGS - CHAPTER 3

ARCI-003-005 Purpose

To describe the rules of procedure for stewards'/judges' hearings and commission proceedings.

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

ARCI-003-010 Proceedings By Stewards/Judges

A. Rights of the Licensee

A person who is the subject of the disciplinary hearing conducted by the stewards/judges is entitled to:

(1) proper notice of all charges;

(2) confront the evidence presented including:

(a) the right to counsel at the person's expense;

(b) the right to examine all evidence to be presented against him/her;

(c) the right to present a defense;

(d) the right to call witnesses;

(e) the right to cross examine witnesses; and (f) waive any of the above rights.

B. Complaints

(1) A complaint must be in writing and filed with the stewards/judges not later than ___ after the action that is the subject of the complaint.

(2) On their own motion or on receipt of a complaint from an official or other person regarding the actions of a licensee, the stewards/judges may conduct an inquiry and disciplinary hearing regarding a licensee's actions.

C. Summary Suspension

(1) If the stewards/judges determine that a licensee's actions constitute an immediate danger to the public health, safety or welfare, the stewards/judges may summarily suspend the license pending a hearing.

(2) A licensee whose license has been summarily suspended is entitled to a hearing on the summary suspension not later than the ___ day after the license was summarily suspended.

The licensee may waive his/her right to a hearing on the summary suspension within the ___ -day limit.

(3) The stewards/judges shall conduct a hearing on the summary suspension in the same manner as other disciplinary hearings. At a hearing on a summary suspension, the sole issue is whether the licensee's license should remain suspended pending a final disciplinary hearing and ruling.

D. Notice

(1) Except as provided by these rules regarding summary suspensions, the stewards/judges shall provide written notice at least ___ before the hearing to a person who is the subject of a disciplinary hearing. The person may waive his/her right to ___ notice by executing a written waiver.

(2) Notice given under this section must include:

(a) a statement of the time, place and nature of the hearing;

(b) a statement of the legal authority and jurisdiction under which the hearing is to be held;

(c) a reference to the particular sections of the statutes or rules involved;

(d) a short, plain description of the alleged conduct that has given rise to the disciplinary hearing;

(e) the possible penalties that may be imposed; and

(f) a statement summarizing the rights of the licensee as outlined in Subsec. A, 2 a-e of this rule.

(3) If possible, the stewards/judges or their designee shall hand deliver the written notice of the disciplinary hearing to the person who is the subject of the hearing. If hand delivery is not possible, the stewards/judges shall mail the notice to the person's last known address, as found in the Commission's licensing files, by regular mail and by certified mail, return receipt requested. If the disciplinary hearing involves an alleged medication violation that could result in the disqualification of a contestant, the stewards/judges shall provide notice of the hearing to the owner, managing owner or lessee of the contestant in the manner provided by this subsection.

(4) Nonappearance of a summoned party after adequate notice shall be construed as a waiver of the right to a hearing before the stewards/judges. The stewards/judges may suspend the license of a person who fails to appear at a disciplinary hearing after written notice of the hearing has been sent, in compliance with this subsection.

E. Continuances

(1) Upon receipt of a notice, a person may request a continuance of the hearing.

(2) The stewards/judges may grant a continuance of any hearing for good cause shown.

(3) The stewards/judges may at any time order a continuance on their own motion.

F. Evidence

(1) Each witness at a disciplinary hearing conducted by the stewards/judges must be sworn by the presiding steward/judge.

(2) The stewards/judges shall allow a full presentation of evidence and are not bound by the technical rules of evidence. However, the stewards/judges may disallow evidence that is irrelevant or unduly repetitive of other evidence. The stewards/judges shall have the authority to determine, in their sole discretion, the weight and credibility of any evidence and/or testimony. The stewards/judges may admit hearsay evidence if the stewards/judges determine the evidence is of a type that is commonly relied on by reasonably prudent people. The rules of privilege recognized by state law apply in hearings before the stewards/judges.

(3) The burden of proof is on the person bringing the complaint to show, by a preponderance of the evidence, that the licensee has violated or is responsible for a violation of the Act or a Commission rule.

(4) The stewards/judges shall make a tape recording of a disciplinary hearing. A copy or a transcript of the recording may be made available at the expense of the requesting person.

G. Ruling

(1) The issues at a disciplinary hearing shall be decided by a majority vote of the stewards/judges. If the vote is not unanimous, the dissenting steward/judge shall include with the record of the hearing a written statement of the reason(s) for the dissent.

(2) A ruling by the stewards/judges must be on a form prescribed by the Commission and include:

(a) the full name, social security number, date of birth, last record address, license type and license number of the person who is the subject of the hearing;

(b) a statement of the charges against the person, including a reference to the specific section of the Act or rules of the Commission that the licensee is found to have violated; (c) the date of the hearing and the date the ruling was issued;

(d) the penalty imposed;

(e) any changes in the order of finish or purse distribution;

(f) other information required by the Commission and;

(3) A ruling must be signed by a majority of the stewards/judges.

(4) If possible, the stewards/judges or their designee shall hand deliver a copy of the ruling to the person who is the subject of the ruling. If hand delivery is not possible, the stewards/judges shall mail the ruling to the person's last known address, as found in the Commission's licensing files, by regular mail and by certified mail, return receipt requested. A copy of the ruling shall be electronically submitted to the NAPRA or RCI Ruling Data-Base, and if the ruling includes the disqualification of a contestant, the stewards/judges shall provide a copy of the ruling to the owner of the contestant, the bookkeeper, the appropriate past performance service(s).

(5) At the time the stewards/judges inform a person who is the subject of the proceeding of the ruling, the stewards/judges shall inform the person of the person's right to appeal the ruling to the Commission.

(6) All fines imposed by the stewards/judges shall be paid to the Commission within ___ after the ruling is issued, unless otherwise ordered.

H. Effect of Rulings

(1) Rulings against a licensee apply to another person if continued participation in an activity by the other person would circumvent the intent of a ruling by permitting the person to serve, in essence, as a substitute for the ineligible licensee.

(2) The transfer of a contestant to avoid application of a Commission rule or ruling is prohibited.

I. Appeals

(1) A person aggrieved by a ruling of the stewards/judges may appeal to the Commission except as provided in # 6 of this subsection. A person who fails to file an appeal by the deadline and in the form required by this section waives the right to appeal.

(2) An appeal under this section must be filed with the Commission's executive director not later than ___. If the Commission determines the appeal to be frivolous, the appellant may be subject to a fine.

(3) An appeal must be in writing on a form prescribed by the Commission. The appeal must include:

(a) the name, address, telephone number and signature of the person making the appeal; and

(b) a statement of the basis for the appeal

(4) On notification by the Commission that an appeal has been filed, the stewards/judges shall forward to the Commission the record of the proceeding on which the appeal is based.

(5) If a person against whom a fine has been assessed files an appeal of the ruling that assesses the fine, the person shall pay the fine in accordance with these rules. If the appeal is disposed of in favor of the appellant, the Commission shall refund the amount of the fine.

(6) A decision by the stewards/judges regarding a disqualification during the running of the race is final and may not be appealed to the Commission.

J. Stay

(1) A person who has been disciplined by a ruling of the stewards/judges may apply to the executive director for a stay of the ruling.

(2) An application for a stay must be filed with the Commission's executive director not later than the deadline for filing an appeal.

(3) An application for a stay must be in writing and include:

(a) the name, address and telephone number and signature of the person requesting the stay; and

(b) a statement of the justification for the stay.

(4) The executive director may grant a stay for cause. The executive director shall notify the person in writing of the decision. The executive director may rescind a stay granted under this subsection for reasonable cause.

(5) The fact that a stay is granted is not a presumption that the ruling by the stewards/judges is invalid.

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

ARCI-003-015 Proceedings By The Commission

A. Party Designations

(1) A person who is the subject of a disciplinary hearing, who filed an appeal from a stewards/judges' ruling or who otherwise seeks relief from the Commission is a party to that proceeding.

(2) A party to a proceeding has the right to present a direct case, cross examine each witness, submit legal arguments and otherwise participate fully in the proceeding.

(3) A party summoned to appear at a hearing must appear unless he/she is excused by the Commission presiding officer. Parties may appear with counsel or other representatives of their choice.

(4) A non-party to a proceeding who wishes to appear in a contested case pending before the Commission must prove that he/she has an effected interest sufficient to create standing in the case. The burden of proof is on the party asserting standing in such a contested case.

B. Notice

(1) Not less than ___ days before the date set for a hearing, the Commission shall serve written notice on each party of record to the proceeding. The person may waive his/her right to said notice by executing a written waiver.

(2) The Commission shall mail the notice to the person's last known address, as found in the Commission's licensing files, by regular mail and by personal service or certified mail, return receipt requested.

(3) A notice of the hearing must include:

a. statement of time, place and nature of the hearing;

b. statement of the legal authority and jurisdiction under which the hearing is to be held;

c. reference to the particular sections of the statutes and rules involved;

d. short, plain statement of the matters asserted; and

e. any other statement required by law.

(4) If the Commission determines that a material error has been made in a notice of hearing, or that a material change has been made in the nature of a proceeding after notice has been issued, the Commission shall issue a revised notice. The party who has caused the change or error requiring revised notice shall bear the expense of giving revised notice.

(5) A party to a proceeding may move to postpone the proceeding. The motion must be in writing, set forth the specific grounds on which it is sought and be filed with the Commission before the date set for hearing. If the person presiding over the proceeding grants the motion for postponement, the Commission shall cause new notice to be issued.

(6) After a hearing has begun, the presiding officer may grant a continuance on oral or written motion, without issuing new notice, by announcing the date, time and place for reconvening the hearing before recessing the hearing.

C. Subpoenas and Depositions

(1) A member of the Commission, the executive director, the stewards/judges, the presiding officer of a Commission proceeding or other person authorized to perform duties under the Act may require by subpoena the attendance of witnesses and the reproduction of books, records, papers, correspondence and other documents.

(2) A member of the Commission, the executive director, a presiding officer of a Commission proceeding or other person authorized by the Commission may administer an oath or affirmation to a witness appearing before the Commission or a person authorized by the Commission.

(3) Each party is responsible for proper service of any subpoenas it requests and for the payment of witness fees and expenses as provided by this jurisdiction's civil procedures statute.

(4) On written request by a party, the presiding officer may issue a subpoena addressed to a sheriff or any constable to require the attendance of witnesses and the production of books, records, papers or other objects as may be necessary and proper for the purposes of a proceeding. A motion for a subpoena to compel the production of books, records, papers or other objects shall be addressed to the appropriate person, shall be verified and shall specify the books, records, papers or other objects desired and the relevant and material facts to be proved by them.

(5) The Administrative Procedures Act, _____ Civil Statutes, Art. _____, Sec._____ governs the taking and use of depositions. Rule _____ of the _____ Rules of Civil Procedure governs admissions of fact and genuineness of documents.

D. Pleadings

(1) Pleadings filed with the Commission include appeals, applications, answers, complaints, exceptions, replies and motions. Regardless of an error in designation, a pleading shall be accorded its true status in the proceeding in which it is filed.

(2) A request for discovery or a response to a request for discovery is not a pleading and is not a part of the administrative record of a contested case unless the request or response is offered into evidence.

(3) A pleading for which the Commission staff has not prepared an official form must contain:

(a) the name of the pleader;

(b) the telephone number and street address of the pleader's residence and business and the telephone number and street address of the pleader's representative, if any;

(c) the jurisdiction of the Commission over the subject matter;

(d) a concise statement of the facts relied on by the pleader;

(e) a request stating the type of Commission action desired by the pleader;

(f) the name and address of each person who the pleader knows or believes will be affected if the request is granted;

(g) a proposed order, containing proposed findings of fact and conclusions of law;

(h) any other matter required by statute or Commission rule; and

(i) a certificate of service.

(4) A party filing a pleading shall mail or deliver a copy of the pleading to each party of record. If a party is being represented by an attorney or other representative, service must be made on the attorney or representative instead of on the party. The knowing failure of a party to make service in accordance with this subsection is grounds for the Commission to strike the pleading from the record.

(5) An objection to a defect, omission or fault in the form or content of a pleading must be specifically stated in a motion or an exception presented not later than the prehearing conference if one is held and not later than ___ before the date of the hearing if a prehearing conference is not held. A party who fails to timely file an objection under this subsection waives the objection.

(6) Except as otherwise provided by this subsection, a pleader may amend or supplement a pleading at any time before the ___ day after the date the pleading was filed, but not later than ___ days before the date of the hearing. A pleader may amend or supplement a pleading at any time:

(a) on written consent of each party of record; or

(b) as permitted by the presiding officer for the proceeding, when justice requires the amendment or supplementation and when the amendment or supplementation will not unfairly surprise another party.

(7) A pleading may adopt or incorporate by specific reference any part of a document in the official files and records of the Commission. This subsection does not relieve the pleader of the duty to allege in detail all facts necessary to sustain the pleader's burden of proof.

E. Conferences

(1) On written notice, the presiding officer may, on the officer's own motion or on the motion of a party, direct each party to appear at a specified time and place for a prehearing conference to formulate issues and consider any of the following:

(a) simplifying issues;

(b) amending the pleadings;

(c) making admissions of fact or stipulations to avoid the unnecessary introduction of proof; (d) designating parties;

(e) setting the order of procedure at a hearing;

(f) identifying and limiting the number of witnesses;

(g) resolving other matters that may expedite or simplify the disposition of the controversy, including settling issues in dispute; and

(h) identifying provisions and mandates of statute or rules relating to the issues.

(2) The presiding officer shall record the action taken at the prehearing conference unless the parties enter into a written agreement as to the action. The presiding officer may enter appropriate orders concerning prehearing discovery, stipulations of uncontested matters, presentation of evidence and scope of inquiry.

(3) During a hearing, on written notice or notice stated into the record, the presiding officer may direct each party or the representative of each party to appear for a conference to consider any matter that may expedite the hearing and serve the interests of justice. The presiding officer

shall prepare a written statement regarding the action taken at the conference and the statement must be signed by each party and made a part of the record.

F. Discovery

All motions for discovery shall be subject to the civil procedures statutes of this jurisdiction.

G. Reporters and Transcripts

(1) If necessary, the Commission shall engage a court reporter to make a stenographic record of a hearing. The Commission may allocate the cost of the reporter and transcript among the parties.

(2) If a person requests a transcript of the stenographic record, the Commission may assess the cost of preparing the transcript to the person.

(3) A party may challenge an error made in transcribing a hearing by noting the error in writing and suggesting a correction not later than ___ after the date the transcript is filed with the Commission. The party claiming errors shall serve a copy of the suggested corrections on each party of record, the court reporter and the presiding officer. If proposed corrections are not objected to before the ___ day after the date the corrections were filed with the Commission, the presiding officer may direct that the suggested corrections be made and the manner of making them. If the parties disagree on the suggested corrections, the presiding officer shall determine whether to change the record.

H. Nature of Hearings

(1) An appeal from a decision of the stewards/judges shall be a hearing on the record of the stewards/judges' hearing. The hearing may be a de novo hearing at the Commission's discretion.

(2) A hearing in a Commission proceeding is open to the public, however, witnesses may be excluded or sequestered. Commission deliberations may be conducted in private if permitted by statute.

(3) Unless precluded by law or objected to by a party, the Commission may allow informal disposition of a proceeding without a hearing. Informal disposition includes disposition by stipulation, agreed settlement, consent order and default.

I. Presiding Officers

(1) A member of the Commission, a Commission appointee or an administrative law judge may serve as the presiding officer for a Commission proceeding.

(2) The presiding officer may:

(a) authorize the taking of depositions;

(b) issue subpoenas to compel the attendance of witnesses and the production of papers and documents;

(c) administer oaths;

(d) receive evidence;

(e) rule on the admissibility of evidence and amendments to pleadings; (f) examine witnesses;

(g) set reasonable times within which a party may present evidence and within which a witness may testify;

(h) permit and limit oral argument;

(j) issue interim orders;

(j) recess a hearing from day to day and place to place;

(k) request briefs before or after the presiding officer files a report or proposal for decision;

(l) propose findings of fact and conclusions of law;

(m) propose orders and decisions; and

(n) perform other duties necessary to a fair and proper hearing.

(3) A person serving as the presiding officer of a proceeding must be a disinterested party to the proceeding.

J. Order of Hearing

(1) The presiding officer shall open the hearing, make a concise statement of its scope and purposes and announce that a record of the hearing is being made.

(2) When a hearing has begun, a party or a party's representative may make statements off the record only as permitted by the presiding officer. If a discussion off the record is pertinent, the presiding officer shall summarize the discussion for the record.

(3) Each appearance by a party, a party's representative or a person who may testify must be entered on the record.

(4) The presiding officer shall receive motions and afford each party of record an opportunity to make an opening statement.

(5) Except as otherwise provided by this subsection, the party with the burden of proof is entitled to open and close. The presiding officer shall designate who may open and close in a hearing on a proceeding if the proceeding was initiated by the Commission or if several proceedings are heard on a consolidated record.

(6) After opening statements, the party with the burden of proof may proceed with the party's direct case. Each party may cross examine each witness.

(7) After the conclusion of the direct case of the party having the burden of proof, each other party may present their direct case and their witnesses will be subject to cross examination.

(8) The members of the Commission and/or the presiding officer may examine any witnesses.

(9) At the conclusion of all evidence and cross examination, the presiding officer shall allow closing statements.

(10) Before writing a report or proposal for decision if required by law, the Commission or the presiding officer may call on a party for further relevant and material evidence on a issue. The Commission or the presiding officer may not consider the evidence or allow it into the record without giving each party an opportunity to inspect and rebut the evidence.

K. Behavior

(1) Each party, witness, attorney or other representative shall behave in all Commission proceedings with dignity, courtesy and respect for the Commission, the presiding officer and all other parties and participants.

(2) An individual who violates this section may be excluded from a hearing by the presiding officer.

L. Evidence

(1) All testimony must be given under oath administered by the presiding officer. The presiding officer may limit the number of witnesses and shall exclude all irrelevant, immaterial or unduly repetitious evidence.

(2) The presiding officer shall follow the rules of evidence as applied in administrative hearing procedures in this jurisdiction. The rules of privilege recognized by law in this jurisdiction apply in Commission proceedings.

(3) A party may object to offered evidence and the objection shall be noted in the record. A party, at the time an objection is made or sought, shall make known to the presiding officer the action the party desires. Formal exceptions to rulings by the presiding officer during a hearing are unnecessary.

(4) When the presiding officer rules to exclude evidence, the party offering the evidence may make an offer of proof by dictating or submitting in writing the substance of the proposed evidence, before the closing of the hearing. The offer of proof preserves the point for review. The presiding officer may ask a witness or offered witness questions necessary to indicate that the witness would testify as represented in the offer of proof. An alleged error in sustaining an objection to questions asked on cross examination is preserved without making an offer of proof.

(5) The presiding officer may take official notice of judicially cognizable facts and of facts generally recognized within the area of the Commission's specialized knowledge. The Commission shall notify each party of record before the final decision in a proceeding of each specific fact officially noticed, including any facts or other data in staff memoranda. A party must be given an opportunity to rebut the facts to be noticed.

(6) The special skills and knowledge of the Commission and the Commission staff may be used in evaluating the evidence.

(7) The presiding officer may receive documentary evidence in the form of copies or excerpts if the original is not readily available. On request, the presiding officer shall allow a party to compare the copy with the original. If many similar documents are offered in evidence, the presiding officer may limit the documents admitted to a number which are representative of the total number, or may require that the relevant data be abstracted from the documents and presented as an exhibit. If the presiding officer requires an abstract, the presiding officer shall allow each party or the party's representative to examine the documents from which the abstracts are made.

(8) The presiding officer may require prepared testimony in a hearing if the presiding officer determines that it will expedite the hearing without substantially prejudicing the interests of a

party. Prepared testimony consists of any document that is intended to be offered as evidence and adopted as sworn testimony by a witness who prepared the document or supervised its preparation. A person who intends to offer prepared testimony at a hearing shall prefile the testimony with the Commission on the date set by the presiding officer and shall serve a copy of the prepared testimony on each party of record. The presiding officer may authorize the late filing of prepared testimony on a showing of extenuating circumstances. The prepared testimony of a witness may be incorporated into the record as if read or received as an exhibit, on the witness being sworn and identifying the writing as a true and accurate record of what the testimony would be if the witness were to testify orally. The witness is subject to clarifying questions and to cross examination and the prepared testimony is subject to a motion to strike either in whole or in part.

(9) The party offering an exhibit shall tender the original of the exhibit to the presiding officer for identification. The party shall furnish one copy to the presiding officer and one copy to each party of record. A document received in evidence may not be withdrawn except with the permission of the presiding officer. If an exhibit has been offered, objected to and excluded and the party offering the exhibit withdraws the offer, the presiding officer shall return the exhibit to the party. If the party does not withdraw the offered exhibit, the exhibit shall be numbered for identification, endorsed by the presiding officer with the ruling on the exhibit and included in the record to preserve the exception.

(10) The presiding officer may allow a party to offer an exhibit in evidence after the close of the hearing only on a showing of extenuating circumstances and a certificate of service on each party of record.

M. Findings of Fact and Conclusions of Law

(1) The presiding officer may direct any party to draft and submit proposed findings of fact and conclusions of law or a proposal for decision. The presiding officer may limit the request for proposed findings to a particular issue of fact.

(2) Proposed findings of fact submitted under this section must be supported by concise and explicit statements of underlying facts developed from the record with specific reference to where in the record the facts appear.

(3) Only if the presiding officer requires the filing of proposed findings of fact or a proposal for decision is the Commission required to rule on the proposed findings of fact in accordance with statute. If a party is permitted but not required to submit proposed findings or a proposal for decision, the Commission is not required to rule on the party's proposed findings.

N. Proposal for Decision

(1) In a contested case, if a majority of the Commissioners have not heard the case or read the record, the Commission may not render a decision adverse to a party other than the Commission unless a proposal for decision is served on each party and each party has an opportunity to file exceptions and present briefs to the Commissioners. The proposal for decision must be prepared by the person who conducted the hearing and contain a statement of the reasons for the proposed decision and for each finding of fact and conclusion of law necessary to the proposed decision. The parties may waive the requirements of this subsection by written stipulation.

(2) The person preparing a proposal for decision under this section shall serve a copy of the proposal on each party of record.

(3) A proposal for decision may be amended by documents submitted by the parties without the amended proposal for decision being served on the parties. Unless the amended proposal for decision is served on all parties, amendments adopted by the Commission must be noted and embodied with specificity in the Commission's final order.

(4) A party of record may, not later than _____ days after the date of service of a proposal for decision, file exceptions to the proposal. A reply to an exception filed under this subsection must be filed not later than _____ days after the last day for filing the exceptions. A copy of each exception and reply must be served on all parties of record.

(5) After the expiration of time for filing exceptions and replies, the Commission shall consider the proposal for decision in open meeting. The Commission may: (a) adopt or modify the proposal for decision, in whole or in part;

(b) decline to adopt the proposal for decision, in whole or in part;

(c) remand the proceeding for further examination by the same or a different presiding officer; or

(d) direct the presiding officer to give further consideration to the proceeding with or without reopening the hearing.

(6) If on remand additional evidence is received which results in a substantial revision of the proposal for decision, a new proposal for decision shall be prepared, unless a majority of the Commission, on remand, has heard the case or read the record. A new proposal for decision must be clearly labeled as such and all parties of record are entitled to file exceptions, replies and briefs.

O. Dismissal

On its own motion or a motion by a party, the presiding officer may dismiss a proceeding, with or without prejudice, under conditions and for reasons that are just and reasonable, including:

(1) failure to timely pay all required fees to the Commission;

(2) unnecessary duplication of proceedings;

(3) withdrawal;

(4) moot questions or obsolete petitions; and

(5) lack of jurisdiction.

P. Orders

(1) Except as otherwise provided by these rules, the Commission shall issue a final order not later than ___ after the conclusion of the hearing. A final order of the Commission must be in writing and be signed by a majority of the members of the Commission who voted in favor of the action taken by the Commission. A final order must include findings of facts and conclusions of law, separately stated.

(2) The Commission staff shall mail or deliver a copy of the order to each party or the party's representative.

(3) A final order of the Commission takes effect on the date the order is issued, unless otherwise stated in the order.

(4) If the Commission finds that an imminent peril to the public health, safety or welfare requires an immediate final order in a proceeding, the Commission shall recite that finding in the order in addition to reciting that the order is final from the date issued. An order issued under this subsection is final and appealable from the date issued and a motion for rehearing is not a prerequisite to appeal.

(5) The commission staff shall electronically submit the order to the NAPRA or RCI Ruling Database.

Q. Rehearing

The Administrative Procedure Act, _____ Civil Statutes, Art. _____, Sec._____, pertaining to rehearing after Commission action, is hereby incorporated by reference.

R. Ex Parte Communications

(1) No Commission member may discuss the merits of a matter which is pending before the Commission prior to a formal hearing, or between the hearing and announcement of the Commission's final decision.

(2) The Administrative Procedure Act, _____ Civil Statutes, Art. _____, Sec._____, pertaining to ex parte communications, is hereby incorporated by reference.

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

ARCI-003-020 Ejection/Exclusion

(1) The stewards/judges or Commission may order an individual ejected or excluded from all or part of any grounds under the regulatory jurisdiction of the Commission if the stewards/judges, executive director or Commission determine that:

  (a) the individual may be ejected or excluded under the statutes or rules of this jurisdiction; and

  (b) the individual's presence on association grounds is inconsistent with maintaining the honesty and integrity of racing.

(2) An exclusion may be ordered separately or in conjunction with other disciplinary action taken by the stewards/judges or Commission. If an exclusion is ordered separately, the excluded individual is entitled to a hearing before the stewards/judges or Commission. A hearing on an exclusion shall be conducted in the same manner as other hearings conducted by the stewards/judges or Commission.

(3) If an individual is excluded under this section, a contestant owned or trained by or under the care or supervision of the individual is ineligible to be entered or to start in a race in this jurisdiction.

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

ARCI-003-025 Rulings In Other Jurisdictions

A. Reciprocity

The commission and the stewards/judges shall honor rulings from other pari-mutuel jurisdictions regarding license suspensions, revocation or eligibility of contestants.

B. Appeals of Reciprocal Rulings

(1) Persons subject to rulings in other jurisdictions shall have the right to request a hearing before the Commission to show cause why such ruling should not be enforced in this jurisdiction.

(2) Any request for such hearing must clearly set forth in writing the reasons for the appeal.

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

PARI-MUTUEL WAGERING - CHAPTER 4

ARCI-004-005 Purpose

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Repealed Version 4.1 ARCI 4/26/07

ARCI-004-007 Definitions

A. **Advanced Deposit Account Wagering System (ADW)** - A system whereby wagers are debited and payouts credited to an advance deposit account held by an association or SPMO on behalf of a person.

B. **Association –** A racetrack licensed by the Commission to offer live races and pari-mutuel wagering.

C. **Authorized Pari-mutuel Wagering Entity (APmWE) –** a licensed racetrack association or a licensed secondary pari-mutuel organization (SPMO).

D. **Common Pool Wagering** – The inclusion of wagers placed at guest association locations and secondary pari-mutuel organizations into a common pari-mutuel pool for the purpose of display of wagering information and calculation of payoffs on winning wagers.

E. **Guest Association** – An association approved to offer simulcast races and pari-mutuel wagering on races conducted at other racetracks.

F. **Independent Real Time Monitoring System** - a system approved by the commission for the purpose of immediate and continuous analysis of wagering and other pari-mutuel systems data in order to detect suspect wagering transactions or other activity indicating a possible problem relating to the integrity of the pari-mutuel system and which transmits transactional level data to a wagering security database.

G. **Live Event Host** – a licensed association where live racing is conducted and on which pari-mutuel wagering is conducted by guest associations or secondary pari-mutuel organizations.

H. **National Racing Compact** – a multi-state governmental entity formed by member states for the purpose of issuing a racing license recognized by member states, and which license may also be recognized by non-member jurisdictions.

I. **Pari-Mutuel Cash Voucher** – a document or card produced by a pari-mutuel system device on which a stored cash value is represented and the value of which is recorded in and redeemed through the pari-mutuel system.

J. **Pari-Mutuel Pool Host** – An APmWE that operates, and controls access of guest associations or secondary pari-mutuel organizations to, a pari-mutuel pool.

K. **Pari-Mutuel Ticket** – a document printed or record produced by a pari-mutuel system device on which is represented a pari-mutuel wager or wagers that have been authorized and accepted for purposes of participation in a pari-mutuel pool.

L. **Pari-Mutuel System** is the hardware, software and communications equipment used to record wagers, calculate payouts for winning wagers, and transmits wagering transactions and pari-mutuel pool data for display to patrons and to communicate with other pari-mutuel systems linked to facilitate common pool wagering.

M. **Pari-Mutuel Wagering** is a form of wagering on the outcome of an event in which all wagers are pooled and held by an pari-mutuel pool host for distribution of the total amount, less the deductions authorized by law, to holders of tickets on the winning contestants.

N. **Real Time Transaction Monitoring System** - An operating system that can respond to input immediately, within the actual time in the real world during which an event takes place. The system must be able to react to a steady flow of new information without interruption and perform its tasks within the same time constraints as the totalisator system it monitors.

O. **Remote Site** – a guest association or SPMO.

P. **Secondary Pari-Mutuel Organization (SPMO)** - an entity other than a licensed association that offers and accepts pari-mutuel wagers. This may include an off-track wagering system or an account wagering system.

Q. **Simulcast** - Live video and audio transmission of a race and pari-mutuel information for the for the purpose of pari-mutuel wagering at locations other than a licensed association where the race is run.

R. **Totalisator System Standards** – Minimum standards for approval and operation of a parimutuel wagering system.

S. **Wagering Security Database** – A central file maintained by the Association of Racing Commissioners International, or their designee, of wagering transaction detail in a standard electronic format for all pari-mutuel wagering systems that is used to verify that each wagering transaction is properly authorized and that wagering transactions and pari-mutuel system functions and reports have not been corrupted; and, to facilitate oversight and

investigation of wagering transactions and pari-mutuel pools by the Commission and other properly authorized regulatory authorities.

T. **Wagering Transmission Protocol (WTP)** – a pari-mutuel wagering system protocol that facilitates transmission of wagering transaction detail to a host association totalisator system that is in control of and responsible for validating and authorizing issuance of a pari-mutuel tickets and other transaction records reflecting the placing and cashing or refunding of a pari-mutuel wager.

Adopted in Version 4.1 ARCI 4/26/07
Version 4.6 to 4.7 ARCI Board 12/6/09: Added Real time Transaction Monitoring System

ARCI-004-010 General Provisions

A. Pari-mutuel wagering utilizes a totalisator system to pool wagers. The totalisator system may be located on property of an APmWE or may, subject to compliance with applicable law and these rules, reside at another location.

B. Wagering subject to approval and compliance with applicable law and rules, may be accepted by separate totalisator systems in this or other jurisdictions, and combined via communication between totalisator systems.

C. The Commission may, without specific reference in these rules, utilize a designee for the purposes of licensing, certification, verification, inspection, testing, and investigation. A Commission designee may be another Commission or equivalent regulatory authority, a multi-jurisdictional group of regulatory authorities, an association of regulatory authorities, or auditing, consulting, security, investigation, legal services, or other qualified entities or persons.

D. The Commission may enter into multi-jurisdiction agreements with other regulatory authorities to facilitate certification of compliance with requirements by, and licensing of, totalisator companies, entities providing services for simulcasting and common pool wagering, secondary pari-mutuel organizations, and advance deposit account wagering systems. Such agreements shall, at a minimum, ensure certification and licensing requirements comparable to this jurisdiction.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02 Reworded in
Version 4.1 ARCI 4/26/07

ARCI-004-014 Authorized Pari-Mutuel Wagering Entity Requirements

Each authorized pari-mutuel wagering entity (APmWE) shall conduct wagering using a parimutuel system approved by the commission, which operates in accordance with applicable laws and these rule and meets the technical standards set forth in the Association of Racing Commissioners International Totalisator Technical Standards dated July 2011.

Adopted Version 4.1 ARCI 4/26/07
Amended reference to Tote Standards Document Version 5.0 ARCI Board 12/9/11

ARCI-004-015 Account Wagering

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Repealed, topic renumbered to ARCI 004-049 Version 4.1ARCI 4/26/07

ARCI-004-019 Totalisator Company Requirements & Vendor Requirements

A. Totalisator Company

A totalisator company, irrespective of whether the actual facility is located in this jurisdiction or operates from a location or locations outside of this jurisdiction, shall be licensed by the Commission. As a condition of licensing and annual license renewal the license application shall include with an application

(1) a list of personnel assigned to work in this jurisdiction

(2) disclosure of all officers, directors, partners, and share holders with a five percent of greater share of ownership or beneficial interest

(3) a list of all personnel and their current National Racing Compact license number, or their current license number issued by the Commission, other than those identified in (1) and (2) above who have responsibility for or access to systems and facilities employed in the operation of a totalisator system pursuant to a contract with an association or secondary parimutuel organization licensed by the Commission,

(4) certification of compliance with totalisator standards at the facility (s) from which totalisator system will be provided for the licensed association,

(5) a **Type II SAS 70 report**, or other independent report in a form acceptable to the commission, completed within the preceding 12 months, to assure adequate financial controls are in place and compliance with totalisator standards,

(6) agreement to facility inspections and verification by the Commission,

(7) agreement to testing of hardware and software as may be directed by the Commission**.**

B. Other Vendors of Simulcast and Totalisator Systems Services

Entities providing uplink, downlink, and other means of communication or encryption of simulcasting and/or wagering information for APmWE or totalisator companies licensed by the Commission, irrespective of whether they provide, operate, service or otherwise have access to facilities and equipment located in this jurisdiction, must be licensed by the Commission. The license application shall include:

(1) a copy of the contract(s) to provide services to an APmWE or totalisator company;

(2) a list of personnel assigned to work in this jurisdiction, and a list of all personnel directly involved in providing such service who are not in this jurisdiction;

(3) list of all officers, directors, partners, and share holders with a five percent or greater share of ownership or beneficial interest;

(4) all persons employed by such entities pursuant to (2) and (3) above, who are not licensed by the Commission shall hold a current pari-mutuel vendor employee license issued by the National Racing Compact; and

(5) a consent by the applicant that as a condition of its license, it will comply with any applicable laws, these rules, and any directives issues by the Commission or its representatives. Adopted Version 4.1 ARCI 4/26/07

ARCI-004-020 Simulcast Wagering

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Repealed topic renumbered to ARCI-004-034 Version 4.1 ARCI 4/26/07

ARCI-004-024 Pari-Mutuel Wagering

The following requirements are applicable to APmWE licensed by the commission that offers parimutuel wagering and the totalisator systems they employ. These requirements are (in jurisdictions where legal) also, without specific reference, and to such organizations licensed or approved by other regulatory authority as a condition of commission approval of any agreement or contract for simulcasting and/or common pool wagering.

A. Pari-Mutuel Tickets

(1) A pari-mutuel ticket is evidence of a contribution to the pari-mutuel pool and is evidence of the obligation to pay to the holder thereof such portion of the distributable amount of the parimutuel pool as is represented by such valid pari-mutuel ticket. The APmWE shall cash all valid winning tickets when such are presented for payment during the course of the meeting where sold, and for a specified period after the last day of the meeting.

(2) To be deemed a valid pari-mutuel ticket, such ticket shall have been issued by a pari-mutuel ticket machine and recorded as a ticket entitled to a share of the pari-mutuel pool, and contain information as to:

(a) the name of the association operating the meeting.

(b) a unique identifying number or code.

(c) identification of the terminal at which the ticket was issued.

(d) a designation of the performance for which the wagering transaction was issued.

(e) the contest number for which the pool is conducted.

(f) the type or types of wagers represented.

(g) the number or numbers representing the betting interests for which the wager is recorded.

(h) the amount or amounts including type of currency of the contributions to the pari-mutuel pool or pools for which the ticket is evidence.

(3) No pari-mutuel ticket recorded or reported as previously paid, cancelled, or non-existent shall be deemed a valid pari-mutuel ticket by the APmWE. The APmWE may withhold payment and refuse to cash any pari-mutuel ticket deemed not valid, except as provided in D. of this rule (Claims for Payments from Pari-Mutuel Pool).

B. Pari-Mutuel Ticket Sales

(1) Pari-mutuel tickets shall not be sold by anyone other than an association licensed to conduct pari-mutuel wagering.

(2) No pari-mutuel ticket may be sold on a contest for which wagering has already been closed and no association shall be responsible for ticket sales entered into but not completed by issuance of a ticket before the totalisator is closed for wagering on such contest.

(3) Claims pertaining to a mistake on an issued ticket, or a mistake involving failure to issue a ticket, must be made by the bettor prior to leaving the seller's window.

(4) Cancellation or exchange of tickets issued shall not be permitted after a patron has left a seller's window except in accordance with written policies established by the APmWE and approved by the Commission.

(5) Payment on winning pari-mutuel wagers shall be made on the basis of the order of finish as purposely posted and declared "official." Any subsequent change in the order of finish or award of purse money as may result from a subsequent ruling by the stewards or Commission shall in no way affect the pari-mutuel payout. If an error in the posted order of finish or payout figures is discovered, the official order of finish or payout prices may be corrected and an announcement concerning the change shall be made to the public.

(6) The APmWE shall not satisfy claims on lost, mutilated, or altered pari-mutuel tickets without authorization of the Commission.

(7) The APmWE shall have no obligation to enter a wager into a betting pool if unable to do so due to equipment failure.

C. Advance Performance Wagering

No APmWE shall permit wagering to begin more than one hour before scheduled post time of the first contest of a performance unless it has first obtained the authorization of the commission. This shall not preclude earlier common pool wagers in accordance with a contract with the host association that has been approved by the commission.

D. Claims for Payment from Pari-Mutuel Pool

At a designated location, a written, verified claim for payment from a pari-mutuel pool shall be accepted by the APmWE in any case where the APmWE has withheld payment or has refused to cash a pari-mutuel wager. The claim shall be made on such form as approved by the commission. The original of such claim shall be forwarded to the Commission within 48 hours.

(1) In the case of a claim made for payment of a mutilated pari-mutuel ticket which does not contain the total imprinted elements required in A. of this rule (Pari-mutuel Tickets), the APmWE shall make a recommendation to accompany the claim forwarded to the commission as to whether or not the mutilated ticket has sufficient elements to be positively identified as a winning ticket.

(2) In the case of a claim made for payment on a pari-mutuel wager, the commission shall adjudicate the claim and may order payment thereon from the pari-mutuel pool or by the APmWE, or may deny the claim, or may make such other order as it may deem proper.

E. Payment for Errors

If an error occurs in the payment amounts for pari-mutuel wagers, which are cashed or entitled to be cashed; and as a result of such error the pari-mutuel pool involved in the error is not correctly distributed among winning ticket holders, the following shall apply:

(1) Verification is required to show that the amount of the commission, the amount in breakage, and the amount in payouts is equal to the total gross pool. If the amount of the pool is more than the amount used to calculate the payout, the underpayment shall be added to the

corresponding pool of the next contest. If underpayments are discovered after the close of the meeting, the underpayment shall be held in an interest-bearing account approved by the Commission until being added, together with accrued interest, to the corresponding pool of the next meet.

(2) Any claim not filed with the APmWE within 30 days, inclusive of the date on which the underpayment was publicly announced, shall be deemed waived; and the APmWE shall have no further liability therefore.

(3) In the event the error results in an overpayment to winning wagers, the APmWE shall be responsible for such payment.

F. Betting Explanation

A summary explanation of pari-mutuel wagering and each type of betting pool offered shall be published in the program for every wagering performance. The rules of racing relative to each type of pari-mutuel pool offered must be prominently displayed on association grounds and available upon request through association representatives.

G. Display of Betting Information

(1) Approximate odds for Win pool betting shall be posted on display devices within view of the wagering public and updated at intervals of not more than 60 seconds for the current race of the performance.

(2) The probable payout or amounts wagered, in total and on each betting interest, for other pools may be displayed to the wagering public at intervals and in a manner approved by the Commission.

(3) Official results and payouts must be displayed upon each contest being declared official.

H. Cancelled Contests

If a contest is cancelled or declared "no contest", refunds shall be granted on valid wagers in accordance with these rules.

I. Refunds

(1) Notwithstanding other provisions of these rules, refunds of the entire pool shall be made on:

(a) Win pools, Exacta pools, and first-half Double pools offered in contests in which the number of betting interests has been reduced to fewer than two (2).

(b) Place pools, Quinella pools, Trifecta pools, first-half Quinella Double pools, first-half Twin Quinella pools, first-half Twin Trifecta pools, and first-half Tri-Superfecta pools offered in contests in which the number of betting interests has been reduced to fewer than three (3).

(c) Show pools, Superfecta pools, and first-half Twin Superfecta pools offered in contests in which the number of betting interests has been reduced to fewer than four (4).

(d) Pentafecta pools offered in contests in which the number of betting interests has been reduced to fewer than five (5).

(2) Authorized refunds shall be paid upon presentation and surrender of the affected pari-mutuel ticket.

J. Coupled Entries and Mutuel Fields

(1) Contestants coupled in wagering as a coupled entry or mutuel field shall be considered part of a single betting interest for the purpose of price calculations and distribution of pools. Should any contestant in a coupled entry or mutuel field be officially withdrawn or scratched, the remaining contestants in that coupled entry or mutuel field may remain valid betting interests and no refunds will be granted; or the stewards may order a refund for the entire betting interest. If all contestants within a coupled entry or mutuel field are scratched, then tickets on such betting interests shall be refunded, notwithstanding other provisions of these rules.

(2) For the purpose of price calculations only, coupled entries and mutuel fields shall be calculated as a single finisher, using the finishing position of the leading contestant in that coupled entry or mutuel field to determine order of placing. This rule shall apply to all circumstances, including situations involving a dead heat, except as otherwise provided by these rules.

K. Pools Dependent Upon Betting Interests

Unless the Commission otherwise provides, at the time the pools are opened for wagering, the association:

(1) Shall offer win wagering on all contests with three (3) or more betting interests. May offer win wagering on all contests with two (2) or more betting interests.

(2) May offer place wagering on all contests with three (3) or more betting interests.

(3) May offer show wagering on all contests with four (4) or more betting interests.

(4) May offer quinella wagering on all contests with three (3) or more betting interests.

(5) May offer quinella double wagering on all contests with three (3) or more betting interests.

(6) May offer exacta wagering on all contests with two (2) or more betting interests.

(7) May offer trifecta wagering on all contests with three (3) or more betting interests.

(8) May offer superfecta wagering on all contests with four (4) or more betting interests.

(9) May offer twin quinella wagering on all contests with three (3) or more betting interests.

(10) May offer show quinella wagering on all contests with four (4) or more betting interests.

(11) Shall not offer twin trifecta, tri-superfecta or twin trifecta wagering on any contests with six or less betting interests.

(12) May offer Pentafecta wagering on all contests with five (5) or more betting interests.

L. Prior Approval Required For Betting Pools

(1) An association that desires to offer new forms of wagering must apply in writing to the Commission and receive written approval prior to implementing the new betting pool.

(2) The association may suspend previously-approved forms of wagering with the prior approval of the Commission. Any carryover shall be held until the suspended form of wagering is reinstated. An association may request approval of a form of wagering or separate wagering pool for specific performances.

M. Closing of Wagering in a Contest

(1) A commission representative shall close wagering for each contest after which time no parimutuel tickets shall be sold for that contest.

(2) The APmWE shall maintain, in good order, a system approved by the commission for closing wagering.

N. Complaints Pertaining to Pari-Mutuel Operations

(1) When a patron makes a complaint regarding the pari-mutuel department to an APmWE , the APmWE shall immediately issue a complaint report, setting out:

(a) the name of the complainant;

(b) the nature of the complaint;

(c) the name of the persons, if any, against whom the complaint was made;

(d) the date of the complaint;

(e) the action taken or proposed to be taken, if any, by the association.

(2) The APmWE shall submit every complaint report to the Commission within 48 hours after the complaint was made.

O. Licensees –

Duty to Report All licensees shall report any known irregularities or wrong doings by any person involving pari-mutuel wagering immediately to the Commission and cooperate in subsequent investigations.

P. Unrestricted Access

The APmWE shall permit the Commission unrestricted access at all times to its facilities and equipment and to all books, ledgers, accounts, documents and records of the APmWE that relate to pari-mutuel wagering.

Q. Emergency Situations

In the event of an emergency in connection with the pari-mutuel department not covered in these rules, the pari-mutuel manager representing the APmWE shall report the problem to the stewards and the APmWE and the stewards shall render a full report to the Commission within 48 hours.

Adopted Version 4.1 ARCI 4/26/07

Version 9.5 ARCI Board 12/13/19 Amended K(2)(3) replacing “shall” with “may”

Version 12.1.2 Corrected typographical error K(10) replaced 3 betters with 4 betters 07/21/23

ARCI-004-025 Interstate Common Pool Wagering

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Repealed topic re-numbered to ARCI-004-039 Version 4.1 ARCI 4/26/07

ARCI-004-029 Stored Value Instruments and Systems

A. Pari-Mutuel Cash Vouchers

(1) Pari-mutuel cash vouchers may be offered by an APmWE that issues pari-mutuel tickets. These vouchers shall be dispensed through the totalisator system. The stored value on a

voucher may be redeemed in the same manner as a value of a winning pari-mutuel ticket for wagers placed at a pari-mutuel window or a self-service terminal, and may be redeemed for their cash value at any time.

(2) An APmWE may, with the prior approval of the Commission, issue special pari-mutuel cash vouchers as incentives or promotional prizes, and may restrict the use of those vouchers to the purchase of pari-mutuel wagers.

(3) The tote system transaction record for all pari-mutuel vouchers shall:

Include the voucher identification number in subsequent pari-mutuel transactions;

Pari-mutuel wagers made from a voucher shall identify the voucher by identification number.

B. Other Stored Value Instruments and Systems

(1) An APmWE may not, without the prior approval of the Commission, utilize any form of stored value instrument or system other than a pari-mutuel voucher for the purpose of making or cashing pari-mutuel wagers

(2) Any request for approval of a stored value instrument or system shall include a detailed description of the standards utilized:

(a) to identify the specific stored value instrument or account in the pari-mutuel system wagering transaction record;

(b) to verify the identity and business address of the person(s) obtaining, holding, and using the stored value instrument or system;

(c) to record and maintain records of deposits, credits, debits, transaction numbers, and account balances involving the stored value instruments or accounts

(3) A stored value instrument or system must prevent wagering transactions in the event such transactions would create a negative balance in an account, and may not operate so as to automatically facilitate a transfer of funds into a stored value instrument or account without the direct authorization of each such deposit transfer by the person holding the instrument or account

(4) Any request for approval of a stored value instrument or system shall include an affirmation of the ready availability when requested by the commission**,** all records and reports relating to all transactions, account records, and customer identification and verification in hard copy or standard electronic format approved by the commission certification of secure retention of all records for a period of not less than three years or such longer period specified by the commission.

Adopted Version 4.1 ARCI 4/26/07

ARCI-004-034 Simulcasting

A. Live Event Host – Contract Subject to Commission Approval

(1) A live event host licensed by the Commission may, subject to Commission approval of a contract, simulcast its races for the purpose of pari-mutuel wagering to another APmWE.

(2) Unless otherwise permitted by the Commission, every simulcast will contain in its video content a digital display of actual time of day, the name of the host facility from where it emanates, the number of the contest being displayed, and the minutes to post.

(3) The live event host may as a condition of contract approval or at such other time as deemed necessary by the Commission, be required to provide and maintain security controls including encryption over its uplink and communications systems.

B. Guest Associations and Secondary Pari-mutuel Organizations – Contract Subject to Commission Approval

(1) Guest Associations and Secondary Pari-mutuel Organizations (in jurisdictions where legal) licensed by the Commission, subject to contract approval by the Commission, may receive simulcast races for the purpose of pari-mutuel wagering from one or more live event host.

(2) Guest Associations and SPMOs shall submit a plan, subject to approval of the Commission, for testing the transmission, encryption and decoding, and data communication to assure proper system function prior to the commencement of each simulcast program or race from a live event host.

Adopted Version 4.1 ARCI 4/26/07 topic was ARCI-004-020

ARCI-004-039 Common Pool Wagering

Pari-mutuel Pool Hosts may enter into common pool wagering agreements with other APmWEs subject to applicable Federal and State statutory requirements and the approval of the Commission

A. Intra-State Common Pool Wagering

(While some Rules in this section will be State specific, the Committee may develop proposed Rules for this section to safeguard the over-all integrity of inter-jurisdictional mutuel pools)

B. Inter-State Common Pool Wagering

(1) **Contract Subject to Commission Approval**

An APmWE, subject to contract approval by the Commission, participate in Common Pool Wagering by accepting wagers placed in other jurisdictions or by offering wagers on races run in other jurisdictions. Contract approval requirements include but may not be limited to the following:

(a) **Licensing requirement**

A contract to participate in interstate common pool wagering shall include certification that the APmWE in the other jurisdiction is licensed or otherwise authorized or approved by the pari-mutuel authority or equivalent in that jurisdiction.

(b) **Pari-mutuel Systems Requirement**

A contract to participate in interstate common pool wagering shall:

(A) include certification that the APmWE in the other jurisdiction utilizes a parimutuel wagering system fully compliant with requirements for totalisator systems used by licensed associations in this jurisdiction,

(B) specify the regulatory authority responsible for granting a license to the APmWE serving as host for purposes of aggregation of common pool wagering,

(C) specify the name and location of APmWE that is the host for the common pool, and the individuals and contact information for matters relating to the contract and common pool wagering,

(D) specify the name of the totalisator company, location of the totalisator facility utilized to receive wagers and aggregate pools for the purpose of common pool wagering and the individuals and contact information for matters relating to the contract and common pool wagering.

(c) **Access to Reports and Wagering Information Requirement**

(A) contract to participate in interstate common pool wagering shall include certification that the APmWE in the other jurisdiction will provide full and prompt access to, and cooperation in providing, all reports and information that may be requested by the commission, including wagering transaction data in either a hard copy report or a standard electronic data format acceptable to the commission. Such requirement shall be applicable to all wagering on races run in this jurisdiction, and all wagering pools, which accept wagers placed from this jurisdiction.

(d) **Advance Deposit Account Wagering Systems Requirement**

(A) contract to participate in interstate common pool wagering with APmWE that operates in another jurisdiction shall certify access will provide full and prompt access to all reports and information, including to customer account identity, verification, and wagering records, for investigatory purposes. Such requirement shall be applicable to all wagering on races run in this jurisdiction, and all wagering pools, which accept wagers placed from this jurisdiction and all pools hosted in this jurisdiction.

(e) **Breakage**

The contract shall include provisions specifying the distribution of breakage consistent with the requirement for wagers placed in this jurisdiction.

(f) **Net Pool Pricing**

If takeout rates are not the same for all jurisdictions, the contract shall specify net pool pricing. (ARCI-004-105 A. (2) (b)).

(A) Individual wagering transactions are deemed to be made at the point of sale in the state where placed unless otherwise specified by statute or court ruling

(B) Any surcharges or withholdings in addition to the takeout shall only be applied in the jurisdiction otherwise imposing such surcharges or withholdings.

(C) In determining whether to approve an interstate common pool which does not include the host track or which includes contests from more than one association, the Commission shall consider and may approve use of a bet type which is not utilized at the live event host, application of a takeout rate not in effect at the live event track, or other factors which are presented to the Commission.

(D) The content and format of the visual display of racing and wagering information at facilities in other jurisdictions where wagering is permitted in the interstate

common pool need not be identical to the similar information permitted or required to be displayed under these rules.

(2) **Guest State Participation in Interstate Common Pools**

(a) The Commission may approve a takeout from the pari-mutuel pools identical to that of other jurisdictions participating in a merged pool.

(b) Rules established in the state of the live event host Pari-mutuel Pool Host for a parimutuel pool shall apply.

(c) The APmWE shall designate one of the following procedures it will use if it becomes impossible to successfully merge the corresponding pools into the interstate common pool, and shall publish their designed procedure in the printed program:

(A) compute payouts in accordance with payout prices that would have been in effect if prices for the pool of bets were calculated without regard to wagers placed elsewhere; or,

(B) with permission of the Commission pay winning tickets at the payout prices at the host track; or,

/declare such accepted bets void and make refunds in accordance with the applicable rules.

(3) **Host State Participation in Interstate Common Pools**

(a) Rules of racing established for races held in this state shall also apply to interstate common pools unless the Commission shall have specifically otherwise determined.

(b) Any contract for interstate common pools shall contain a provision whereby if, for any reason, it becomes impossible to successfully accept wagers placed or merge corresponding pools into the interstate common pool formed by the Pari-Mutuel Pool Host and the Commission's or the Pari-mutuel Pool Host's representative determines that accepting wagers or attempting to effect transfer of pool data from the guest APmWE may endanger the integrity of the pool or the timely processing of payouts the Parimutuel Pool Host shall have no liability for guest's wagers or corresponding pools not being accepted into the host pool.

C. International Common Pool Wagering

(Proposed Rules for this section yet to be developed)

Adopted Version 4.1 ARCI 4/26/07 topic was ARCI-004-025

ARCI-004-044 Secondary Pari-mutuel Organizations (SPMOs)

A. SPMOs Licensed in this Jurisdiction

(1) A Secondary Pari-mutuel Organization must be licensed by the Commission if the SPMO has facilities, equipment, systems, or personnel that are located in this jurisdiction (applicable to jurisdictions where legal) for the purpose of accepting pari-mutuel wagers.

(2) A Secondary Pari-mutuel Organization is responsible for compliance with all rules relating to associations licensed by the Commission as they apply to pari-mutuel wagering.

(3) As a condition of approval of any simulcasting and/or common pool wagering contract between an APmWE in this jurisdiction, and an ADW in another jurisdiction, any agreement subject to Commission approval, shall include:

(a) a list of personnel assigned to work in this jurisdiction

(b) disclosure of all officers, directors, partners, and share holders with a five percent of greater share of ownership or beneficial interest

(c) certification of compliance with totalisator standards and licensing requirements equivalent to those required for totalisator companies employed by associations licensed in this jurisdiction by the Commission,

(d) a **Type II SAS 70 report**, or other independent report in a form acceptable to the commission, completed within the preceding 12 months, to assure adequate financial controls are in place in the SPMO,

(e) an agreement to inspections and monitoring by the Commission all facilities used for accepting , recording, or processing pari-mutuel wagers accepted in this jurisdiction

(f) certify use of a pari-mutuel system meeting all requirements for pari-mutuel systems /.employed by licensed racing associations in this jurisdiction

B. SPMOs Licensed in Other Jurisdictions

An SPMO operating outside this jurisdiction must as a condition of Commission approval of a contract to permit pari-mutuel wagers to be accepted on races run or pools hosted by an APmWE in this jurisdiction:

(1) be licensed, authorized, or otherwise approved by another recognized pari-mutuel Commission or equivalent regulatory authority,

(2) certify compliance with licensing requirements essentially equivalent to those required for licensing in this jurisdiction,

(3) disclose all systems and facilities, including by not limited to advance deposit account wagering systems, whereby wagers are accepted by other than the issuing of pari-mutuel tickets at a public facility licensed by a pari-mutuel regulatory authority,

(4) certify use of a pari-mutuel system meeting all requirements for pari-mutuel systems employed by licensed APmWEs in this jurisdiction.

C. Licensing Key Individuals of Each SPMO and Consent to SPMO Contracts

(1) No SPMO shall be authorized or permitted to accept or transmit simulcast signals of or accept wagers on horse races conducted within, or to transmit wagering information into track pools regulated within, Our State unless an occupational SPMO license has been issued to each of its key individuals. An occupational SPMO license shall be issued to a key individual only upon submission of a satisfactory application using forms prescribed by Our Racing Commission, a demonstration by the applicant of the suitability of the affiliated SPMO, and a determination by Our Racing Commission that the licensing criteria have been met.

(2) For an applicant to demonstrate that the affiliated SPMO is suitable, the SPMO's suitability must be subjected to a "due diligence" review by Our Racing Commission, its designee, or by

a racing compact or trade association to which Our Racing Commission belongs, which includes at least:

(a) visits to the SPMO sites, an inspection and analysis of computer systems and records to verify accounting records and business practices, thorough examination of computerized records and operational systems on the SPMO's computers, facility inspection with complete access including to all equipment, activities, structures, and other property, and forensic review by accountants of the financial books and operational records; which review shall include repetition of the foregoing as needed to investigate possible material changes, alteration or renewal of its status, or any other purpose, and shall include such other actions and disclosure as may be needed;

(b) full and timely disclosure of all requested information and full access to all facilities, documents, papers, records, and property, including but not limited to computers, equipment, structures, bank records, financial books and records, wagering records, the identity of each account holder, records identifying beneficial participants in wagers by account holders, and operating records, which shall include but not be limited to:

(A) the identity of each executive, manager, officer, director, and owner of a beneficial interest or a source-of-funding of 1% or more (based on entity percentages being also attributed to controlling interests);

(B) any actions or anticipated actions of the SPMO and its key individuals that are relevant to whether a material change or has occurred or might occur; and

(C) each bettor, account holder, or beneficial interest in wagers, that participates, directly or indirectly, in 5% or more (by amount or number) of the pari-mutuel wagers accepted by the SPMO in any calendar month (a trade secret exempt from disclosure or use except for licensing, regulatory, or law enforcement purposes);

(c) a determination of suitability every two years and as needed, based on newly discovered information, falsity in application, suspicious activity or associations, failure to cooperate with regulatory or investigating body directives or conditions or requests, material changes in the SPMO, or any other relevant factor;

(d) that all SPMO key individuals having made satisfactory application for an SPMO individual occupational license to Our Racing Commission, including an interstate compact to which it belongs, and are qualified to receive such a license subject to SPMO suitability.

(3) For an applicant to demonstrate that the affiliated SPMO is suitable, the applicant must show that the affiliated SPMO, and each of its key individuals, meets the following criteria:

(a) Character must be consistent with the public interest, convenience and necessity and the best interests of racing generally, including but not limited to:

(A) Criminal Record: Neither the SPMO entity nor its key individuals shall have, as a principal, accessory, or conspirator, in any jurisdiction at any time, pleaded guilty or nolo contendere to, been found guilty or been convicted of, forfeited bail or been fined for, or have currently pending a criminal accusatory instrument that includes any charge for, any offense that; after due consideration of the specific duties, responsibilities, and/or influence of the applicant at the SPMO, the bearing of the offense on fitness and ability, rehabilitation or good conduct, the need to protect others, the defendant's age, offense's seriousness, and time elapsed; bears a direct relation to the integrity and performance of the SPMO and/or poses an unreasonable risk to property, safety, or welfare of specific persons or to the general public. Crimes of special concern include:

(i) any offense involving organized crime, extortion, racketeering, money laundering, loan sharking, illegal drugs, fraud, misrepresentation, forgery, false documents or instruments, illegal gambling, gaming misconduct, touting, pool-selling, bet solicitation, bookmaking, race-fixing or other effort to pre-determine the outcome of a race, moral turpitude, and similar misconduct;

(ii) felonies; and

(iii) more than two (2) misdemeanor criminal incidents within the preceding five (5) years.

(B) Fraud and Misrepresentation: Neither the SPMO entity nor its key individuals shall have, in any jurisdiction or forum at any time, been found to have engaged in fraud or misrepresentation, or have currently pending a civil action or proceeding (including administrative or arbitration), that includes a charge for or allegation of such misconduct.

(C) Associations: Neither the SPMO entity nor its key individuals shall be known associates of or be involved with (including as unindicted co-conspirator) any activity or person that

is disreputable, such as involved in organized crime, extortion, racketeering, money laundering, loan sharking, illegal drugs, fraud, misrepresentation, forgery, false documents or instruments, illegal gambling, gaming misconduct, touting, pool-selling, bet solicitation, bookmaking, race-fixing or other effort to pre-determine the outcome of a race, moral turpitude, or similar misconduct. Associates may include significant SPMO account holders and beneficial participants in their wagers.

(D) Good standing: The SPMO entity and its key individuals shall currently be in good standing in all gaming, wagering, and pari-mutuel racing jurisdictions and with the agency or other entity regulating such activities in any jurisdiction, including no current suspension or revocation of any licenses and currently welcome to apply in each jurisdiction.

(b) Fitness and experience must be consistent with the public interest, convenience and necessity and the best interests of racing generally. With regard to the SPMO, this shall include but not be limited to that it:

(A) shall meet general industry standards for business and financial practices, procedures, and controls;

(B) shall have a wagering system that ensures that all wagering information is transmitted to and calculated in the appropriate host track pool;

(C) the SPMO shall utilize a totalisator system that meets wagering-industry standards and certification criteria;

(D) shall meet general industry standards for physical security of computerized wagering systems, business records, facilities, and patrons;

(E) shall have no indications of improper manipulation of its wagering system (including software);

(F) shall have policies and procedures that ensure its key individuals have applied and are eligible for all required occupational licenses;

(G) shall have an annual independent audit with no audit opinion qualifications that reflect adversely on integrity;

(H) shall have a system that verifies the identity of all bettors and requires them to disclose all beneficial interests in wagers it accepts;

(I) shall have a real-time system Independent Monitoring System to monitor wagering activity to detect suspicious patterns including any that might indicate criminal activity or regulatory violations, which system shall verify all transactions performed by the totalisator system and provide expeditious notice of any discrepancies or suspicious activity to the host track, wagering site, due-diligence investigating body, and any affected regulatory agencies;

(J) shall have a satisfactory record of customer relations including no excessive unresolved patron complaints concerning its business practices;

(K) shall hold all requisite business or other permits, licenses, certifications or the like that may be required by any jurisdiction;

(L) shall have sufficient measures in place to protect customer funds;

(M) shall publicize and provide a sufficient program for customer self-exclusion and wagering limitation; and

(N) shall have expertise in pari-mutuel wagering and be technologically capable of participating in simulcast and wagering activities.

(c) Financial responsibility must be consistent with the public interest, convenience and necessity and the best interests of racing generally, including but not limited to:

(A) the SPMO and its key individuals shall not be in default or have a history of defaulting in the payment of and financial obligation, including the payment of taxes, due to any jurisdiction, or on the payment of any gaming, wagering, or pari-mutuel racing related financial obligations; and shall not be four (4) or more months in arrears in any child support that is ordered or approved by a court in any jurisdiction within the United States; and

(B) the SPMO and its owners and sources of funds shall have sufficient financial means to participate in simulcast and wagering activities, including sufficient assets and means to pay industry-related debts and obligations and to fund the operations of the SPMO; and

(d) Responsible conduct: the SPMO must be fully cooperative and act in good faith with all disclosure and other duties involved in the due-diligence investigation; voluntarily submit to regulatory and investigating body oversight; permit inspection of all business records upon request by any regulatory authority or investigating body; promptly honor regulatory or investigating body requests for wagering patterns or other information; and on reasonable notice permit full access to all facilities and property by any regulatory authority or investigating body. (e) Waivers:

(A) the due diligence investigation may rely upon investigations and oversight that it determines provide comparable assurances of integrity;

(B) provided that the SPMO is timely and fully cooperating and acting in good faith in all respects, including payment of fees and costs and voluntary submission to regulatory oversight:

(i) any fitness and experience criterion may be temporarily waived for an SPMO that has insubstantial volume, no past or present affiliation with any other SPMO entity or key individual, no dominating betting interest, and operates in only a small market, to the extent that the SPMO could not otherwise operate and the resulting integrity risk is offset by the advantages of regulatory oversight;

(ii) the fitness requirements relating to host track pooling and a totalisator system may be waived to the extent an SPMO's legal environment prohibits it, its alternative operations are documented and lawful, and it serves the best interests of racing; and

(iii) SPMO suitability may be recognized on a conditional and temporary basis based upon the preliminary findings of an ongoing due diligence investigation.

(4) The occupational license applicant must meet each foregoing criterion that relates to individual integrity.

(5) Each application must be accompanied by a nonrefundable application fee in the amount of FEE AMOUNT. In addition, the applicant shall pay the costs of the background investigation performed by the Our Racing Commission or its designee to determine whether the applicant has demonstrated that his or her affiliated SPMO is suitable. Our Racing Commission may estimate these costs and require a deposit to be paid by the applicant in advance as a condition precedent to beginning or continuing an investigation. The application may be denied if the applicant has failed or refuses to pay all application and investigative fees and costs.

(6) Definitions:

(a) *Key Individual* means each executive, manager, officer, director, owner of a beneficial interest of 5% or more, or an owner and source-of-funding whose combined percentage interests are 5% or more, in the SPMO entity. An entity's ownership or funding shall also be fully attributed to its controlling person, family, or other entity. Our Racing Commission, however, after full disclosure by the applicant and SPMO, may determine that;

(A) an entity not controlled by a person, family, or other entity has no key individuals despite its percentage of equity or funding, and

(B) any given bettor, account holder, or beneficial interest in wagers, directly or indirectly, possesses such a dominating position as to constitute a Key Individual.

(b) *Material change* means any change in business property or practices that would require an independent analysis in the review process (including after initial review); any change in key individuals; and any change in any account holder, or beneficial interest in any account-holder wagers, that participates, directly or indirectly, in 5% or more (by amount or number) of the parimutuel wagers accepted by the SPMO in any calendar month.

(c) *Secondary Pari-Mutuel Organization ("SPMO")* means any person or entity that seeks to accept or transmit simulcast signals, accept wagers, or transmit wagering information with regard to pari-mutuel horse races conducted within or track pools regulated by Our State, including affiliates and anyone who offers the simulcast signals or wagering opportunities to potential customers of the SPMO; excluding, however, simulcast and wagering conducted;

(A) on-site at the premises of an entity licensed to conduct horse races for the purposes of parimutuel wagering within its state borders,

(B) on-site at a government entity that is authorized to participate in wagering on horse races conducted for the purposes of pari-mutuel wagering within its state borders or

(C) off-site by either provided that the entire simulcast and wagering service is operated within its state borders by such racetrack or government entity alone.

(d) *Simulcast* means to telecast or distribute wagering information, audio and/or video signals of a horse race for the purposes of pari-mutuel wagering.

(7) Our Racing Commission shall not consent to the acceptance of any interstate off-track wager by an SPMO that has not been determined, as set forth in this Rule, to be suitable.

(8) Confidential intellectual property or information held by an SPMO, including on behalf of its customers, should be identified as such by the SPMO and Our Racing Commission shall use all reasonable efforts to defend it from disclosure to others and shall not disclose it to other parties except as may be required by law.

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Version 4.5 to 4.6 ARCI Board 7/31/09

ARCI-004-049 Advance Deposit Account Wagering (ADW)

Commission access to and use of information concerning wager transactions and account wagering customers shall be considered proprietary and shall not be disclosed publicly except as may be required pursuant to statutes, court orders or part of the official record of any proceeding before the commission.

This shall not prevent the sharing of this information for investigative purposes with other parimutuel regulatory authority or law enforcement agencies.
Committee Note: While the committee understands that ADWs have increased issues regarding proprietary information and customer identity information, issues of proprietary information and customer account information will be handled subject to the licensing jurisdiction's Public Information laws and rules.

A. ADW Licensed in this Jurisdiction

An entity that operates an ADW and is not otherwise involved in pari-mutuel wagering may be licensed as both an SPMO and an ADW in a consolidated licensing procedure as prescribed by the Commission.

(1) An association or SPMO licensed by the Commission may apply for a license to operate an advanced deposit account wagering system (ADW) (applicable to jurisdictions where legal) whereby wagers are debited and payouts are credited to an account held by the association or SPMO on behalf of a person who has applied for such account and been accepted pursuant to these rules.

(2) A provider of advanced deposit account wagering facilities or systems for a ADW must be licensed by the Commission if account facilities, equipment or personnel are located in this jurisdiction pursuant to a contract with a licensed association or SPMO. (applicable to jurisdictions where legal)

(3) The ADW license application shall include:

(a) a copy of the contract(s) to provide services to an association or SPMO licensed by the Commission

(b) a list of personnel assigned to work in this jurisdiction, and a list of all employees involved in accepting pari-mutuel wagers placed in this jurisdiction, and employees with access to facilities where such wagers are placed, or systems and records relating to account wagering are operated and secured, who are not located in this jurisdiction

(c) list of all officers, directors, partners, and share holders with a five percent or greater share of ownership or beneficial interest

(d) full disclosure of all fees and other financial considerations relating to the contract with the association or SPMO

(e) certify to the host Commission prompt access to reports, logs, wagering transaction detail, and customer account detail, in printed form or standard electronic format approved by the commission

(f) provide a detailed description and certification of systems and procedures used to validate the identity, age, and jurisdiction of legal residence of account holders and to validate the legality of wagers accepted

(g) include certification of prompt Commission access to all records relating to customer identify, age, and residency in hard copy or standard electronic format acceptable to the commission

(h) certify prompt Commission access to customer account detail in hard copy or an electronic format acceptable to the Commission for

(A) persons who place wagers on races conducted in this jurisdiction, customers are identified as legal residents of this jurisdiction, who place wagers on races ran in this jurisdiction and races available for wagering by persons in this jurisdiction,

(B) persons the Commission has reason to investigate based on possible placing of wagers for persons other than the account holder, wagers that may be related to the investigation of any race or wagering pattern, or relevant to any other investigation as may be determined by the Commission

(i) include certification of secure retention of all records related to wagering and customers accounts for a period of not less than three years or such longer period specified by the Commission,

(j) include, as an attachment, a certified copy of rules governing the acceptance and management of accounts, and a certified copy of any changes in such rules at least thirty days prior to the effective date

(4) All persons employed by ADWs pursuant to (3) (b) above, not licensed by the Commission, shall hold a current pari-mutuel employee or vendor employee license issued by the National License Compact. The ADW shall provide and maintain with the Commission a current list of such employees and including their current National License number.

(5) Must utilize and communicate pari-mutuel wagers to a pari-mutuel system meeting all requirements for pari-mutuel systems employed by licensed racing associations in this jurisdiction

(6) An ADW must operate and communicate with the totalisator system in such a way as not to provide or facilitate a wagering advantage based on access to information and processing of wagers by ADW account holders relative to persons who wager at race tracks or public off track wagering facilities. The ADW shall have in place an independent real time monitoring system and use approved by the Commission, and use other procedures as needed, to insure compliance with this requirement.

(7) Advanced Deposit Account Wagering Rules

(a) Notification. The ADW shall notify the patron, at the time of opening the account, of any rules the association has made concerning deposits, withdrawals, average daily balance, user fees, interest payments and any other aspect of the operation of the account. The ADW shall notify the patron whenever the rules governing the account are changed, such notification occurring before the new rules are applied to the account and including the opportunity for the patron to close or cash-in the account. The patron shall be deemed to have accepted the rules of account operation upon opening or not closing the account. The ADW shall request authorization from the Commission before a system of account wagering is offered.

(b) Refusals. The ADW may reserve the right at any time to refuse to open an account, to accept a wager, or to accept a deposit.

(c) Patron Information. Each account holder shall provide such personal information as the ADW and the Commission require, including an address to which communications are to be delivered. The ADW shall provide each account holder, a confidential account number and password to be used by the patron to confirm the validity of every account transaction.

(d) Deposits. Deposits may be made in cash or by check, whereby the proceeds of the check may first need banker's clearance. Holding periods will be determined by the ADW and advised to the account holder. A receipt for the deposit must be issued to the account holder, but does not need to reflect the current account balance.

(e) Sufficient Account Balance. Each account holder shall be deemed to be aware of the status of that account at all times. Wagers will not be accepted which would exceed the available balance of that account. Any account not updated when a transaction is completed shall be inoperable until the transaction is posted and the account balance updated.

(f) Account Credits. When an account is entitled to a payout or refund, said monies will be credited to the respective accounts, thus increasing the credit balance. It is the responsibility of the account holder to verify proper credits and, if in doubt, notify the association within the agreed upon time-frame for consideration. Unresolved disputes may be forwarded to the commission by the ADW or the account holder. No claim will be considered by the commission unless submitted in writing and accompanied by supporting evidence.

(g) Account Operation.

(A) The ADW must maintain complete records of every deposit, withdrawal, wager and winning payout for each. These records shall be made available to the Commission upon request.

(B) For wagers made for an account by telephone, the ADW shall make a voice recording of the entire transaction and shall not accept any such wager if the voice recording system is inoperable. Voice recordings shall be retained for not less than 6 months and shall be made available to the commission for investigative purposes.

(C) Any account wagering system must provide for the account holder's review and finalization of a wager before it is accepted by the ADW. Neither the account holder nor the ADW shall change a wager after the account holder has reviewed and finalized the wager. In the case of a wager made by telephone, the voice recording of the transaction shall be deemed to be the actual wager, regardless of what was recorded by the pari-mutuel system.

(h) Account Closure. The ADW may close any account when the holder thereof attempts to operate with an insufficient balance or when the account is dormant for a period approved by the Commission. In either case, the ADW shall refund the remaining balance of the account to the account holder.

B. ADWs in Other Jurisdictions

As a condition of approval of any simulcasting and/or common pool wagering contract between an APmWE in this jurisdiction, and an ADW in another jurisdiction, any agreement subject to Commission approval, shall include

(1) disclosure of all ADWs wagering on any races run in this jurisdiction, and all ADWs wagering on races run in other jurisdictions that would be available for wagering in this jurisdiction, pursuant to the contract

(2) certification of ADW licensing, authorization, or approval by the recognized pari-mutuel authority in the other jurisdiction

(3) certification of compliance with rules for operation of an ADW comparable to those stated in section (7) (A) above

(4) full disclosure of all fees, market share revenue, and other financial considerations relating to the contract

(5) certify to the host commission prompt access to reports, logs, wagering transaction detail, and customer account detail, in printed form or standard electronic format approved by the commission

(6) provide a detailed description and certification of systems and procedures used to validate the identity, age, and jurisdiction of legal residence of account holders and to validate the legality of wagers accepted

(7) include certification of prompt commission access to all records relating to customer identify, age, and residency in hard copy or standard electronic format acceptable to the commission,

(8) certify prompt commission access to customer account detail in hard copy or an electronic format acceptable to the commission for

(a) persons who place wagers on races conducted in this jurisdiction, customers are identified as legal residents of this jurisdiction, who place wagers on races ran in this jurisdiction and races available for wagering by persons in this jurisdiction,

(b) persons the commission has reason to investigate based on possible placing of wagers for persons other than the account holder ,based on wagers placed that may be related to the investigation of any race or wagering pattern, or relevant to any other investigation as may be determined by the commission.

(9) include certification of secure retention of all records related to wagering and customers' accounts for a period of not less than three years or such longer period specified by the commission,

(10) include, as an attachment, a certified copy of rules governing the acceptance and management of accounts, and provide a certified copy of any changes in such rules at least thirty days prior to the effective date.

C. Third-Party Information Security Audits for Advanced Deposit Wagering Companies

1. Purpose

This rule establishes the requirement for all online wagering companies, also known as Advanced Deposit Wagering (ADW) companies, to undergo a third-party audit to ensure compliance with industry security and auditing standards.

2. Third-Party Audit Requirement

(a) All ADW companies must engage an independent third-party auditor to conduct an annual audit of their information security and operational controls.
(b) The third-party auditor must possess at least one of the following credentials:

1. Certified Information Systems Auditor (CISA) Certification
2. Lead Auditor for ISO (International Organization for Standardization)
3. Certified Information Security Manager (CISM) Certification

3. Auditing Standards

(a) The audit shall assess compliance with all standards outlined in the ARCI Information Security Auditing Standard.

4. Reporting and Compliance

(a) The results of the third-party audit shall be submitted to the appropriate regulatory body within 30 days of completion.
(b) ADW companies found non-compliant with the required standards must implement corrective measures within 90 days of notification.
(c) Failure to comply with this rule may result in penalties, suspension, or revocation of licensure.

5. Effective Date

This rule shall take effect on January 1, 2026, and apply to all ADW companies operating under the ARCI Model Rules

ARCI Information Security Auditing Standards

Section	Item	Control or Mitigating Control	Standards
Physical Security	**1.1** Physical Entry	Card, code, lock, biometric scanner or other mitigating controls.	ISO 27001 A.9.1.2, NIST SP 800-53 AC-2, ISACA COBIT 5 DSS05, GLI-12, 28, 24, 33, 26
Physical Security Parameter	Physical barriers based on asset sensitivity and vulnerability (walls, fences, surveillance, doors, etc.).	ISO 27001 A.11.1, NIST SP 800-53 PE-2, ISACA COBIT 5 DSS04	
Security Offices, Rooms, and Facilities	Shield sensitive information, maintain discrete appearance, restrict access.	ISO 27001 A.9.1.3, NIST SP 800-53 PE-3, ISACA COBIT 5 DSS05, GLI-33	
Physical Security Monitoring	Surveillance technology, visitor access logs. Motion detectors and similar tech. Janitorial services and other mitigating controls.	ISO 27001 A.9.4.3, NIST SP 800-53 PE-6, ISACA COBIT 5 DSS05, GLI-33	
Physical & Environmental Threats	Conduct risk assessment to identify potential physical/environmental threats. Ensure smoke detectors, water sensors, and fire suppression systems are in place and inspected.	ISO 27001 A.8.1.2, NIST SP 800-53 PE-11, ISACA COBIT 5 DSS05	
Working in Secure Areas	Restricted access, physical barriers, and mobile phone recording restrictions. Clear emergency procedures.	ISO 27001 A.9.1.2, NIST SP 800-53 PE-2, ISACA COBIT 5 DSS04, GLI-33	
Clear Desk & Screen	Sensitive information must be locked. Automatic screen locks. No visible passwords. Educate employees.	ISO 27001 A.9.4.1, NIST SP 800-53 AC-10, ISACA COBIT 5 DSS04, GLI-33	
Storage Media	Media management policy, encryption,	ISO 27001 A.10.1, NIST SP 800-53 SC-12, ISACA COBIT 5 DSS01, GLI-28	

	regular offsite backups. Backup power supplies.		
Backup Power	Ensure backup power sources are available and routinely tested.	ISO 27001 A.7.4, NIST SP 800-53 PE-11, ISACA COBIT 5 DSS01, GLI-12	
Policies, Procedures, and Documentation	**2.1** Personal Identifiable Information (PII)	Manage and protect PII according to policy.	ISO 27001 A.8.2, NIST SP 800-53 PL-2, ISACA COBIT 5 APO02, GLI 33
Change Management	Follow change management processes, version control, emergency changes, segregation of duties.	ISO 27001 A.12.1, NIST SP 800-53 CM-3, ISACA COBIT 5 DSS01	
Disaster Recovery Plan	Evaluate disaster recovery plan to ensure rapid recovery.	ISO 27001 A.12.3, NIST SP 800-53 CP-9, ISACA COBIT 5 DSS03	
Business Continuity Plan	Assess preparedness against disruptions.	ISO 27001 A.12.2, NIST SP 800-53 CP-4, ISACA COBIT 5 DSS03	
Remote Access	Secure remote access management and MFA implementation.	ISO 27001 A.9.1.1, NIST SP 800-53 AC-17, ISACA COBIT 5 DSS06, GLI 33	
Data Retention Policy	Define and enforce data retention policies.	ISO 27001 A.8.3, NIST SP 800-53 AU-6, ISACA COBIT 5 DSS06, GLI 33	
Governance Policies	Information security governance and compliance.	ISO/IEC 27001, SOC 2, PCI-DSS, GLI-33	
Personal Identifiable Information (PII)	Protection and Management of Personally Identifiable Information (PII)	ISO/IEC 27001:2013 A8.2, A.9, A.18.1, ISO/IEC 27002:2022 A.8.3, A.9.4, A.14.2, A.18.1.A, GDPR Article 5, 32, 33, 35, NIST SP 800-53 AC-17, IR-4, PL-8SC-13, NIST SP 800-122, PCI-DSS, CCPASOC 2, ISO/IEC 29100 Principles 1, 2, 7, GLI-33	
Third Party Policies	Third Party Risk Management Policy	ISO 27001 & ISO 27701, NIST 800-53, PCI-DSS, SOC 2, GDPR/CCPA, GLI-33	
Inventory and Control	**3.1** Enterprise Asset Inventory	Maintain and manage an asset inventory for software and hardware. Ensure version control is in place.	ISO 27001 A.8.1, NIST SP 800-53 CM-8, ISACA COBIT 5 DSS02, GLI-24, GLI-33

Software Inventory	Ensure all software is licensed.	ISO 27001 A.8.1, NIST SP 800-53 CM-8, ISACA COBIT 5 DSS02, GLI-24, GLI-33	
Data Protection	**4.1** Secure Disposal of Data and enforce retention of data.	Secure disposal of data as per policy.	ISO 27001 A.10.1, NIST SP 800-53 SC-12, ISACA COBIT 5 DSS01, GLI-33
Data Encryption in Transit	Encrypt sensitive data during transit.	ISO 27001 A.10.1, NIST SP 800-53 SC-12, ISACA COBIT 5 DSS01, GLI-33	
Data Access Logging	Log access to sensitive data, routinely reviewed and maintain compliance.	ISO 27001 A.8.3, NIST SP 800-53 AU-6, ISACA COBIT 5 DSS06, GLI-33	
Secure Configuration	**5.1** Secure Factory Configuration	Change factory configurations to secure settings.	ISO 27001 A.9.1.1, NIST SP 800-53 CM-2, ISACA COBIT 5 DSS01, GLI-33
Firewalls	Use firewalls at the boundary of dissimilar security domains. Ensure appropriate configuration. Appropriate logs are maintained.	ISO 27001 A.13.1, NIST SP 800-53 SC-7, ISACA COBIT 5 DSS05, GLI-33	
Access and Account Management	**6.1** Account Management	Use unique passwords and follow NIST standards for password complexity.	ISO 27001 A.9.2, NIST SP 800-53 AC-2, ISACA COBIT 5 DSS05, GLI-33
Least Privilege Access	Ensure employees have the least privilege access based on role.	ISO 27001 A.9.2.2, NIST SP 800-53 AC-6, ISACA COBIT 5 DSS05	
Removal or adjustment of access rights.	Access rights are removed or adjusted promptly when an employee leaves for is reassigned.	ISO/IEC 27001 A.9.2.6, NIST SP 800-53, ISACA COBIT DSS05.04, DSS06.03	
Multi-Factor Authentication (MFA)	Enforce MFA for administrative and remote access. **Optional MFA requiring opt out for account holders and required on new devices or other mitigating controls effective January 1, 2026.**	ISO 27001 A.9.4, NIST SP 800-53 IA-2, ISACA COBIT 5 DSS05, GLI-33	

Vulnerability Management	**7.1** Vulnerability Scanning	Establish automated vulnerability scanning and remediation processes.	ISO 27001 A.12.6, NIST SP 800-53 RA-5, ISACA COBIT 5 DSS05, GLI-33
Intrusion Prevention Systems	Use intrusion prevention systems to monitor and block malicious activities.	ISO 27001 A.13.1, NIST SP 800-53 SC-18, ISACA COBIT 5 DSS05, GLI-33	
Audit Logs	**8.1** Audit Log Access Control**.**	Ensure audit logs have access control, are stored properly, and are reviewed regularly.	ISO 27001 A.12.4, NIST SP 800-53 AU-2, ISACA COBIT 5 DSS06, GLI-33
Log Review	Regular review and documentation of audit logs.	ISO 27001 A.12.4, NIST SP 800-53 AU-6, ISACA COBIT 5 DSS06	
Email Security	**9.1** Phishing Training	Conduct routine phishing awareness training for employees.	ISO 27001 A.10.1, NIST SP 800-53 SC-5, ISACA COBIT 5 DSS05, PCI-DSS 12.6, CIS Control 14, 17, GLI-33
Anti-Malware Software	Install and configure anti-malware software with signature updates.	ISO 27001 A.10.1, NIST SP 800-53 SC-5, ISACA COBIT 5 DSS05	
Network Security	**10.1** Network Architecture	Maintain and regularly review network architecture for security vulnerabilities.	ISO 27001 A.13.1, NIST SP 800-53 SC-7, ISACA COBIT 5 DSS05, NIST CSF, CIS control 4, 9, 13, GLI-33
Intrusion detection	Monitoring remote access	Detect unauthorized attempts to access, identify unauthorized access and suspicious activities, and provides software, firmware integrity.	NIST SP 800 53 AC 17, IR-4, SI-4, SI-7, NIST SP 800-94, ISO/IEC 27001 A.12.4.1, PCI-DSS, GDPR Article 32, SANS, GLI-33
Demilitarized Zones (DMZ)	Secure DMZ configuration	NIST SP 800-53 AC-17, SC-12, SC-7, SC-13, CA-3, NIST SP 800-41, NIST SP 800-94, ISO/IEC 27001 A.13.1.1, A.10.1.1, A.9.2.6PCI DSS, CIS 13.3, 9.4NERC CIP CIP-005-6, CIP-007-6, SANS 12	
Application Layer Filtering	Implement application-layer filtering and intrusion detection.	ISO 27001 A.13.1, NIST SP 800-53 SC-7, ISACA COBIT 5 DSS05, GLI-33	

Third-Party Vendors	**11.1** Third-Party Contracts	Include audit rights and security clauses in third-party contracts such as rights to audit, escrow, etc.	ISO 27001 A.15.1, NIST SP 800-53 SA-9, ISACA COBIT 5 DSS04
PCI-DSS	**13.1** PCI-DSS Compliance	Ensure compliance with PCI-DSS standards to protect cardholder data.	ISO 27001 A.15.2, NIST SP 800-53 SC-12, ISACA COBIT 5 DSS04, GLI-33
Wireless Networks	**14.1** WLAN Security	Ensure wireless networks use appropriate authentication, encryption (e.g., AES), and updated standards. Default configs and passwords must be changes. Use appropriate certificate validations.	ISO 27001 A.13.2, NIST SP 800-53 AC-17, ISACA COBIT 5 DSS05
DNS Security	**15.1** Secure DNS Configuration	Use secure primary and secondary DNS servers that are logically and physically separated.	ISO 27001 A.13.2, NIST SP 800-53 SC-19, ISACA COBIT 5 DSS05, GLI-33
Component Hardening	**16.1** Security Hardening	Address known security vulnerabilities by hardening components and removing unnecessary functionality.	ISO 27001 A.9.2, NIST SP 800-53 CM-6, ISACA COBIT 5 DSS01
User Privacy and Data Protection	**17.1** Personal Information Protection	Implement robust controls to ensure that users' personal information (e.g., financial data, identity) is protected.	GDPR Article 25 (Data Protection by Design and by Default), ISO 27001 A.8.2.3 (Handling PII), NIST SP 800-53 AC-17 (Access Control for Sensitive Data), GLI-33, Office of the Privacy Commissioner of Canada
Fraud Detection and Prevention	**18.1** Safeguard against fraud	Implement systems and processes for detecting and preventing fraudulent transactions and activities within the wagering platform.	PCI-DSS 10.2 (Monitoring for Fraudulent Activity), NIST SP 800-53 AC-19 (Access Control for Fraud Prevention), ISO 27001 A.10.1 (Cryptographic Controls for Fraud Detection), GLI-33

Incident Response Plan (IRP) and Communication	**19.1** Incident Management	Develop and maintain an incident response plan specifically addressing security breaches, unauthorized transactions, or any suspicious activities in the platform.	ISO 27001 A.16.1.1 (Incident Management), NIST SP 800-53 IR-4 (Incident Handling), PCI-DSS 12.10 (Incident Response), GLI-33
Authentication and Authorization Controls (for Gamblers)	**20.1** Secure User Access	Implement strong authentication mechanisms (such as multi-factor authentication) for user login to prevent unauthorized access to betting accounts.	NIST SP 800-63 (Digital Identity Guidelines), PCI-DSS 8.3 (User Authentication), ISO 27001 A.9.2 (User Access Control), GLI-33
Mobile Device Security	**21.1** Securing Mobile Access	Ensure that mobile applications used for online wagering are secure, encrypted, and protected from unauthorized access.	NIST SP 800-124 (Mobile Device Security), ISO 27001 A.9.4 (Access Control for Mobile Devices), GLI-33
Application Layer Filtering and Intrusion Detection	**22.1** Traffic Monitoring and Protection	Implement application-layer filtering and intrusion detection to protect systems from attacks and unauthorized access.	ISO 27001 A.13.1 (Network Security), NIST SP 800-53 SC-7 (Boundary Protection), ISACA COBIT 5 DSS05 (Monitor and Evaluate Network Security), GLI-33
Data Minimization and Anonymization	**23.1** Reduce Data Exposure	Minimize the amount of personal data collected from users. Anonymize or pseudonymize sensitive data where possible.	GDPR Article 5 (Data Minimization), ISO 27001 A.8.2.4 (Anonymization), NIST SP 800-53 SC-28 (Data Protection), GLI-33
Server & Database Security	**24.1** Data Storage Protection	Ensure database servers storing financial and personally identifiable information (PII) are configured securely and access is properly controlled.	NIST SP 800-53 SC-28 (Protection of Information at Rest), ISO 27001 A.9.4 (Access Control), PCI-DSS 3.4 (Data Protection), GLI-33
Regular Penetration Testing and Vulnerability Assessments	**25.1** Continuous Security Testing	Perform regular penetration testing and vulnerability assessments to identify and address weaknesses in the security posture of the wagering platform.	ISO 27001 A.12.6 (Vulnerability Management), NIST SP 800-53 RA-5 (Vulnerability Scanning), PCI-DSS 11.3 (Penetration Testing)

Service Level Agreements	Review SLA's for security and compliance clauses.	Uptime and availability, incident response and notification, data protection and privacy, performance monitoring, access controls, change management, backups and disaster recovery, legal and financial penalties.	ISO 27001 & ISO 27701, PCI-DSS, NIST 800-53, SOC 2 Type II, GLI, eCOGRA, GDPR & CCPA, GLI-33
Cybersecurity Insurance and/or Other Mitigating Controls	**26.1** Risk Mitigation through Insurance	Ensure the company holds sufficient cybersecurity insurance to cover the potential risks associated with online wagering operations.	ISO 27001 A.18.1.5 (Cybersecurity Insurance), NIST SP 800-53 CA-9 (Risk Management), GLI-33
Patch Management Policies and Procedures	Verify the existence of a formal patch management policy	Pre-deployment testing, rollback plans are in place, deployment tracking logs, post patch validation and monitoring	ISO 27001 A.12.6.1, NIST 800-40 Rev 3, NIST 800-53 S1-2, PCI DSS 6.1, SOC 2, MOIST 800-137, GLI-33
Pari-mutuel Wagering	Pari-mutuel Integrity	Race data accuracy and fair odds generation, encryption transmission of wagering information, transaction processing controls and audit trails.	ISO 27001, NIST 800-53, SOC 2, PCI-DSS, GLI-33, eCOGRA, GLI-11

Adopted Version 4.1 ARCI 4/26/07 topic was ARCI-004-015

Added subsection C entitled "Advanced Deposit Wagering on Past Live Racing Products" to ARCI-004-049 - Advanced Deposit Account Wagering. Version 9.5 ARCI Board of Directors 12/04/20
Repealed subsection C entitled "Advanced Deposit Wagering on Past Live Racing Products" ARCI Board of Directors 03/09/23
Version 13.1 to 14 May 7, 2025 Added Subsection C

ARCI-004-050 Historical Horse Racing

A. General - Pari-Mutuel System of Wagering Required for Historical Horse Racing

(1) The only wagering permitted for historical horse racing shall be under the pari-mutuel system of wagering. All systems of wagering other than pari-mutuel shall be prohibited for historical horse racing. Any person participating or attempting to participate in prohibited wagering shall be ejected and excluded from association grounds.

B. Definitions

(1) The following words and terms shall have the following meanings when used in this chapter, unless the context clearly indicates otherwise:

i. *Applicant*—a duly licensed entity who has submitted an application to obtain a license to offer pari-mutuel wagering on historical horse racing from the

commission.

ii. *Commission*—any applicable State Racing or Gaming Commission.

iii. *Historical Horse Race*—a form of horse racing that creates pari-mutuel pools from wagers placed on previously conducted horse races and is hosted at an authorized facility, including:
   1. Any horse race whether running or harness, that was previously conducted at a licensed pari-mutuel facility;
   2. Concluded with official results; and
   3. Concluded without scratches, disqualifications, or dead-heat finishes.

iv. *Historical Horse Racing*—an electronic wagering system used to create and sell pari-mutuel pools from wagers placed on historic horse races, or that otherwise offer pari-mutuel wagers on such races.

v. *Independent Testing Laboratory*—a laboratory with a national reputation for honesty, independence, and timeliness that is demonstrably competent and qualified to scientifically test and evaluate devices for compliance with this chapter and to otherwise perform the functions assigned to it by this chapter. An independent testing laboratory shall not be owned or controlled by a licensee, the state, or any manufacturer, supplier, or operator of historical horse racing terminals.

vi. *Integrity Auditor*—a company that conducts periodic and regular tests on the validity of pari-mutuel wagering, deductions, and payouts for the applicable historical horse racing event, including the legitimacy of the event itself, and tests that the order of finish of the race selected in the wager is valid, match to the order of finish that occurred empirically, and that all runners that were listed as entered into the race for the purposes of the wager, legitimately ran in the race.

vii. *Key Person License*—a license issued to a key person of an operator licensed by the commission.

viii. *Key Person*—any of the following entities or individuals:
   1. an officer, director, trustee, partner, or proprietor of a duly licensed association and/or person that has applied for or holds an operator, management company, or wagering vendor license or an affiliate or holding company that has control of a person that has applied for or holds any such license;
   2. a person that holds a combined direct, indirect, or attributed debt or equity interest of more than 5 percent in a person that has applied for or holds an operator, management company, or wagering vendor license;
   3. a person that holds a combined direct, indirect, or attributed equity interest of more than 5 percent in a person that has a controlling interest in a person that has applied for or holds an operator, management company, or wagering vendor license.
   4. a managerial employee of a person that has applied for or holds an operator, management company, or wagering vendor license in this

state, or a managerial employee of an affiliate or holding company that has control of a person that has applied for or holds an operator, management company, or wagering vendor license in this state, who performs the function of principal executive officer, principal operating officer, principal accounting officer, or an equivalent officer;

5. a managerial employee of a person that has applied for or holds an operator, management company, or wagering vendor license, or a managerial employee of an affiliate or holding company that has control of a person that has applied for or holds an operator, management

   company, or wagering vendor license, who will perform or performs the function of historical horse racing operations manager, or will exercise or exercises management, supervisory, or policy-making authority over the proposed or existing historical horse racing wagering operation, or supplier business operations in this state and who is not otherwise subject to occupational licensing in this state;
6. any individual or business entity so designated by the commission or executive director; and
7. an institutional investor is not a key person unless the institution has a controlling interest or fails to meet the standards for waiver of eligibility and suitability requirements for qualification and licensure under the applicable regulation or statute.

ix. *Licensee*—any entity holding an owner's or operator's license under any applicable regulation or statute, and/or offtrack wagering facility, or who is granted a license by the commission under this chapter to conduct pari-mutuel wagering on historical horse racing.

x. *Logic Area*—unless housed in a secure server approved by the Commission, a separately locked cabinet area with its own monitored, locked door or other monitored, locked covering that houses electronic components that have the potential to significantly influence the operation of the terminal.

xi. *Management Company*—an organization retained by an association or entity to manage the conduct of historical horse racing and provide services such as accounting, general administration, maintenance, recruitment, and other operational services.

xii. *Operator*—a person or entity licensed pursuant to applicable regulation or statute to operate historical horse racing terminals in a location approved by the commission.

xiii. *Takeout*—the amount a historical horse racing licensee is authorized to withhold from a pari-mutuel wager. Takeout is also known as a commission.

xiv. *Terminal*—any self-service totalizator machine or other mechanical or electronic equipment used by a patron to place a pari-mutuel wager on a historical horse race, including hardware, software, communications equipment, and electronic devices that accept and process the cashing of

wagers, calculates the odds or payouts of the wagers, and records, displays, and stores pari-mutuel wagering information.

xv. *Wagering Facility*—the area approved by the commission where historical horsing racing is allowed to be operated.

xvi. *Wagering Vendor*—a person who is licensed by the commission to manufacture, fabricate, assemble, produce, program, refurbish, or make modifications to any critical component of a historical horse racing system, or associated program storage device for sale, lease, distribution, use or play by an operator in the applicable State, or any supplier of goods or services the commission deems critical to the operation or integrity of a historical horse racing system.

C. General Provisions

(1) The commission may waive or grant a variance from the provisions of these regulations, if the commission determines that the waiver or variance is in the best interests of the public, is impractical, or overly burdensome. Any waiver or variance granted pursuant to this section constitutes an order of the commission pertaining to historical horse racing, violation of which subjects a licensee to discipline.

(2) In granting any variance authorized by this section, the commission may impose certain conditions and restrictions with which the licensee must comply to accept and use the variance. Failure to meet the conditions or restrictions contained in the variance will immediately render the variance void, and the licensee may be subject to discipline in the same manner as if the variance had never been issued.

D. Records Retention

(1) All operator, management company, or wagering vendor licensees shall maintain, in a place secure from theft, loss, or destruction, adequate records of its business and accounting operations. The licensees shall make the records available to the commission or its agents, upon request, within a reasonable time prescribed by a subpoena duces tecum or by written request of the commission or its agents. The licensees shall hold the records for not less than two years. The records shall include, but not be limited to, all of the following:

i. all correspondence with, or reports to, the commission or any local, state, or federal governmental agency regarding the operation of an historical horse racing facility;

ii. all correspondence concerning the acquisition, construction, maintenance, or business of a proposed or existing historical horse racing or support facility;

iii. a personnel file on each employee;

iv. notwithstanding Subsection A of this Section, a licensed operator shall hold copies of all promotional and advertising material, records, or complimentary distributions for at least one year, unless otherwise requested by the commission;

v. an operator licensee shall keep and maintain accurate, complete, legible, and

permanent records of any books, records, or documents pertaining to, prepared in, or generated by, the historical horse racing wagering operation, as described in its internal controls, as approved by the commission; and

vi. an operator shall organize, and index all required records in a manner that enables the commission to locate, inspect, review, and analyze the records with reasonable ease and efficiency.

E. Duties of the Commission

(1) The commission shall enact such policies and procedures to implement the following responsibilities:

i. license and regulate operators for the operation of historical horse racing wagering systems authorized pursuant to any applicable regulation or statute, including adopting, promulgating, and enforcing rules and regulations

governing historical horse racing wagering consistent with any applicable statute(s);

ii. regulate the operation of historical horse racing wagering in order to prevent and eliminate corrupt practices and fraudulent behavior, and thereby promote integrity, security, and honest administration in, and accurate accounting of, the operation of historical horse racing wagering operations which are subject to any applicable statute(s);

iii. establish criteria to license applicants for operator licenses and all other types of licenses for other positions and functions incident to the operation of historical horse racing wagering, including adopting, promulgating, and enforcing rules, regulations, and eligibility standards, or waiving such criteria in limited circumstances as provided for in the applicable regulations or statute, for such operator licenses, management company licenses, vendor licenses, key person licenses and other occupational licenses, positions, and functions incident to the operation of historical horse racing wagering;

iv. charge fees for applications for licenses, to include the cost of conducting background investigations, and for the issuance of operator licenses, management company licenses, vendor licenses, key person licenses and other occupational licenses and all other types of licenses to successful applicants which will be payable to the commission;

v. charge fees to operators in an amount necessary to compensate the commission for the cost of oversight and regulatory services to be provided, which will be payable to the commission;

vi. grant, deny, revoke, and suspend operator licenses and all other types of licenses based upon reasonable criteria and procedures established by the commission to facilitate the integrity, productivity, and lawful conduct of historical horse racing within the applicable jurisdiction;

vii. to investigate the suitability of applicants for operator licenses and all other types of licenses;

viii. determine the priority and eligibility of any applicant for a license and to

select among competing applicants for a license, the applicant who or which best serves the interests of the residents of the applicable State;

ix. to administer oaths and affirmations to the witnesses, when, in the opinion of the commission, it is necessary to enforce the provisions of any applicable regulation or statute;

x. to adopt technical standards governing the design, operation and control of historical horse racing equipment;

xi. the operation of any operator conducting historical horse racing wagering for the purpose of certifying the revenue thereof and receiving complaints from the public;

xii. to approve the hours of operation for each historical horse racing facility. Change to such hours of operation may be made by the operator for extenuating circumstances with notice to the commission stating the reasons for the change;

xiii. to audit or cause audit of historical horse racing wagering operations, including those that have ceased operation;

xiv. issue subpoenas for the attendance of witnesses or the production of any records, books, memoranda, documents, papers, videos, pictures, electronic media, or other things at or prior to any hearing as is necessary to enable the commission to effectively discharge its duties;

xv. executive director oaths or affirmations as necessary to carry out the provisions of any applicable regulation or statute(s);

xvi. have the authority to impose, subject to judicial review, administrative fines as defined by any applicable regulation or statute(s);

xvii. to receive and investigate complaints from patrons concerning the conduct of historical horse racing;

xviii. inspect, test and approve historical horse racing systems and related equipment proposed for use or placed in use in historical horse racing facilities;

xix. to approve locations for the storage and servicing of historical horse racing systems and related equipment;

xx. to require that a historical horse racing facility make devices and equipment available for examination and inspection;

xxi. establish procedures for the governance of the commission;

xxii. acquire necessary offices, and to employ the services of persons the commission considers necessary for the purposes of consultation or investigation, and fix the salaries of, or contract for the services of, legal, accounting, technical, operational, and other personnel and consultants;

xxiii. to secure, by agreement, information and services as the commission considers necessary from any other unit of government;

xxiv. maintain the excluded persons database in accordance with the provisions of any applicable regulation or statute(s);

xxv. establish and enforce minimum internal controls for the operation of historical horse racing wagering and by which each operator will develop

their own internal controls;

xxvi. establish procedures for an applicant for a staff position to disclose conflicts of interest as part of the application for employment;

xxvii. to determine any facts or any conditions, practices, or other matters as the commission considers necessary or proper to aid in the enforcement of any applicable regulation or statute(s).; and

xxviii. do all things necessary and proper to carry out its powers and duties under any applicable statute(s), including the adoption and promulgation of rules and regulations.

F. Wagering on Historical Horse Races Authorized

(1) Wagering on historical horse races is hereby authorized and may be conducted in accordance with any applicable statute(s).

(2) Wagering on historical horse races shall only be conducted by associations licensed to operate a pari-mutuel facility, pursuant to applicable statute(s) and/or by offtrack wagering facilities, pursuant to applicable statutes(s).

(3) The commission may create classifications of licenses and establish a fee structure for license categories. Applicants for each category of license must apply on forms approved by the commission to be accompanied by the corresponding license application fee. All application fees are non-refundable.

i. The following license fees have been approved by the commission:

1. applicant association (initial) - $_____;
2. license fee per establishment/OTB (initial) - $_____ ;
3. wagering vendor license (initial) - $_____;
4. wagering vendor license (annual renewal) - $_____;
5. background investigation - up to $_____;
6. non-key person license (initial) - $_____; and
7. key person license (initial) - $_____.

(4) An application for a license under applicable regulations and this Chapter is a request by the applicant seeking a revocable privilege. A license may be granted by the commission if the applicant meets the licensing requirements of the applicable statute and these rules. The commission may require holders of a current pari-mutuel wagering facility license to complete an updated application form and undergo additional background screening prior to being authorized to conduct historical horse racing. The commission may issue new licenses to such existing license holders to include the conditions and licensing requirements contained in this Chapter.

(5) An applicant for a license under applicable statutes and this Chapter shall, at all times, have the burden of demonstrating to the commission, by clear and convincing evidence, that the applicant is eligible, qualified, and suitable to be granted and retain the license for which application is made under the applicable licensing standards and requirements of applicable regulations, statutes and the applicable rules.

(6) A license issued by the commission pursuant to this Chapter is a revocable privilege granted by the commission. A person who holds a license does not acquire, and shall not be deemed to acquire, a vested property right or other right, in the license.

(7) Applicants for any license issued by the commission under the provisions of this Chapter must pay all fees and assessments prescribed either by law or the applicable rules in the manner and at the time prescribed by law and/or the applicable rules. Application fees and applicable assessments for all historical horse racing wagering licenses and must be paid by the applicant at the time that an application is filed with the commission. None of the licenses listed in this Chapter may be transferred or assigned.

(8) The commission may refuse to take final action on any application if all license regulation, investigation, and fingerprint fees have not been paid in full. The commission may deny the application if the applicant refuses or fails to pay all such fees. Additionally, an applicant who has refused or failed to pay the required costs will not be eligible to file any other application with the commission until all such fees are paid in full. Neither the license fee or regulation fees nor any other fee is refundable.

(9) Materials, or portions of materials, submitted pursuant to these rules may be identified as confidential by a licensee, an applicant for a license, or any other person. If the materials are exempt from disclosure by statute, the materials shall not be disclosed by the commission, except to other jurisdictions or law enforcement agencies as provided.

(10) An applicant or licensee shall accept any risk of adverse publicity, public notice, notoriety, embarrassment, criticism, financial loss, or other unfavorable or harmful
consequences that may occur in connection with, or as a result of, the application and licensing process or the public disclosure of information submitted to the commission with a license application or at the commission's request under applicable statutes and regulations.

(11) Licensees have a continuing obligation to demonstrate suitability to hold a license by complying with all applicable regulations, applicable rules, and all federal, state, and local laws relating to the suitability of the licensee. The commission may reopen the investigation of a licensee at any time. The licensee shall be assessed fees, if any, to cover the additional costs of the investigation.

(12) An applicant or licensee may claim any privilege afforded by the Constitution or laws of the United States or of the applicable jurisdiction in refusing to answer questions or provide information requested by the commission. However, a claim of privilege with respect to any testimony or evidence pertaining to the eligibility, qualifications, or suitability of an applicant or licensee to be granted or hold a license under applicable regulations and statutes may constitute cause for denial, suspension, revocation or restriction of the license.

(13) An applicant and licensee shall have a continuing duty to do all of the following:

i. promptly notify the commission in writing within 10 business days of a material change in the information submitted in the license application submitted by the applicant or licensee or a change in circumstance, that may render the applicant or licensee ineligible, unqualified, or unsuitable to hold the license under the licensing standards and requirements of the act and these rules; and

ii. provide any information requested by the commission relating to licensing or regulation, cooperate with the commission in investigations, hearings, and

enforcement and disciplinary actions within the period of time requested by the commission, and comply with all conditions, restrictions, requirements, orders, and rulings of the commission in accordance with these Rules.

(14) The following persons are required to hold an occupational license:

i. a person employed by an association, entity or management company and whose duties are directly related to the conduct of historical horse racing;

ii. all security personnel;

iii. employees whose duties are performed off the wagering facility and whose duties include the handling of money or performing accounting and auditing functions that involve money obtained as a result of historical horse racing;

1. An occupational license level one is the highest level of occupational license. An occupational licensee may perform any activity included within the occupational licensee's level of occupational license or any lower level of occupational license.
2. An employee of an association or management company who does not hold an occupational license shall not perform any duties relating to the conduct of historical horse racing at any time.
3. A person under 18 years of age shall not hold an occupational license of any level. Applicants for occupational license level one must be at least 21 years of age.
4. An application for an occupational license shall not be processed by the commission unless the applicant has an agreement or a statement of intent hire with an association or management company licensee or applicant, documenting that the applicant will be employed upon receiving the appropriate occupational license.
5. Employees of an authorized gaming operator who perform the following functions, regardless of title, shall obtain an occupational license level one:
    a. audit director;
    b. chief regulatory compliance officer;
    c. information technology director and managers;
    d. security director;
    e. surveillance director;
    f. chief financial officer or controller, or both;
    g. historical racing operations director;
    h. general manager;
    i. assistant general manager; or
    j. any other employee of an authorized gaming operator whom the commission deems necessary, to ensure compliance with applicable regulations and statutes, to hold an occupational license level one.
6. A person holding a level one license employed by an association or

management company may not be employed concurrently by a wagering vendor, except that a person holding a level one license may be employed by a licensed management company that is also licensed as a wagering vendor.

7. Employees of an association who perform the following functions, regardless of title, shall obtain an occupational license level two:
    a. security personnel and surveillance personnel;
    b. any employee of an association whose duties are performed are directly related to the conducting of historical horse racing;
    c. any employee of an association whose duties include accounting and auditing functions and whose duties relate to money obtained as a result of historical horse racing; and
    d. any other employee of an association whom the commission deems necessary, to ensure compliance with applicable rules, to hold an occupational license level two;
8. The term of all occupational license levels is three years and requires an initial license application fee to be determined by the commission and an annual license fee.

(15) Applicants for a historical horse racing wagering license, an occupational license, and applicants for renewals of such licenses shall comply with the following procedures:

i. Every application for a license category authorized by the commission must be submitted on forms supplied or approved by the commission and must contain such information and documents as required for such license category.
ii. The applicant must file with the application all required supplemental forms.
iii. Upon request of the commission, the applicant must further supplement any information provided in the application. The applicant must provide all requested documents, records, supporting data, and other information within the time period specified in the request. If the applicant fails to provide the requested information within the required time period as set forth in the request or applicable rules, the commission may deny the application unless good cause is shown.
iv. All information required to be included in an application must be true and complete as of the date of commission action sought by the applicant. If there is any change in the information contained in the application, the applicant must file a written amendment within 30 days of the change of information in accordance with these Rules.
v. The application and any amendments must be sworn to or affirmed by the applicant. If any document is signed by an attorney for the applicant, the signature must certify that the attorney has read the document and that, to the best of the attorney's knowledge, information and belief, based on diligent inquiry, the contents of the documents supplied are true.

vi. The applicant must cooperate fully with the commission with respect to the background investigation of the applicant, including, upon request, making available any and all of its books and records for inspection. The commission will examine the background, personal history, financial associations, character, record, and reputation of the applicant to the extent the commission determines.

vii. The commission will automatically deny the application of any applicant that refuses to submit to a background investigation as required pursuant to the applicable rules.

viii. Neither the state, the commission, any agency with which the commission contracts to conduct background investigations, nor the employees of any of the foregoing, may be held liable for any inaccurate information obtained through such an investigation.

(16) In addition to specific conditions imposed in any license issued by the commission under these rules, any license issued by the commission for the operation of historical horse racing wagering is subject to the following conditions.

i. With respect to a historical horse racing wagering operator's license, the licensed operator will at all times make its wagering facility available for inspection by the commission or their authorized representatives with or without prior announcement. Additionally, the licensed operator understands that a commission agent is authorized to be present anywhere within the wagering facility each day any time during operation of historical horse racing wagering, and whenever else deemed appropriate by the director of enforcement.

ii. The operator licensee consents to the examination of all accounts, bank accounts, and records of, or under the control of the operator licensee, or any entity in which the operator licensee has a direct or indirect controlling interest. Upon request of the commission or its authorized representative, the operator licensee must authorize all third parties in possession or control of the requested

documents to allow the commission or commission agents to examine such documents.

iii. The operator licensee will observe and enforce all rules, regulations, decisions, and orders issued by the commission. The operator's license is granted on the condition that the operator licensee, management, and its employees will obey all decisions and orders of the commission. Each operator licensee will have a continuing duty to report to the commission enforcement division any violation of the applicable rules or applicable statutes by the operator licensee, management, and its employees. Failure to report violations will result in disciplinary action against the operator licensee. The licensee is required to notify the commission in writing within 30 days of the violation.

(17) The commission may refuse to issue an operator licensee or deny any operator licensee application on any grounds deemed reasonable by the commission. Without

limiting the foregoing, the commission may deny the application on any of the following grounds:

i. evidence of an applicant submitting an untrue or misleading statement of material fact, or willful omission of any material fact, in any application, statement, or notice filed with the commission, made in connection with any investigation, including the background investigation, or otherwise made to the commission or its staff;
ii. conviction of any felony in any jurisdiction by key persons of the applicant or by the applicant which may affect the applicant's ability to properly perform his or her duties or reflect unfavorably on the integrity of a historical horse racing wagering facility;
iii. conviction of any gambling offense in any jurisdiction by key persons or by the applicant;
iv. entry of any civil or administrative judgment against the applicant or its key persons that is based, in whole or in part, on conduct that allegedly constituted a felony crime in the state or other jurisdiction in which the conduct occurred that may affect the applicant's ability to properly perform his or her duties or reflect unfavorably on the integrity of a historical horse racing wagering facility, or involved a gambling violation(s);
v. association by the applicant, applicant's spouse or members of applicant's immediate household with persons or businesses of known criminal background or persons of disreputable character that may adversely affect the general credibility, security, integrity, honesty, fairness or reputation of the historical horse racing wagering industry;
vi. any aspect of the applicant's or any key person's past conduct, character, or behavior that the commission determines would adversely affect the credibility, security, integrity, honesty, fairness or reputation of the proposed historical horse racing wagering activity;
vii. failure of the applicant or its key persons to demonstrate adequate business ability and experience to establish, operate, and maintain the business for the type of activity for which application is made;
viii. failure to demonstrate adequate financing for the operation proposed in the application;
ix. failure to satisfy any requirement for application or to timely respond to any request by the commission for additional information;
x. permanent suspension, revocation, denial or other limiting action on any license related to historical horse racing wagering issued by any jurisdiction; and
xi. approval of the application would otherwise be contrary to applicable law or public policy.

(18) The commission, in the same manner and in accordance with the applicable Administrative Procedures Act, will provide the applicant with written notice of the denial, and the applicant shall have the opportunity to appeal the commission decision in conformity with all applicable statutes and regulations.

(19) The commission may issue a provisional license to any applicant who provides the required fingerprint cards, photographs, completed application, and intent to employ statement. Provisional licenses may be valid for a period established by the commission but shall not be more than 90 days and is subject to the license conditions enumerated in the commission's authorization of the provisional license.

i. The commission may extend the duration of provisional licenses in 30-day increments if the licensing process has not been completed.

(20) Wagering on historical horse races shall only be permitted in the designated area on the licensed premises of the pari-mutuel facility and/or offtrack wagering facility. Wagering on historical horse races shall not be offered in any other location.

(21) An applicant for a license to offer pari-mutuel wagering on historical horse racing shall apply for a license to conduct the same with the commission at its offices. An application fee, set by the commission-approved license fee schedule, shall be paid for each location where the applicant seeks to offer pari-mutuel wagering on historical horse racing to reimburse the commission for the cost of regulation. The initial application fee shall be paid upon filing of the application.

i. Licensees authorized to offer pari-mutuel wagering on historical horse racing shall pay an annual license fee set by the commission-approved license fee schedule, to be paid monthly, to reimburse the commission for the cost of regulation.
ii. The annual total for initial application fees or annual licenses fees shall not exceed the commission's budgeted costs for the regulation of historical horse racing in any calendar year.

(22) An applicant for a license to offer pari-mutuel wagering on historical horse racing shall submit a plan of operation that includes:

i. the number of terminals to be operated at the facility, broken down by terminal provider, make, and model;
ii. a detailed description of the proposed area designated for the sale of pari-mutuel pool, and the placement of terminals within the area, including a drawn-to-scale architectural rendering that describes:
    1. size, construction, and capacity of the area;
    2. the number and location of each terminal; and
    3. the location of surveillance and other security equipment.
iii. a description of the type of data processing, communication, totalizator and transmission equipment to be utilized;
iv. a networking diagram detailing the manner in which the machines will be networked with the wagering servers and back office systems;
v. an IT security plan detailing the logical security measures for the wagering system;
vi. the type, number and denominations of pari-mutuel wagers to be offered;
vii. the terminal provider, make, and model of each terminal, including a copy of all literature supplied by the manufacturer of the terminal;
viii. the maintenance and repair procedures that will ensure the integrity of the terminals;

ix. detailed information on the wager types, including breakage, to be offered by the applicant, including information demonstrating compliance with the requirements of this chapter;

x. wager specification documentation, which shall include the rules for the mathematical models, methodology of calculating payouts of the pools, configuration of pools, how money is allocated to or from the pools (including seed pool(s) as applicable), and pool payout methodology. As used herein, a seed pool refers to a pool of money that is used to ensure that all patrons are paid the minimum payout on winning wagers.

(23) Before offering wagering on historical horse races, an association shall first obtain the commission's written approval of all wagers offered as set forth in the applicable rules governing such wagers or other accepted pari-mutuel wager type as approved by the commission.

(24) A license for conducting pari-mutuel wagering on historical horse racing shall run concurrent with the association's license to conduct horse racing and/or operate offtrack wagering facilities. A licensee may not transfer its license, or assign responsibility for compliance with the conditions of its license, to any party, including, without limitation, a transfer of effective control of the licensee, without commission approval.

(25) Failure to comply with requirements in these Rules, and/or offtrack wagering facility requirements pursuant to specific statute and the applicable rules may result in suspension or revocation of the license for conducting pari-mutuel wagering at the discretion of the commission.

G. Operational Requirements for the Conduct of Historical Horse Racing

(1) An association may conduct wagering on historical horse races of any horse breed regardless of the type of breed that primarily races in live meets conducted by the association. An association may conduct wagering on historical horse races on any days and hours approved by the commission and shall not be limited to times during which the association is conducting a live horse race meeting.

(2) A mutuel wager on historical horse races may be placed only from a physical facility of a licensee.

(3) A mutuel wager on historical horse racing may not be placed using a mobile device unless the system communicating with the mobile device to place the wager is fully controlled and operated by the licensed facility at which the wager is placed. For the purposes of this Section, "fully controlled and operated" means the licensed facility develops, owns, leases, acquires a license for, or otherwise contracts for services to operate and control a mobile historical horse racing wagering system.

(4) No licensee may accept a mutuel wager on historical horse racing if the wager is placed via a mobile phone or other personal electronic device, unless the network infrastructure and all pari-mutuel wagering software complies with the relevant technical requirements within these rules.

(5) Nothing in this Section independently authorizes wagering or facilitation of wagering on historical horse racing outside of the licensed pari-mutuel wagering operation.

(6) Any historical horse racing solution that relies on wireless networked

communications, including all mobile historical horse racing systems, shall annually conduct a system integrity and security risk assessment performed by an independent information technology security professional approved by the commission. The system integrity and security risk assessment shall be conducted no later than 90 days after commencing operations and annually thereafter. The scope of the pari-mutuel wagering system integrity and security assessment is subject to the approval of the commission and must include:

i. A vulnerability assessment of digital platforms, mobile applications, internal, external, and wireless networks with the intent of identifying vulnerabilities of all devices, the historical horse racing system, and applications transferring, storing, and/or processing personal identifying information or other sensitive information connected to or present on the networks;
ii. A penetration test of all digital platforms, mobile applications, and internal, external, and wireless networks to confirm devices, the historical horse racing wagering systems, and applications are not susceptible to compromise;
iii. A review of the firewall rules to verify the operating condition of the firewall and the effectiveness of its security configuration and rule sets that must be performed on all perimeter and internal firewalls;
iv. A technical security control assessment against the commission's technical requirements for security and with generally accepted professional standards;
v. An evaluation of information security services, cloud services, payment services, financial institutions, payment processors, location services, and any other services that may be offered directly by the licensee or involve the use of third parties; and
vi. At the discretion of the executive director, any additional assessments or specific testing criteria which may be required by internal control procedures.

(7) All wagers offered on historical horse races shall incorporate the following elements:

i. A patron may only wager on historical horse races on a terminal approved by the commission;
ii. For each different type of exotic wager on historical horse races offered by an association, the association shall at all times maintain at least two terminals offering each such exotic wager;
iii. Once a patron deposits an amount in the terminal offering wagering on historical horse races, one or more historical horse races shall be made available for wagering as set forth in the wagering specification rules;
iv. Prior to the patron making his or her wager selections, the terminal shall not display any information that would allow the patron to identify the historical horse race or races on which he or she is wagering, including the location of the race or races, the date on which the race or races was run, the names of the horses in the race or races, or the names of the jockeys that rode the horses in

the race or races;

v. The terminal shall make available true and accurate past performance information on the historical horse race to the patron prior to making his or her wager selections. The information shall be current as of the day the historical horse race was actually run. The information provided to the patron shall be displayed on the terminal in data or graphical form; and

vi. After a patron finalizes his or her wager selections, the terminal shall display the patron's successful selections, the official results of each race, and a replay of the race or races, or a portion thereof, whether by digital or animated depiction or by way of a video recording. The identity of each race shall be revealed or made available to the patron after the patron has placed his or her wager.

H. Historical Horse Race Specification and Selection Requirements

(1) The outcome of any historical horse race wager shall be derived from the result of one or more historical horse races.

(2) All historical horse races must be chosen at random from a database of actual historical horse races. All races in the database shall have a valid historical horse race result with details recorded at the same level as other races in the database, and shall include:

i. race location;
ii. race date; and
iii. finishing order.

(3) If available and provided for in the recorded race data, other information such as horse name and jockey name or associated identifiers may be included in the race database.

(4) In the case where a random process is used to select the historical horse races for a wager, all possible races in the database shall be available for selection.

(5) Each terminal shall:

i. be tested by an independent testing laboratory, selected by the commission, and found to be in compliance with all applicable technical standards. Any modifications made to the terminal or software shall require re-testing;
ii. provide race information that is current as of the day the horse race was actually run;
iii. allow any patron that is handicapping to exit the manual handicapping interface;
iv. display the information provided to the patron in graphic form which is discernable to the bettor;
v. not be in the nature of a slot machine. A terminal shall not be considered to be in the nature of a slot machine when it precludes the use of random elements to determine the outcome of a wager other than the selection of a race or races from a database of races, when all wagers and prizes are pari-mutuel in nature, and when it does not include any interest of the licensee.

(6) Prior to the patron making his or her wager selections, the terminal shall:

(7) make true and accurate past performance information available on each historical horse race; and

(8) not display any information that would allow the patron to identify the historical horse race on which the patron is wagering, including:
   i. location of the race;
   ii. the date on which the race was run;
   iii. the names of the horses in the race; or
   iv. the names of the jockeys who rode the horses in the race.

(9) In addition to the requirement of Paragraph 2 of Subsection F of this Section, the terminal may also display the wager and its outcome as part of an entertaining display, provided the underlying wager and outcome functions according to the pari-mutuel wagering pool specifications provided by the historical horse racing licensee to the commission.

(10) Approximate odds or payouts for each wagering pool shall be posted, or made available, on each terminal for viewing by patrons.

I. Payouts through Pari-Mutuel Pools Authorized

(1) A wager on a historical horse race or races, less deductions permitted by any applicable regulation or statute, shall be placed in pari-mutuel pools approved by the commission.

(2) A payout to a winning patron shall be paid from money wagered by patrons and shall not constitute a wager against the association.

(3) An association conducting wagering on historical horse races shall not conduct wagering in such a manner that patrons are wagering against the association, or in such a manner that the amount retained by the association as a commission is dependent upon the outcome of any particular race or the success of any particular wager.

(4) An association offering wagering on historical horse races shall operate a pari-mutuel pool or pools in a manner and method approved by the commission. An association offering wagering on historical horse races may operate a player-funded pool or pools in a manner and method approved by the commission for the purpose of ensuring that sufficient funds are at all times available to pay any winning wagers in situations where a pari-mutuel pool becomes a minus pool. For each wager made, an association may assign a percentage of the wager to a player-funded pool or pools.

(5) If an association chooses to make a deposit into a trust account or seed pool for the purpose of ensuring that sufficient funds are at all times available to pay any winning wagers in situations where a pari-mutuel pool becomes a minus pool, then such trust account must be approved by the commission.

J. Minors Prohibited from Wagering on Historical Horse Races

(1) A minor shall not be permitted by any licensed association to purchase or cash a parimutuel ticket on historical horse races.

K. Responsible Play

(1) A licensee shall implement a program to promote responsible play of historical horse racing by its patrons and provide details of the same to the commission. At a minimum, such program shall require:

i. posting in a conspicuous place in every facility where pari-mutuel wagering on historical horse racing is conducted a sign that bears a toll-free number for an approved organization that provides assistance to problem gamblers;
ii. providing informational leaflets or other similar materials at the licensee's facilities on the dangers associated with problem gambling;
iii. including in the licensee's promotional and marketing materials information on problem gambling and organizations that provide assistance to problem gamblers;
iv. providing patrons expressing concern with a gambling problem with information on organizations that provide assistance to problem gamblers; and
v. ensuring that any request by a patron who wishes to self-exclude from the licensee's facilities is honored by the licensee.

(2) A licensee shall report annually to the commission and make a copy available to the public on its efforts to meet Subsection A of this Section, its efforts to identify problem gamblers, and steps taken to:
i. prevent such individuals from continuing to engage in pari-mutuel wagering on historical horse racing; and
ii. provide assistance to these individuals to address problem gambling activity.

L. Totalizator or Other Approved Equipment Required

(1) Pari-mutuel wagering on historical horse races shall only be conducted through the use of a totalizator or other similar mechanical or electrical equipment.
(2) The totalizator or other mechanical or electrical equipment shall be available for testing under the supervision of the commission upon request by the commission to ensure its proper working order.
(3) Wagering on historical horse races shall be offered on terminals that include a cabinet in which the electronics and other operating components are located. All terminals and other equipment shall be subject to inspection by the commission.
(4) The terminal cabinet and electronics shall:
i. protect against electrostatic interference by being grounded so that static discharge energy shall not permanently damage or inhibit the normal operation of the electronics or other components within the wagering terminal. In the event that a temporary disruption of the normal operation of a wagering terminal occurs as a result of an electrostatic discharge, the wagering terminal shall have the capacity to recover and complete any interrupted wager without loss or corruption of any control or critical data information. Each terminal shall be tested to a maximum discharge severity level of 27 kilovolt air discharge;
ii. not be adversely affected, other than during resets, by surges or dips of up to 20 percent of the supply voltage. If a wagering terminal is designed such that a surge or dip of up to 20 percent of the supply voltage causes a reset, the terminal shall also be designed so that a surge or dip shall not result in damage to the equipment or loss or corruption of data. Upon reset, the wager play shall

return to its previous state or return to a wager completion state, provided the wagering history and all credit and accounting meters comprehend a completed wager play;

iii. have an on/off switch that controls the electrical current installed in a readily accessible location within the interior of the terminal so that power cannot be disconnected from outside of the terminal using the on/off switch. The on/off positions of the switch shall be labeled;

iv. be designed so that power and data cables into and out of the terminal can be routed so that they are not accessible to the general public. Security-related wires and cables that are routed into a logic area shall be securely fastened within the interior of the terminal;

v. have an identification badge affixed to the exterior of the terminal by the terminal provider that is not removable without leaving evidence of tampering. This badge shall include the following information:
    1. name of the terminal provider;
    2. a unique serial number;
    3. the terminal model number; and
    4. the date of manufacture;

vi. have an external tower light located conspicuously on the top of the terminal that automatically illuminates when a patron has won an amount that the terminal cannot automatically pay or when an error condition has occurred;

vii. be constructed of materials that are designed to allow only authorized access to the inside of the terminal. The terminal and its locks, doors, and associated hinges shall be capable of withstanding determined and unauthorized efforts to gain access to the inside of the terminal and shall be designed to leave evidence of tampering if such an entry is made;

viii. be equipped with doors of a locked area that are designed to resist the use of tools or other objects used to breach the locked area by physical force;

ix. have external doors that shall be locked and monitored by door access sensors. When the external doors are opened, the door access sensors shall:
    1. cause wagering activity to cease;
    2. disable all currency acceptance;
    3. enter an error condition;
    4. illuminate the tower light at a minimum; and
    5. record the error condition. The requirements of this Subsection do not apply to the drop box door;

x. have external doors designed so that it shall not be possible to insert a device into the terminal that will disable a sensor that indicates “door open” without leaving evidence of tampering when the door of the terminal is shut;

xi. have a sensor system that shall provide notification that an external door is open when the door is moved from its fully closed and locked position, provided power is supplied to the device;

xii. have a logic area, which is housed in a secure server approved by the

Commission, or which is a separately locked cabinet area with its own monitored, locked door or other monitored, locked covering that houses electronic components that have the potential to significantly influence the

operation of the terminal. There may be more than one such logic area in a terminal. The electronic components housed in the logic area shall include:

1. a central processing unit and any program storage device that contains software that may affect the integrity of wagering, including the individual play accounting, system communication, and peripheral firmware devices involved in or that significantly influence the operation and calculation of wager plays, wager outcome display, wager result determination, or wager play accounting, revenue, or security;
2. communication controller electronics and components housing the communication program storage device; and
3. the nonvolatile memory backup device, which if located in the logic area, shall be kept within a locked logic area; and

xiii. have a currency storage area that is separately keyed and fitted with sensors that indicate "door open/close" or "stacker receptacle removed," provided power is supplied to the device. Access to the currency storage area shall be secured by two locks before the currency can be removed. The locks shall be located on the relevant outer door and on at least one other door.

(5) Critical memory requirements shall include the following:

i. Critical memory storage shall be maintained by a methodology that enables errors to be identified, including signatures, checksums, partial checksums, multiple copies, timestamps, effective use of validity codes, or any combination of these methods.

ii. Comprehensive checks of critical memory shall be made following wager play initiation but prior to display of wager outcome to the patron.

iii. An unrecoverable corruption of critical memory shall result in an error state. The memory error shall not be cleared automatically and shall cause the terminal to cease further functioning. The critical memory error shall also cause any communication external to the terminal to immediately cease. An unrecoverable critical memory error shall require restoration or clearing of software state by an authorized person.

iv. If critical memory is maintained in nonvolatile memory on the terminal and not by the server-based system, then:

1. the terminal shall have the ability to retain data for all critical memory as defined in this Section and be capable of maintaining the accuracy of the data for 30 days after power is discontinued from the terminal;
2. for rechargeable battery types only, if the battery backup is used as an off-chip battery source, it shall recharge itself to its full potential in a maximum of 24 hours, and the shelf life of the battery shall be at least five years;

3. nonvolatile memory that uses an off-chip backup power source to retain its contents when the main power is switched off shall have a detection system that will provide a method for software to interpret and act upon a low battery condition before the battery reaches a level where it is no longer capable of maintaining the memory in question. Clearing nonvolatile memory shall require access to the locked logic area or other
secure method, provided that the method is approved by the commission; and
4. following the initiation of a nonvolatile memory reset procedure, the wagering program shall execute a routine that initializes all bits in critical nonvolatile memory to the default state. All memory locations intended to be cleared as per the nonvolatile memory clear process shall be fully reset in all cases.

v. Critical memory of a server-based wager configuration may be maintained by the server, terminal, or some combination thereof. The critical memory related to each terminal shall:
1. be kept independent to all other wagering terminals. If corruption occurs in any single terminal's critical memory no other terminal shall be effected by the terminal's corrupt memory state; and
2. be clearly identified as to which physical terminal the critical memory represents, through unique identification, such as serial number or other unique terminal hardware identifier.

vi. All terminals shall be equipped with a device, mechanism, or method for retaining the value of the meter information specified in §13135 in the event of a loss of power to the terminal. Storage and retrieval of the accounting meters from a server is an acceptable method of retrieval.

vii. Configuration setting changes shall not cause an obstruction to the meters.

viii. If the terminal is in a test, diagnostic, or demonstration mode, any test that incorporates credits entering or leaving the terminal shall be completed prior to resumption of normal operation. In addition, there shall not be any mode other than normal wagering operation that debits or credits any of the electronic meters. Any wagering credits on the terminal that were accrued during the test, diagnostic, or demonstration mode shall be cleared before the mode is exited. Specific meters are permissible for these types of modes, provided the meters are clearly identified.

ix. Terminals shall not allow any information contained in a communication to or from the online monitoring system that is intended to be protected, including validation information, secure personal identification numbers, credentials, or secure seeds and keys, to be viewable through any display mechanism supported by the terminal.

(6) Program storage devices shall be required to comply with the following.

i. All program storage devices shall:
1. be housed within a fully enclosed and locked logic compartment;

2. validate themselves during each processor reset; and
3. validate themselves the first time they are used.

ii. Program storage devices that do not have the ability to be modified while installed in the terminal during normal operation shall be clearly marked with information to identify the software and revision level of the information stored in the devices.

iii. Server-stored information shall be backed up no less often than once per day to an offsite storage facility. Offsite storage may include storage through a cloud service provider if approved by the commission. The server and offsite backup storage shall be accessible to the commission and subject to third-party checks and validation.

M. Terminal Operational/Software Requirements

(1) Terminals shall have the ability to allow for an independent integrity check of all software that may affect the integrity of the wagering configurations available to the terminal. The integrity check shall be by an independent testing laboratory approved by the commission.

(2) If a winning amount is in excess of the thresholds established in the Internal Revenue Service reporting requirements, the terminal shall cease operation and require attendant interaction to proceed.

(3) Terminals shall be capable of detecting and displaying the following errors:

i. open door conditions;
ii. nonvolatile memory errors;
iii. low nonvolatile memory battery for batteries external to the nonvolatile memory itself for low power source;
iv. program error or authentication mismatch;
v. display device errors;
vi. the identification of an invalid bill or voucher; and
vii. of communication to the tote system.

(4) To protect the integrity of the wagering configuration, when a terminal error condition is detected, the terminal shall secure itself by:

i. ceasing play and requiring operator intervention prior to returning to normal play;
ii. displaying an appropriate error message;
iii. disabling bill and voucher acceptance;
iv. sounding an alarm, illuminating the tower light, displaying the error on screen, or any combination of the three;
v. communicating the error condition to an online monitoring and control system; and
vi. if the terminal is powered down with an unresolved error condition, remaining in error mode unless power down is used as a part of the error reset procedure.

(5) Upon resolution of an error condition, a terminal may return to a wager completion state, provided the wagering history, wagering credits, and other meters display the completed

wager properly.

(6) Terminals shall not be adversely affected by the simultaneous or sequential activation of various terminal inputs and outputs.

(7) Test, diagnostic, or demonstration modes on a terminal shall:
   i. be entered only from an attendant following appropriate instructions;
   ii. not be accessible to a patron;
   iii. be indicated on the terminal via an appropriate message; and
   iv. exiting from test, diagnostic, or demonstration mode, a terminal shall return to its previous state.

(8) Available wagering credit may be collected from the terminal by the patron at any time other than during:
   i. a bet being wagered;
   ii. audit mode;
   iii. test mode;
   iv. a credit meter or win meter increment; or
   v. an error condition.

(9) Terminals shall be capable of displaying wager recall, which shall:
   i. include the last 10 wagers on the terminal, including at least 50 intermediary steps within those wagers, including free spins and bonuses;
   ii. be retrievable on the terminal via an external key-switch or other secure method not available to the patron; and
   iii. provide all information required to fully reconstruct the wagers, including:
      1. initial credits or ending credits associated with the wager;
      2. credits wagered;
      3. credits won;
      4. entertaining display symbol combinations and credits paid whether the outcome resulted in a win or a loss;
      5. representation in a graphical or text format;
      6. final wager outcome, including all patron choices and all bonus features; and,
      7. as an optional feature, display of values as currency in place of wagering credits.

N. Requirements for Tickets or Vouchers used in Historical Horse Racing

(1) Terminals shall not dispense currency. Payment to patrons shall only be accomplished by means of a printed voucher.

(2) All vouchers shall contain the following printed information at a minimum:
   i. licensee name and site identifier, which may be contained on the ticket stock itself;
   ii. terminal number or cashier booth location;
   iii. date and time stated according to the local time zone;
   iv. alpha and numeric dollar amount;
   v. ticket or voucher sequence number;
   vi. validation number;

vii. bar code or any machine-readable code representing the validation number;
viii. type of transaction or other method of differentiating voucher types. If the voucher is a non-cashable item, the ticket shall explicitly express that it has "no cash value"; and
ix. the expiration period from date of issue, or date and time the ticket or voucher will expire according to the local time zone. This information may be contained on the ticket stock itself. Payment on valid pari-mutuel tickets, including tickets where refunds are ordered, shall be made only upon presentation, and surrender of valid pari-mutuel tickets to the licensee within 180 days after the purchase of

the ticket. Failure to present any valid pari-mutuel ticket to the licensee within 180 days after the purchase of the ticket shall constitute a waiver of the right to payment.

(3) A system approved by the commission shall be used to validate the payout ticket or voucher. The ticket or voucher information on the central system shall be retained for two calendar years after a voucher is valid at that location.
(4) Payment by voucher as a method of credit redemption shall only be permissible when the terminal is linked to a computerized voucher validation system that is approved by the commission.
(5) The validation system must be able to identify a duplicate ticket or voucher to prevent fraud.
(6) Terminals must meet the following minimum requirements to incorporate the ability to issue offline vouchers after a loss of communication has been identified by a wagering terminal.
i. The wagering terminal shall not issue more offline vouchers than it has the ability to retain and display in the wagering terminal-maintained voucher-out log.
ii. The wagering terminal shall not request validation numbers used in the issuance of vouchers until all outstanding offline voucher information has been fully communicated to the voucher validation system.
iii. The wagering terminal shall request a new set of validation numbers used in the issuance of online or offline vouchers if the current list of validation numbers has the possibility of being compromised, which shall include:
1. after power has been recycled; or
2. upon exit of a main door condition.
iv. Validation numbers must always be masked when viewable through any display supported by the wagering terminal such that only the last four digits of the validation number are visible.
(7) Vouchers may be inserted in any terminal participating in the validation system providing that no credits are issued to the terminal prior to confirmation of voucher validity.
(8) The offline voucher redemption may be validated as an internal control process. A manual handpay may be conducted for the offline voucher value.

O. Terminal Peripheral Device Requirements

(1) Video monitor touch screens on terminals shall:

i. be accurate to manufacturer specifications for touch point sensitivity;
ii. be able to be calibrated without access to the terminal cabinet other than opening the main door, and once calibrated shall maintain accuracy for at least the video touch screen manufacturer's recommended maintenance period; and
iii. have no hidden or undocumented buttons or touch points anywhere on the screen that affect wagering or that impact the outcome of the bet, except as provided by the wagering configuration rules.

(2) Paper currency acceptors used in a terminal shall:

i. be electronically based;
ii. detect the entry of bills or vouchers inserted into the paper currency acceptor and provide a method to enable the terminal software to interpret and act appropriately upon a valid or invalid input;
iii. configured to ensure the acceptance of only valid bills or vouchers and reject all other items;
iv. return to the patron all rejected bills or vouchers, and any other item inserted into the acceptor;
v. be constructed in a manner that protects against vandalism, abuse, or fraudulent activity;
vi. register the actual monetary value or appropriate number of wagering credits received for the denomination used on the patron's credit meter for each valid bill or voucher;
vii. register wagering credits only when the bill or other note has passed the point where it is accepted or stacked, and the acceptor has sent an "irrevocably stacked" message to the terminal;
viii. be designed to prevent the use of fraudulent crediting, the insertion of foreign objects, and any other fraudulent technique;
ix. implement a method of detecting counterfeit bills;
x. only accept bills or vouchers when the terminal is enabled for play;
xi. have the capability of detecting and displaying any supported error conditions;
xii. shall communicate with the terminal using a bi-directional protocol;
xiii. be located in a locked area of the terminal that requires the opening of the main door for access. The paper currency acceptor shall not be located in the logic area. Only the bill or voucher insertion area shall be accessible by the patron;
xiv. have a secure stacker that shall:
    1. deposit into the stacker all accepted items;
    2. be attached to the terminal in such a manner that it cannot be easily removed by physical force; and
    3. have a separate keyed lock to access the stacker area. The keyed lock shall be separate from the main door, and a separate keyed lock shall be required to remove the bills from the stacker; and

xv. have a bill validator that shall:
    1. retain in its memory and have the ability to display the information required of the last 25 items accepted by the bill validator;
    2. have a recall log that may be combined or maintained separately by item type. If combined, the type of item accepted shall be recorded with the respective timestamp; and
    3. give proper credit or return the bill or note if power failure occurs during acceptance of a bill or note.

(3) Each terminal shall be equipped with a printer that:
    i. is used to make payments to the patron by issuing a printed voucher. The terminal shall transmit the following data to an online system that records the following information regarding each payout ticket or voucher printed:
        1. the value of credits in local monetary units in numerical form;
        2. the time of day the ticket or voucher was printed, showing hours and minutes;
        3. the date, in format approved by the commission, indicating the day, month, and year that the ticket or voucher was issued;
        4. the terminal number; and
        5. a unique ticket or voucher validation number.
    ii. prints only one copy to the patron and retains information on the last 25 printed vouchers;
    iii. is housed in a locked area of the terminal but shall not be located within the logic area or the drop box; and
    iv. allows control program software to interpret and act upon all error conditions.

(4) With appropriate security in place, historical horse racing wagering accounts may be funded directly from mobile devices and through various advance-deposit account funding mechanisms, whether it be through credit card, bank, or attendant or kiosk at association locations.

P. Location of Terminals Used for Wagering on Historical Horse Races

(1) Terminals offering wagering on historical horse races shall be located within designated areas which have the prior written approval of the commission. Designated areas shall be established in such a way as to control access by the general public and prevent entry by any patron who is under 18 years of age or is otherwise not permitted to place wagers.

(2) Each association shall monitor persons entering and leaving the designated areas and shall prevent access to any patron who is under 18 years of age or is otherwise not permitted to place wagers on historical horse races.

(3) Each association shall provide terminals that are accessible to handicapped patrons.

Q. Records to be Maintained

(1) Each association shall maintain complete records of all pari-mutuel wagering transactions on historical horse races, including the amounts wagered at each historical

horse racing terminal.

(2) A copy of the wagering records shall be retained and safeguarded for a period of not less than 18 months and shall not be destroyed without the prior written permission of the commission.

R. Accounting and Occurrence Meter Requirements

(1) The required accounting meters and related reporting as follows using the same or similar terminology:

i. coin in, which accumulates the total value of all wagers, whether the wagered amount results from the insertion of bills or vouchers or deduction from a credit meter;

ii. coin out, which accumulates the total value of all amounts directly paid by the terminal as a result of winning wagers, whether the payback is made to a credit meter or any other means;

iii. attendant paid jackpot, which accumulates the total value of credits paid by an attendant resulting from a single wager, in excess of thresholds established by
the Internal Revenue Service reporting requirements, the amount of which results in Internal Revenue Service or applicable agency reporting;

iv. attendant paid canceled credit, which accumulates the total value paid by an attendant resulting from a patron-initiated cashout or non-taxable winning wager that exceeds the physical or configured capability of the terminal to make the proper payout amount;

v. bill in, which accumulates the total value of currency accepted. Each wagering terminal shall have a specific occurrence meter for each denomination of currency accepted that records the number of bills accepted of each denomination;

vi. voucher in, which accumulates the total value of all wagering terminal vouchers accepted by the device;

vii. voucher out, which accumulates the total value of all wagering terminal vouchers issued by the device;

viii. noncashable electronic promotion in, which accumulates the total value of noncashable credits from vouchers accepted by the terminal;

ix. cashable electronic promotion in, which accumulates the total value of cashable credits from vouchers accepted by the terminal;

x. noncashable electronic promotion out, which accumulates the total value of noncashable credits issued to vouchers by the device; and

xi. cashable electronic promotion out, which accumulates the total value of cashable credits issued to vouchers by the device.

(2) Additional required occurrence meters are as follows:

i. cashable promotional credit wagered, which accumulates the total value of promotional cashable credits that are wagered;

ii. plays wagered, which accumulates the number of wagers placed; and

iii. plays won, which accumulates the number of wagers resulting in a win to

the patron.

(3) Electronic accounting meters shall maintain and calculate data to at least 10 digits in length.

(4) Electronic accounting meters shall be maintained in credit units equal to the denomination or in dollars and cents.

(5) If the electronic accounting meter is maintained in dollars and cents, eight digits must be used for the dollar amount and two digits must be used for the cents amount.

(6) Devices configured for multi-denomination wagering shall display the units in dollars and cents at all times.

(7) Any time the meter exceeds a value it is not capable of exceeding, the meter must roll over to zero.

(8) Occurrence meters shall be at least eight digits in length but are not required to automatically roll over.

(9) Meters shall be identified so that they can be clearly understood in accordance with their function.

(10) Meters can be on the server instead of the terminal.

(11)

S. Required Reports for Wagering on Historical Horse Races; Audit and Inspection by the Commission

(1) All systems used for pari-mutuel wagering on historical horse races shall provide financial reports for individual approved wager model configurations and total pool amounts for each pool. Reports shall be available at the end of the wagering day or upon request by the commission with information current since the end of the last wagering day. The reports shall include:

i. current values of each pari-mutuel wagering pool and daily net pool change;
ii. total amounts wagered for all pools;
iii. total amounts won by patrons for all pools;
iv. total commission withheld for all pools;
v. total breakage for all pools, where applicable;
vi. total amount wagered at each terminal;
vii. total amount won by patrons at a terminal;
viii. the amount wagered on each mathematical model configuration and the amount won from each mathematical model configuration offered at a terminal;
ix. total amount of each type of financial instrument inserted into a terminal;
x. total amount cashed out in voucher or handpays at a terminal; and
xi. taxable win events including:
    1. time and date of win;
    2. wagering terminal identification number;
    3. amount wagered resulting in taxable win; and
    4. taxable amount won.

(2) As provided in above, the commission or its authorized representatives may, at any time, conduct an audit or inspection of the financial reports, software, terminals, or other equipment used by a licensee in conducting operations under this Chapter.

T. Equipment and Laboratory Testing

(1) Each association shall provide for a nationally recognized, independent testing laboratory approved by the commission to submit to the commission a general functional evaluation laboratory report regarding the hardware and software installed on each historical horse racing terminal and the software on each historical horse racing app indicating whether same is in compliance with applicable law and regulations.

(2) Any alterations, modifications, or updates to the software or hardware on any historical horse racing terminal or the software on any historical horse racing app shall require the vendor to submit to the commission a new laboratory report as required under Subsection A of this Section before the wagering configuration may be used for play at an establishment.

(3) If there is a complete breakdown of a terminal offering wagering on historical horse racing, the association offering the wager shall make a full refund of the patron's balance on the terminal at the time of the breakdown.

U. Minimum Wagers and Payouts

(1) The minimum wager to be accepted by an association on a wager based on the outcome of a historical horse race or races shall be set by the Commission or applicable statute. The minimum payout on any wager shall not be less than the amount wagered.

V. Odds and Payouts Posted

(1) For wagering on historical horse races, approximate odds or payouts for each pari-mutuel pool shall be posted or made available on each terminal for viewing by patrons.

W. Betting Explanation

(1) Each association shall post, in conspicuous places in the designated area, a general explanation of pari-mutuel wagering offered on historical horse races and an explanation of each pari-mutuel pool offered. The explanation shall be submitted to the commission for approval prior to its posting.

X. Wagering Terminal Historical Horse Race Display

(1) All wagering terminals shall have video displays that clearly identify the entertaining theme, if any, being used to offer pari-mutuel wagering on historical horse racing. The video display shall make available the rules of the historical horse racing wager and the award that will be paid to the patron when the patron obtains a specific win.

(2) All payable information, rules of play, and help screen information shall be available to a patron prior to placing a wager.

(3) All wagering terminals shall have video displays that make available to the patron the rules of any features or interactive functions that may occur on the patron interface as part of the entertaining display of the wager and its outcome. The video displays shall:

i. clearly identify the entertaining theme, if any, being used to offer pari-

mutuel wagering on historical horse racing;

ii. make the following information available to the patron:
    1. all paytable information, rules of play, and help screen information;
    2. award that will be paid to the patron when the patron obtains a specific win; and
    3. the rules of any features or interactive functions that may occur as part of the entertaining display of the wager and its outcome;

iii. provide the race data in a reasonable manner as to not discourage patrons who wish to handicap from doing so; and

iv. allows the patron to compare their picks against the true order of finish.

(4) The video display shall clearly indicate whether awards are designated in credits or currency.

(5) All wagering terminals shall display the following information to the patron at all times the wagering terminal is available for patron wager input:

i. the patron's current credit balance in currency or credits;

ii. the current bet amount;

iii. the amount won for the last completed wager until the next wager starts or betting options are modified;

iv. the patron’s options selected for the last completed wager until the next wager starts or a new selection is made; and

v. a disclaimer stating "Malfunction Voids All Pays" or some equivalent wording approved by the commission. This may be presented as a permanent sign on the terminal.

(6) Entertaining features that simulate bonus or free plays shall meet the following requirements:

i. the initiation of a bonus or free play shall only be based on the result of the wager placed by the patron on the result of the historical horse race selected for the wager;

ii. the bonus or free play shall not require additional money to be wagered by the patron;

iii. the entertaining display shall make it clear to the patron that the patron is in bonus mode to avoid the possibility of the patron unknowingly leaving the wagering terminal while in a bonus mode; and

iv. if the bonus or free play requires an input from the patron, the terminal shall provide a means to complete the bonus or free play from a touch screen or hard button.

(7) Electronic metering displays shall:

i. at all times include all credits or cash available for the patron to wager or cash out unless the terminal is in an error or malfunction state. This information is not required when the patron is viewing a menu or help screen item;

ii. reflect the value of every prize at the end of a wager and add it to the patron's credit meter, except for handpays; and

iii. show the cash value collected by the patron upon a cashout unless the terminal

is in an error or malfunction state. The production of a voucher containing this information shall be sufficient.

(8) A wager is complete when the final transfer to the patron's credit meter takes place or when all credits wagered are lost.

Y. Access by Commission and Agents of the Commission

(1) Each association shall allow the commission and the agents of the commission unrestricted access to inspect the entire premises wherein historical horse racing is being conducted at any time to ensure that the applicable rules are being followed, this shall include the unrestricted access to inspect and test any mechanical, electrical, or electronic devices thereon being utilized or capable of being utilized by the association for historical horse racing.

(2) Subject to the authority of the executive director, the commission may at any time enter into memoranda of understanding with other racing jurisdictions to share historical horse racing investigatory findings, documents, and materials.

(3)

Z. Required Audits and Inspections

(1) Terminals shall have the ability to allow for an independent integrity check of all software that may affect the integrity of the wagering system. The integrity check shall be performed by an independent testing laboratory approved by the commission.

(2) The independent testing laboratory's software may be embedded within the wagering software, utilize an interface port to communicate with the terminal, or require the removal of terminal media for external verification.

(3) Each terminal used for wagering on historical horse races shall be tested by the independent testing laboratory to ensure its integrity and proper working order. This evaluation shall include a review of installed software prior to implementation and periodically within a timeframe established by the commission.

(4) The licensee shall pay the cost of the independent testing laboratory's review and testing, and the reports of the same shall be delivered to the licensee and the commission.

(5) To ensure the integrity of pari-mutuel wagering and validity of the race results, the licensee shall permit an integrity auditor, selected and paid for by the commission, complete access to review and monitor the integrity, security, and operation, including all race and handicapping data used in order to detect any compromise of or anomalies that would allow a player to have an unfair advantage.

(6) The integrity auditor shall be in a position to extract actual data and use a statistically significant portion of this data applied to quality assurance testing and assess the validity of the vendor's management reporting by cross-referencing to a body of raw source information to determine correctness. The integrity auditor shall have experience and expertise involving all components of pari-mutuel wagering and totalizator systems.

(7) The integrity auditor will collect and provide wagering data and reports from the

licensee's vendor. This shall include pari-mutuel commission and liability reports for analysis and verification of the amounts wagered, payouts, takeout, and taxes in addition to all transactional data logs and reports daily as specified by the integrity auditor.

(8) The licensee shall provide access to the integrity auditor to conduct periodic onsite inspections and terminal audits at licensed racetracks and satellite wagering facilities with assistance from the vendor. The licensee shall notify of any adverse or unusual occurrences relating to the operation of play or payouts to the integrity auditor.

Adopted by ARCI Board 3/9/2023

ARCI-004-105 Calculation Of Payouts And Distribution Of Pools

Part I

A. General

All permitted pari-mutuel wagering pools shall be separately and independently calculated and distributed. Takeout shall be deducted from each gross pool as stipulated by law. The remainder of the monies in the pool shall constitute the net pool for distribution as payout on winning wagers.

Either the standard or net price calculation procedure may be used to calculate single commission pools, while the net price calculation procedure must be used to calculate multi-commission pools.

Standard Price Calculation Procedure

SINGLE PRICE POOL (WIN POOL)

Gross Pool	=	Sum of Wagers on all Betting Interests - Refunds
Takeout	=	Gross Pool x Percent Takeout
Net Pool	=	Gross Pool - Takeout
Profit	=	Net Pool - Gross Amount Bet on Winner
Profit Per Dollar	=	Profit / Gross Amount Bet on Winner
$1 Unbroken Price	=	Profit Per Dollar + $1
$1 Broken Price	=	$1 Unbroken Price Rounded Down to the Break Point
Total Payout	=	$1 Broken Price x Gross Amount Bet on Winner
Total Breakage	=	Net Pool - Total Payout

PROFIT SPLIT (PLACE POOL)

Profit is net pool less gross amount bet on all place finishers. Finishers split profit 1/2 and 1/2 (place profit), then divide by gross amount bet on each place finisher for two unique prices.

PROFIT SPLIT (SHOW POOL)

Profit is net pool less gross amount bet on all show finishers. Finishers split profit 1/3 and 1/3 and 1/3 (show profit), then divide by gross amount bet on each show finisher for three unique prices.

Net Price Calculation Procedure

SINGLE PRICE POOL (WIN POOL)

Gross Pool = Sum of Wagers on all Betting Interests - Refunds
Takeout = Gross Pool x Percent Takeout for Each Source:
Net Pool = Gross Pool - Takeout
Net Bet on Winner = Gross Amount Bet on Winner x (1 - Percent Takeout)
Total Net Pool = Sum of All Sources Net pools
Total Net Bet on Winner = Sum of All Sources Net Bet on Winner
Total Profit = Total Net Pool - Total Net Bet on Winner
Profit Per Dollar = Total Profit / Total Net Bet on Winner
$1 Unbroken Base Price = Profit Per Dollar + $1 for each source:
$1 unbroken price = $1 Unbroken Base Price x (1 - Percent Takeout)
$1 Broken Price = $1 Unbroken Price Rounded Down to the Break Point
Total Payout = $1 Broken Price x Gross Amount Bet on Winner
Total Breakage = Net Pool - Total Payout

PROFIT SPLIT(PLACE POOL)

Total profit is the total net pool less the total net amount bet on all place finishers. Finishers split total profit 1/2 and 1/2 (place profit), then divide by total net amount bet on each place finisher for two unique unbroken base prices.

PROFIT SPLIT (SHOW POOL)

Total profit is the total net pool less the total net amount bet on all show finishers. Finishers split total profit 1/3 and 1/3 and 1/3 (show profit), then divide by total net amount bet on each show finisher for three unique unbroken base prices.

(3) If a profit split results in only one covered winning betting interest or combinations it shall be calculated the same as a single price pool.

(4) Minimum payout and the method used for calculating breakage shall be established by the Commission.

(5) The individual pools outlined in these rules may be given alternative names by each association, provided prior approval is obtained from the Commission.

B. Win Pools

(1) The amount wagered on the betting interest which finishes first is deducted from the net pool, the balance remaining being the profit; the profit is divided by the amount wagered on the betting interest finishing first, such quotient being the profit per dollar wagered to Win on that betting interest.

(2) The net Win pool shall be distributed as a single price pool to winning wagers in the following precedence, based upon the official order of finish:

(a) To those whose selection finished first; but if there are no such wagers, then

(b) To those whose selection finished second; but if there are no such wagers then

(c) To those whose selection finished third; but if there are no such wagers, then (d) The entire pool shall be refunded on Win wagers for that contest.

(3) If there is a dead heat for first involving:

(a) contestants representing the same betting interest, the Win pool shall be distributed as if no dead heat occurred.

(b) contestants representing two or more betting interests, the Win pool shall be distributed as a profit split.

Table 1: WIN POOL
(Standard Price Calculation)

Sum of Wagers on All Betting Interests	=	$	194,230.00
Refunds	=	$	1,317.00
Gross Pool:			
Sum of Wagers on All Betting Interests - Refund	=	$	192,913.00
Percent Takeout	=		18%
Takeout:			
Gross Pool x Percent Takeout	=	$	34,724.34

Net Pool:			
Gross Pool - Takeout	=	$	158,188.66
Gross Amount Bet on Winner	=	$	23,872.00
Profit:			
Net Pool - Gross Amount Bet on Winner	=	$	134,316.66
Profit Per Dollar:			
Profit / Gross Amount Bet on Winner	=	$	5.6265
$1 Unbroken Price:			
Profit Per Dollar + $1	=	$	6.6265357

C. Place Pools

(1) The amounts wagered to Place on the first two betting interests to finish are deducted from the net pool, the balance remaining being the profit; the profit is divided into two equal portions, one being assigned to each winning betting interest and divided by the amount wagered to Place on that betting interest, the resulting quotient is the profit per dollar wagered to Place on that betting interest.

(2) The net Place pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish:

(a) If contestants of a coupled entry or mutuel field finished in the first two places, as a single price pool to those who selected the coupled entry or mutuel field; otherwise

(b) As a profit split to those whose selection is included within the first two finishers; but if there are no such wagers on one of those two finishers, then

(c) As a single price pool to those who selected the one covered betting interest included within the first two finishers; but if there are no such wagers, then

(d) As a single price pool to those who selected the third-place finisher; but if there are no such wagers, then

(e) The entire pool shall be refunded on Place wagers for that contest.

(3) If there is a dead heat for first involving:

(a) contestants representing the same betting interest, the Place pool shall be distributed as a single price pool.

(b) contestants representing two or more betting interests, the Place pool shall be distributed as a profit split.

(4) If there is a dead heat for second involving:

(a) contestants representing the same betting interest, the Place pool shall be distributed as if no dead heat occurred.

(b) contestants representing two or more betting interests, the Place pool is divided with one-half (1/2) of the profit distributed to Place wagers on the betting interest finishing first and the remainder is distributed equally amongst Place wagers on those betting interests involved in the dead heat for second.

Table 2: PLACE POOL
(Standard Price Calculation)

Sum of Wagers on All Betting Interests =		$	194,230.
Refunds =		$	1,317.00
Gross Pool:			
Sum of Wagers on All Betting Interests - Refunds	=	$	192,913.00
Percent Takeout	=		18%
Takeout:			
Gross Pool x Percent Takeout	=	$	34,724.34
Net Pool:			
Gross Pool - Takeout	=	$	158,188.66
Gross Amount Bet on 1st place finisher	=	$	23,872.00
Gross amount Bet on 2nd place finisher	=	$	12,500.00
Profit:			
Net Pool - Gross Amount Bet on 1st place finisher			
- Gross Amount Bet on 2nd place finisher	=	$	121,816.66
Place Profit:			
Profit / 2	=	$	60,908.33
Profit Per Dollar for 1st place:			

Place Profit / Gross Amount Bet on 1st place finisher =		$	2.5514548

$1 Unbroken Price for 1st place:

Profit Per Dollar for 1st place + $1	=	$	3.5514548

Profit Per Dollar for 2nd place:

Place Profit / Gross Amount Bet on 2nd place finisher =		$	4.8726664

$1 Unbroken Price for 2nd place:

Profit Per Dollar for 2nd place + $1	=	$	5.8726664

D. Show Pools

(1) The amounts wagered to Show on the first three betting interests to finish are deducted from the net pool, the balance remaining being the profit; the profit is divided into three equal portions, one being assigned to each winning betting interest and divided by the amount wagered to Show on that betting interest, the resulting quotient being the profit per dollar wagered to Show on that betting interest. The net Show pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish:

(a) If contestants of a coupled entry or mutuel field finished in the first three places, as a single price pool to those who selected the coupled entry or mutuel field; otherwise

(b) If contestants of a coupled entry or mutuel field finished as two of the first three finishers, the profit is divided with two-thirds (2/3) distributed to those who selected the coupled entry or mutuel field and one-third (1/3) distributed to those who selected the other betting interest included within the first three finishers; otherwise

(c) As a profit split to those whose selection is included within the first three finishers; but if there are no such wagers on one of those three finishers, then

(d) As a profit split to those who selected one of the two covered betting interests included within the first three finishers; but if there are no such wagers on two of those three finishers, then

(e) As a single price pool to those who selected the one covered betting interest included within the first three finishers; but if there are no such wagers, then

(f) As a single price pool to those who selected the fourth-place finisher; but if there are no such wagers, then

(g) The entire pool shall be refunded on Show wagers for that contest.

(2) If there is a dead heat for first involving:

(a) two contestants representing the same betting interest, the profit is divided with two thirds (2/3) distributed to those who selected the first-place finishers and one-third (1/3) distributed to those who selected the betting interest finishing third.

(b) three contestants representing a single betting interest, the Show pool shall be distributed as a single price pool.

(c) contestants representing two or more betting interests, the Show pool shall be distributed as a profit split.

(3) If there is a dead heat for second involving:

(a) contestants representing the same betting interest, the profit is divided with one-third (1/3) distributed to those who selected the betting interest finishing first and two-thirds (2/3) distributed to those who selected the second-place finishers.

(b) contestants representing two betting interests, the Show pool shall be distributed as a profit split.

(c) contestants representing three betting interests, the Show pool is divided with one-third (1/3) of the profit distributed to Show wagers on the betting interest finishing first and the remainder is distributed equally amongst Show wagers on those betting interests involved in the dead heat for second.

(4) If there is a dead heat for third involving:

(a) contestants representing the same betting interest, the Show pool shall be distributed as if no dead heat occurred.

(b) contestants representing two or more betting interests, the Show pool is divided with two-thirds (2/3) of the profit distributed to Show wagers on the betting interests finishing first and second and the remainder is distributed equally amongst Show wagers on those betting interests involved in the dead heat for third.

Table 3: SHOW POOL
(Standard Price Calculation)

Sum of Wagers on All Betting Interests	=	$	194,230.00
Refunds	=	$	1,317.00
Gross Pool:			
Sum of Wagers on All Betting Interests - Refunds	=	$	192,913.00
Percent Takeout	=		18%

Takeout:

Gross Pool x Percent Takeout	=	$	34,724.34

Net Pool:

Gross Pool - Takeout	=	$	158,188.66
Gross Amount Bet on 1st place finisher	=	$	23,872.00
Gross Amount Bet on 2nd place finisher	=	$	12,500.00
Gross Amount Bet on 3rd place finisher	=	$	4,408.00

Profit:

Net Pool - Gross Amount Bet on 1st place finisher - Gross Amount Bet on 2nd place finisher - Gross Amount Bet on 3rd place finisher	=	$	117,408.66

Show Profit:

Profit / 3	=	$	39,136.22

Profit Per Dollar for 1st place:

Show Profit / Gross Amount Bet on 1st place finisher	=	$	1.6394194

$1 Unbroken Price for 1st place:

Profit Per Dollar for 1st place + $1	=	$	2.6394194

Profit Per Dollar for 2nd place:

Show Profit / Gross Amount Bet on 2nd place finisher	=	$	3.1308976

$1 Unbroken Price for 2nd place:			
Profit Per Dollar for 2nd place + $1	=	$	4.1308976
Profit Per Dollar for 3rd place:			
Show Profit / Gross Amount Bet on 3rd place finisher	=	$	8.8784528
$1 Unbroken Price for 3rd place			
Profit Per Dollar for 3rd place + $1	=	$	9.8784528

Table 4: SHOW POOL

Single Takeout Rate & Single Betting Source

(Net Price Calculation)

Sum of Wagers on All Betting Interests	=	$	194,230.00
Refunds	=	$	1,317.00
Gross Pool:			
Sum of Wagers on All Betting Interests - Refunds	=	$	192,913.00
Percent Takeout	=		18%
Takeout:			
Gross Pool x Percent Takeout	=	$	34,724.34
Total Net Pool:			
Gross Pool - Takeout	=	$	158,188.66
Gross Amount Bet on 1st place finisher	=	$	23,872.00
Net Amount Bet on 1st place finisher	=	$	19,575.04
Gross Amount Bet on 2nd place finisher	=	$	12,500.00
Net Amount Bet on 2nd place finisher	=	$	10,250.00
Gross Amount Bet on 3rd place finisher	=	$	4,408.00

Net Amount Bet on 3rd place finisher	=	$	3,614.56
Total Net Bet on Winners: Net Amount Bet on 1st place finisher + Net Amount Bet on 2nd place finisher + Net Amount Bet on 3rd place finisher	=	$	33,439.60
Total Profit: Total Net Pool - Total Net Bet on Winners	=	$	124,749.06
Show Profit: Total Profit / 3	=	$	41,583.02
Profit Per Dollar for 1st place: Show Profit / Net Amount Bet on 1st place finisher	=	$	2.1242879
$1 Unbroken Base Price for 1st place: Profit Per Dollar for 1st place + $1	=	$	3.1242879
$1 Unbroken Price for 1st place: $1 Unbroken Base Price for 1st place x (1 - percent takeout)	=	$	2.5619161
Profit Per Dollar for 2nd place: Show Profit / Net Amount Bet on 2nd place finisher	=	$	4.0568800
$1 Unbroken Base Price for 2nd place: Profit Per Dollar for 2nd place + $1	=	$	5.0568800
$1 Unbroken Price for 2nd place: $1 Unbroken Base Price for 2nd place x (1 - percent takeout)	=	$	4.1466416
Profit Per Dollar for 3rd place: Show Profit / Net Amount Bet on 3rd place finisher	=	$	11.504310
$1 Unbroken Base Price for 3rd place: Profit Per Dollar for 3rd place + $1	=	$	12.504310
$1 Unbroken Price for 3rd place: $1 Unbroken Base Price for 3rd place x (1 - percent takeout)	=	$	10.253534

E. Double Pools

(1) The Double requires selection of the first-place finisher in each of two specified contests.

(2) The net Double pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish:

(a) As a single price pool to those whose selection finished first in each of the two contests; but if there are no such wagers, then

(b) As a profit split to those who selected the first-place finisher in either of the two contests; but if there are no such wagers, then

(c) As a single price pool to those who selected the one covered first-place finisher in either contest; but if there are no such wagers, then

(d) As a single price pool to those whose selection finished second in each of the two contests; but if there are no such wagers, then

(e) The entire pool shall be refunded on Double wagers for those contests.

(3) If there is a dead heat for first in either of the two contests involving:

(a) contestants representing the same betting interest, the Double pool shall be distributed as if no dead heat occurred.

(b) contestants representing two or more betting interests, the Double pool shall be distributed as a profit split if there is more than one covered winning combination.

(4) Should a betting interest in the first-half of the Double be scratched prior to the first Double contest being declared official, all money wagered on combinations including the scratched betting interest shall be deducted from the Double pool and refunded.

(5) Should a betting interest in the second-half of the Double be scratched prior to the close of wagering on the first Double contest, all money wagered on combinations including the scratched betting interest shall be deducted from the Double pool and refunded.

(6) Should a betting interest in the second-half of the Double be scratched after the close of wagering on the first Double contest, all wagers combining the winner of the first contest with the scratched betting interest in the second contest shall be allocated a consolation payout. In calculating the consolation payout the net Double pool shall be divided by the total amount wagered on the winner of the first contest and an unbroken consolation price obtained. The broken consolation price is multiplied by the dollar value of wagers on the winner of the first contest combined with the scratched betting interest to obtain the consolation payout. Breakage is not declared in this calculation. The consolation payout is deducted from the net Double pool before calculation and distribution of the winning Double payout. Dead heats including separate betting interests in the first contest shall result in a consolation payout calculated as a profit split.

(7) If either of the Double contests are cancelled prior to the first Double contest, or the first Double contest is declared "no contest", the entire Double pool shall be refunded on Double wagers for those contests.

(8) If the second Double contest is cancelled or declared "no contest" after the conclusion of the first Double contest, the net Double pool shall be distributed as a single price pool to wagers selecting the winner of the first Double contest. In the event of a dead heat involving separate betting interests, the net Double pool shall be distributed as a profit split.

Table 5: DOUBLE POOL
(Standard Price Calculation)

Sum of Wagers on All Betting Interests	=	$	194,230.00
Refunds	=	$	1,317.00

Gross Pool:			
Sum of Wagers on All Betting Interests - Refunds	=	$	192,913.00
Percent Takeout	=		18%
Takeout:			
Gross Pool x Percent Takeout	=	$	34,724.34
Net Pool:			
Gross Pool - Takeout	=	$	158,188.66
Gross Amount Bet on Winning Combination	=	$	23,872.00
Profit:			
Net Pool - Gross Amount Bet on Winning Combination	=	$	134,316.66
Profit Per Dollar:			
Profit / Gross Amount Bet on Winning Combination	=	$	5.6265357
$1 Unbroken Price:			
Profit Per Dollar + $1	=	$	6.6265357

Table 6: DOUBLE POOL

CONSOLATION PRICING

Sum of Wagers on All Betting Interests	=	$	194,230.00
Refunds	=	$	1,317.00

Gross Pool:			
Sum of Wagers on All Betting Interests - Refunds	=	$	192,913.00
Percent Takeout	=		18%
Takeout:			
Gross Pool x Percent Takeout	=	$	34,724.34
Net Pool:			
Gross Pool - Takeout	=	$	158,188.66
Consolation Pool:			
Sum Total Amount Bet on winner of the first contest with all second contest betting interests	=	$	43,321.00
$1 Consolation Unbroken Consolation Price:			
Net Pool / Consolation Pool	=	$	3.6515468
$1 Consolation Broken Price	=	$	3.65
Amount Bet on winner of the first contest with scratched betting interests:	=	$	1,234.00
Consolation Liability: $1 Consolation Broken Price x (Amount Bet on the winner of the first contest with scratched betting interests)	=	$	4,504.10
Adjusted Net Pool: Net Pool - Consolation Liability	=	$	153,684.56
Gross Amount Bet on the Winning Combination	=	$	23,872.00
Profit: Adjusted Net Pool - Gross Amount Bet			

on the Winning Combination	=	$	129,812.56
Profit Per Dollar:			
Profit / Gross Amount Bet on the Winning Combination	=	$	5.4378586
$1 Unbroken Price: Profit Per Dollar + $1	=	$	6.4378586

F. Win Three Pools

(1) The Win Three requires selection of the first-place finisher in each of three specified contests.

(2) The net Win Three pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish:

(a) As a single price pool to those whose selection finished first in each of the three contests; but if there are no such wagers, then

(b) As a single price pool to those who selected the first-place finisher in any two of the three contests; but if there are no such wagers, then

(c) As a single price pool to those who selected the first-place finisher in any one of the three contests; but if there are no such wagers, then

(d) The entire pool shall be refunded on Win Three wagers for those contests.

(3) If there is a dead heat for first in any of the three contests involving:

(a) contestants representing the same betting interest, the Win Three pool shall be distributed as if no dead heat occurred.

(b) contestants representing two or more betting interests, the Win Three pool shall be distributed as follows.

(A) as a profit split to those whose selections finished first in each of the three contests; but if there are no such wagers, then

(B) as a single price pool to those who selected the first place finisher in any two of the three contests; but if there are no such wagers, then

(C) as a single price pool to those who selected the first place finisher in any one of the three contests; but if there are no such wagers, then (D) the entire Win Three pool shall be refunded.

(4) Should a betting interest be scratched from a leg of the Win Three all bets with the scratched betting interest will be handled as follows:

(a) If the scratch (which herein after includes being declared a non-starter or a non-betting starter) was made prior to the start of the first leg, all bets containing such scratched betting interest shall be refunded to determine the gross pool an removed from further consideration in the pool;

(b) If the scratch was made in the second leg after the start of the first leg, a consolation payoff shall be computed for those bets combining the winners of the first and third legs with the scratched betting interest as follows: from the gross pool shall be deducted the statutory take-out and then the amount represented by the bets on combinations involving betting interests scratched from the third leg (reduced by the take-out thereon). The resulting remainder shall be divided by the amounts bet on the combination of such first and third leg winners with all betting interests (less breaks) to determine the consolation price per dollar payable to those bets combining winners of the first and third legs with the betting interest scratched in the second leg. The break shall not be deduced from the pool.

(c) If a betting interest is scratched in the third leg after the start of the first leg, a consolation payoff shall be computed as for those bets combining the winners of the first and second legs with such scratched betting interest as follows: from the gross pool shall be deducted the statutory take-out and then the amount represented by bets on combinations involving betting interests scratched from the second leg (reduced by the rate of the take-out thereon). The resulting remainder shall be divided by the amount bet on the combination of such first and second leg winners with all betting interests in the third leg (less breaks) to determine the consolation price per dollar payable to those bets combining winners of the first and second legs with an betting interest scratched in the third leg. The breaks shall not be deducted from the pool.

(d) If betting interests are scratched in both the second and third legs after the start of the first leg, a consolation payoff shall be computed for those bets combining the winner of the first leg with the betting interests scratched in both the second and third legs as follows: from the gross pool shall be deducted the takeout and the remainder shall be divided by the amount bet on the winner of the first leg combined with all other betting interests (less breaks) to determine the consolation price per dollar payable to those tickets combining the winner of the first leg with the scratch betting interests from both the second and third legs.

(5) If all three Win Three contests are cancelled or declared "no contest", the entire pool shall be refunded on Win Three wagers for those contests.

(6) If one or two of the Win Three contests are cancelled or declared "no contest", the Win Three pool will remain valid and shall be distributed in accordance with subsection 2 of this rule.

(7) In the Win Three pool is distributed according to subparagraphs (3)(b)(B) or (C) a public announcement shall be made as to the possible winning three combinations.

G. Pick (n) Pools

(1) The Pick (n) requires selection of the first-place finisher in each of a designated number of contests. The association must obtain written approval from the Commission concerning the scheduling of Pick (n) contests, the designation of one of the methods prescribed in subsection (2), and the amount of any cap to be set on the carryover. Any changes to the approved Pick (n) format require prior approval from the Commission.

(2) The Pick (n) pool shall be apportioned under one of the following methods:

(a) Method 1, Pick (n) with Carryover: The net Pick (n) pool and carryover, if any, shall be distributed as a single price pool to those who selected the first-place finisher in each of the Pick (n) contests, based upon the official order of finish. If there are no such wagers, then a designated percentage of the net pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick (n) contests; and the remainder shall be added to the carryover. Where there is no correct selection of the first-place finisher in at least one of the Pick (n) contests, based upon the official order of finish, the day's net pool shall be refunded and the previous carryover pool amount, if any, shall be carried over to the next scheduled corresponding pool.

(b) Method 2, Pick (n) with 100% Carryover: The net Pick (n) pool and carryover, if any, shall be distributed as a single price pool to those who selected the first-place finisher in each of the Pick (n) contests, based upon the official order of finish. If there are no such wagers, then 100% of that day's net pool shall be added to the carryover. Where there is Page 114 Version 12.1.3, December 2023 The Association of Racing Commissioners International Model Rules of Racing no correct selection of the first-place finisher in at least one of the Pick (n) contests, based upon the official order of finish, the day's net pool shall be refunded and the previous carryover pool amount, if any, shall be carried over to the next scheduled corresponding pool.

(c) Method 3, Pick (n) with Minor Pool and Carryover: The major share of the net Pick (n) pool and the carryover, if any, shall be distributed to those who selected the first-place finisher in each of the Pick (n) contests, based upon the official order of finish. The minor share of the net Pick (n) pool shall be distributed to those who selected the first place finisher in the second greatest number of Pick (n) contests, based upon the official order of finish. If there are no wagers selecting the first-place finisher of all Pick (n) contests, the minor share of the net Pick (n) pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick (n) contests; and the major share shall be added to the carryover. Where there is no correct selection of the first-place finisher in at least one of the Pick (n) contests, based upon the official order of finish, the day's net pool shall be refunded and the previous carryover pool amount, if any, shall be carried over to the next scheduled corresponding pool.

(d) Method 4, Pick (n) with No Minor Pool and No Carryover: The net Pick (n) pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick (n) contests, based upon the official order of finish. If there are no winning wagers, the pool is refunded.

(e) Method 5, Pick (n) with Minor Pool and No Carryover: The major share of the net Pick (n) pool shall be distributed to those who selected the first place finisher in the greatest

number of Pick (n) contests, based upon the official order of finish. The minor share of the net Pick (n) pool shall be distributed to those who selected the first-place finisher in the second greatest number of Pick (n) contests, based upon the official order of finish. If there are no wagers selecting the first-place finisher in a second greatest number of Pick (n) contests, the minor share of the net Pick (n) pool shall be combined with the major share for distribution as a single price pool to those who selected the first-place finisher in the greatest number of Pick (n) contests. If the greatest number of first-place finishers selected is one (1), the major and minor shares are combined for distribution as a single price pool. If there are no winning wagers, the pool is refunded.

(f) Method 6, Pick (n) with Minor Pool and No Carryover: The major share of net Pick (n) pool shall be distributed to those who selected the first-place finisher in each of the Pick (n) contests, based upon the official order of finish. The minor share of the net Pick (n) pool shall be distributed to those who selected the first-place finisher in the second greatest number of Pick (n) contests, based upon the official order of finish. If there are no wagers selecting the first-place finisher in all Pick (n) contests, the net Pick (n) pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick (n) contests. If there are no wagers selecting the first-place finisher in a second greatest number of Pick (n) contests, the minor share of the net Pick (n) pool shall be combined with the major share for distribution as a single price pool to those who selected the first-place finisher in each of the Pick (n) contests. If there are no winning wagers, the pool is refunded.

(g) Method 7, Pick (n) with Carryover and "Unique Winning Ticket" Provision: The net Pick (n) pool and carryover, if any, shall be distributed to the holder of a unique winning ticket that selected the first-place finisher in each of the Pick (n) contests, based upon the official order of finish. If there is no unique ticket selecting the first-place finisher in each of the Pick (n) contests, or if there are no wagers selecting the first-place finisher of all Pick (n) contests, the minor share of the net Pick (n) pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick (n) contests, and the major share shall be added to the carryover. Associations may suspend previously approved unique winning ticket wagering with the prior approval of the Commission. Any carryover shall be held until the suspended unique winning ticket wagering is reinstated. Where there is no correct selection of the first-place finisher in at least one of the Pick (n) contests, based upon the official order of finish, the day's net pool shall be refunded and the previous carryover pool amount, if any, shall be carried over to the next scheduled corresponding pool. In obtaining authorization for operating the Pick (n) pool under this subsection, associations must clearly identify which definition under paragraph 16(b) will be relied upon for determining the existence of a unique winning ticket.

(h) Method 8, Pick (n) with the Pool split into three shares, one share having a Carryover: The share percentages are determined by the pool host and approved by the Commission. The first share of the net Pick (n) pool and the carryover, if any, shall be distributed to those who selected the first-place finisher in each of the Pick (n) contests, based upon the official order of finish. The second share of the net Pick (n) pool shall be distributed to those who selected (n-1) of the Pick (n) contests, based upon the official order of finish and a third share of the Pick (n) pool shall be distributed to those who selected (n-2) of the Pick (n) contests, based upon the official order of finish. If there are no wagers selecting the first-place finisher of all Pick (n) contests, the first share shall be added to the carryover. If there are no wagers selecting (n-1) of the Pick (n) contests, this second share shall be added to the carryover. If there are no wagers selecting (n-2) of the Pick (n) contests, this third share shall be added to the carryover. Where there is no correct selection of the first-place finisher in at least one of the Pick (n) contests, based upon the official order of finish, the day's net pool shall be refunded and the previous carryover pool amount, if any, shall be carried over to the next scheduled corresponding pool.

(i) Method 9, Pick (n) with the pool split into three shares, with Carryovers, and a Unique Winning Ticket Provision: The share percentages are determined by the pool host and approved by the Commission. The first share of the net Pick (n) pool and the first share carryover, if any, shall be distributed to those who selected the first-place finisher in each of the Pick (n) contests, based upon the official order of finish. The second share of the net Pick (n) pool shall be distributed to those who selected the first-place finisher in the second greatest number of Pick (n) contests, based upon the official order of finish. If there are no wagers selecting the first-place finisher of all Pick (n) contests, the second share of the net Pick (n) pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick (n) contests, and the first share shall be added to the first share carryover. The third share and the third share carryover, if any, shall be distributed to the holder of a unique winning ticket that selected the first-place finisher in each of the Pick (n) contests, based upon the official order of finish. If there is no unique winning ticket selecting the first-place finisher in each of the Pick (n) contests, the third share shall be added to the third share carryover. For greater certainty, the holder of a unique winning ticket shall receive both the first share, and first share carryover, if any as well as the third share, and the third share carryover, if any. Where there is no correct selection of the first-place finisher in at least one of the Pick (n) contests, based upon the official order of finish, the day's net pool shall be refunded and the previous carryover pool(s) amount(s), if any, shall be carried over to the next scheduled corresponding pool. In obtaining authorization for operating the Pick (n) pool under this subsection, associations must clearly identify which definition under paragraph 16(b) will be relied upon for determining the existence of a unique winning ticket.

(3) If there is a dead heat for first in any of the Pick (n) contests involving:

(a) contestants representing the same betting interest, the Pick (n) pool shall be distributed as if no dead heat occurred.

(b) contestants representing two or more betting interests, the Pick (n) pool shall be distributed as a single price pool with each winning wager receiving an equal share of the profit.

(4) If a wagering interest is “scratched” for a Pick (n) contest, or is designated to run for purse money only, the association shall use the actual favorite, as evidenced by total amounts wagered in the Win pool at the host association for the contest at the close of wagering on that contest, and shall be substituted for the scratched betting interest for all purposes, including pool calculations. In the event that the Win pool total for two or more favorites is identical, the substitute selection shall be the betting interest with the lowest program number. The totalizator shall produce reports showing each of the wagering combinations with substituted betting interests which became winners as a result of the substitution, in addition to the normal winning combination. Notwithstanding the provisions of this subsection, an association may also obtain authorization from the Commission to allow patrons to select an alternate wagering interest in any of the Pick (n) contests.

(5) Subject to subsection (9), (10), or (12), the Pick (n) pool shall be cancelled and all Pick (n) wagers for the individual performance shall be refunded if:
(a) at least two contests included as part of a Pick 3 are cancelled or declared "no contest."
(b) at least three contests included as part of a Pick 4, Pick 5 or Pick 6 are cancelled or declared "no contest."
(c) at least four contests included as part of a Pick 7, Pick 8 or Pick 9 are cancelled or declared "no contest."
(d) at least five contests included as part of a Pick 10 are cancelled or declared "no contest."

(6) Subject to subsection (9), (10), or (12), if at least one contest included as part of a Pick (n) is cancelled or declared "no contest", but not more than the number specified in subsection (5) of this rule, the net pool shall be distributed as a single price pool to those whose selection distribution shall include the portion ordinarily retained for the Pick (n) carryover but not the carryover from previous performances.

(7) If the condition of the course warrants a change of racing surface in any of the legs of the Pick (n) races, and such change was not known to the public prior to the closing of wagering for the Pick (n) pool, the stewards shall declare the changed leg(s) a “no contest” for Pick (n) wagering purposes only. A “no contest” race is not to be considered as a contested race. In addition, any race designated as “For Purse Only”

shall also be treated as a "No Contest" for Pick (n) wagering purposes, with all runners considered winners.

(8) The Pick (n) carryover may be capped at a designated level approved by the Commission so that if, at the close of any performance, the amount in the Pick (n) carryover equals or exceeds the designated cap, the Pick (n) carryover will be frozen until it is won or distributed under other provisions of this rule. After the Pick (n) carryover is frozen, 100 percent of the net pool, part of which ordinarily would be added to the Pick (n) carryover, shall be distributed to those whose selection finished first in the greatest number of Pick (n) contests for that performance.

(9) A written request for permission to distribute the Pick (n) carryover on a specific performance may be submitted to the Commission. The request must be for a specified date no greater than one (1) year from the date the request is submitted and contain justification for the distribution, an explanation of the benefit to be derived, and the intended date and performance for the distribution.

(10) Should the Pick (n) carryover be designated for distribution on a specified date and performance in which there are no wagers selecting the first-place finisher in each of the Pick (n) contests, the net pool shall be distributed as a single price pool to those whose selection finished first in the greatest number of Pick (n) contests. The Pick (n) carryover shall be designated for distribution on a specified date and performance only under the following circumstances:

(a) Upon written approval from the Commission as provided in subsection (8) of this rule.

(b) Upon written approval from the Commission when there is a change in the carryover cap, a change from one type of Pick (n) wagering to another, or when the Pick (n) is discontinued.

(c) On the closing performance of the meet or split meet.

(11) A written request for permission to transfer the Pick (n) carryover to another Pick (n) pool operated by the same pool host may be submitted to the Commission. The request must contain a description of the method by which the pool host will present the information to the public that identifies the racetrack(s) for which the pool will be operated and the intended date(s) and performance(s) of the transfer.

(12) Unless otherwise stated in writing by the Commission under subsection (9), on the last Pick (n) race on the final day of the meeting, the net pool, including any applicable carryover, shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick (n) contests, based upon the official order of finish.

(13) Notwithstanding subsections (9) and (11), if for any reason the Pick (n) carryover must be held over to the corresponding Pick (n) pool of a subsequent meet, the carryover shall be deposited in an interest-bearing account approved by the Commission. The Pick (n) carryover plus accrued interest shall then be added to the net Pick (n) pool of the following meet on a date and performance so designated by the Commission.

(14) With the written approval of the Commission, the association may contribute to the Pick (n) carryover a sum of money up to the amount of any designated cap.

(15) The association may suspend previously-approved Pick (n) wagering with the prior approval of the Commission. Any carryover shall be held until the suspended Pick (n) wagering is reinstated. An association may request approval of a Pick (n) wager or separate wagering pool for specific performances.

(16) As it relates to any distribution method under section 2 which contains a unique winning ticket provision:

(a) A written request for permission to distribute the Pick (n) unique winning ticket carryover on a specific performance may be submitted to the Commission. The request must contain justification for the distribution, an explanation of the benefit to be derived, and the intended date and performance for the distribution. Should the Pick (n) unique winning ticket net pool and any applicable carryover be designated for distribution on a specified date and performance in which there is no unique winning ticket, the net pool shall be distributed as a single price pool to those who selected the first-place finisher in the greatest number of Pick (n) contests.

(b)Associations must clearly identify which selection under clauses (i) and (ii) below will be relied upon to determine the existence of a unique winning ticket:

i. there is one and only one winning ticket that correctly selected the first-place finisher in each of the Pick (n) contests, based upon the official order of finish, to be verified by the unique serial number assigned by the tote company that issued the winning ticket; or

ii. the total amount wagered on one and only one winning combination selecting the first-place finisher in each of the Pick (n) contests, based up on the official order of finish, is equal to the minimum allowable wager.

Table 7: PICK 7 POOL – Multiple Takeout Rates & Multiple Betting Sources (Net Price Calculation)

(Net Price Calculation)

	Percent Takeout	Gross Pool	Gross Amt. Bet on Win	Net Pool	Net Amount Bet on Win
Source 1	16.0	$190,000.00	$44.00	$159,600.00	$36.96
Source 2	18.5	$10,000.00	$18.00	$8,150.00	$14.67
Source 3	21.0	$525,730.00	$124.00	$415,326.70	$97.96
TOTALS		**$725,730.00**	**$186.00**	**$583,076.70**	**$149.59**

Total Profit Total Net Pool <MINUS> Total Net Bet on the Winning Combination	$582,927.11
Profit Per Dollar Total Profit <DIVIDED BY> Total Net Bet on the Winning Combination	$3,386.8321
$1 Unbroken Base Price Profit Per Dollar <PLUS> $1	$3,387.8321
$1 Unbroken Base Price for Source 1 $1 Unbroken Base Price <MULTIPLIED BY> (1 <MINUS> Percent Takeout)	$3,274.1789
$1 Unbroken Base Price for Source 2 $1 Unbroken Base Price <MULTIPLIED BY> (1 <MINUS> Percent Takeout)	$3,176.7331
$1 Unbroken Base Price for Source 3 $1 Unbroken Base Price <MULTIPLIED BY> (1 <MINUS> Percent Takeout)	$3,079.2873

H. Place Pick (n) Pools

(1) The Place Pick (n) requires selection of the first or second-place finisher in each of a designated number of contests. The association must obtain written approval from the Commission concerning the scheduling of Place Pick (n) contests, the designation of one of the methods prescribed in Part (2), the distinctive name identifying the pool and the amount of any cap to be set on the carryover. Any changes to the approved Place Pick (n) format require prior approval from the Commission.

(2) The Place Pick (n) pool shall be apportioned under one of the following methods:

(a) Method 1, Place Pick (n) with Carryover: The net Place Pick (n) pool and carryover, if any, shall be distributed as a single price pool to those who selected the first or second place finisher in each of the Place Pick (n) contests, based upon the official order of finish. If there are no such wagers, then a designated percentage of the net pool shall be distributed as a single price pool to those who selected the first or second-place finisher in the greatest number of Place Pick (n) contests; and the remainder shall be added to the carryover.

(b) Method 2, Place Pick (n) with Minor Pool and Carryover: The major share of the net Place Pick (n) pool and the carryover, if any, shall be distributed to those who selected the first or second-place finisher in each of the Place Pick (n) contests, based upon the official order of finish. The minor share of the net Place Pick (n) pool shall be distributed to those who selected the first or second-place finisher in the second greatest number of Place Pick (n) contests, based upon the official order of finish. If there are no wagers selecting the first or second-place finisher of all Place Pick (n) contests, the

minor share of the net Place Pick (n) pool shall be distributed as a single price pool to those who selected the first or second-place finisher in the greatest number of Place Pick (n) contests; and the major share shall be added to the carryover.

(c) Method 3, Place Pick (n) with No Minor Pool and No Carryover: The net Place Pick (n) pool shall be distributed as a single price pool to those who selected the first or second place finisher in the greatest number of Place Pick (n) contests, based upon the official order of finish. If there are no winning wagers, the pool is refunded.

(d) Method 4, Place Pick (n) with Minor Pool and No Carryover: The major share of the net Place Pick (n) pool shall be distributed to those who selected the first or second place finisher in the greatest number of Place Pick (n) contests, based upon the official order of finish. The minor share of the net Place Pick (n) pool shall be distributed to those who selected the first or second-place finisher in the second greatest number of Place Pick (n) contests, based upon the official order of finish. If there are no wagers selecting the first or second-place finisher in a second greatest number of Place Pick (n) contests, the minor share of the net Place Pick (n) pool shall be combined with the major share for distribution as a single price pool to those who selected the first or second place finisher

in the greatest number of Place Pick (n) contests. If the greatest number of first or second-place finishers selected is one (1), the major and minor shares are combined for distribution as a single price pool. If there are no winning wagers, the pool is refunded.

(e) Method 5, Place Pick (n) with Minor Pool and No Carryover: The major share of net Place Pick (n) pool shall be distributed to those who selected the first or second-place finisher in each of the Place Pick (n) contests, based upon the official order of finish. The minor share of the net Place Pick (n) pool shall be distributed to those who selected the first or second-place finisher in the second greatest number of Place Pick (n)contests, based upon the official order of finish. If there are no wagers selecting the first or second-place finisher in all Place Pick (n) contests, the entire net Place Pick (n) pool shall be distributed as a single price pool to those who selected the first or second-place finisher in the greatest number of Place Pick (n) contests. If there are no wagers selecting the first or second-place finisher in a second greatest number of Place Pick (n) contests, the minor share of the net Place Pick (n) pool shall be combined with the major share for distribution as a single price pool to those who selected the first or second place finisher in each of the Place Pick (n) contests. If there are no winning wagers, the pool is refunded.

(3) If there is a dead heat for first in any of the Place Pick (n) contests involving:

(a) contestants representing the same betting interest, the Place Pick (n) pool shall be distributed as if no dead heat occurred.

(b) contestants representing two or more betting interests, the Place Pick (n) pool shall be distributed as a single price pool with a winning wager including each betting interest participating in the dead heat.

(4) If there is a dead heat for second in any of the Place Pick (n) contests involving:

(a) contestants representing the same betting interest, the Place Pick (n) pool shall be distributed as if no dead heat occurred.

(b) contestants representing two or more betting interests, the Place Pick (n) pool shall be distributed as a single price pool with a winning wager including the betting interest which finished first or any betting interest involved in the dead heat for second.

(5) Should a betting interest in any of the Place Pick (n) contests be scratched, the actual favorite, as evidenced by total amounts wagered in the Win pool at the host association for the contest at the close of wagering on that contest, shall be substituted for the scratched betting interest for all purposes, including pool calculations. In the event that the Win pool total for two or more favorites is identical, the substitute selection shall be the betting interest with the lowest program number. The totalisator shall produce reports showing each of the wagering combinations with substituted betting interests which became winners as a result of the substitution, in addition to the normal winning combination.

(6) The Place Pick (n) pool shall be cancelled and all Place Pick (n) wagers for the individual performance shall be refunded if:

(a) at least two contests included as part of a Place Pick 3 are cancelled or declared "no contest."

(b) at least three contests included as part of a Place Pick 4, Place Pick 5 or Place Pick 6 are cancelled or declared "no contest."

(c) at least four contests included as part of a Place Pick 7, Place Pick 8 or Place Pick 9 are cancelled or declared "no contest."

(d) at least five contests included as part of a Place Pick 10 are cancelled or declared "no contest."

(7) If at least one contest included as part of a Place Pick (n) is cancelled or declared "no contest", but not more than the number specified in subsection 6 of this rule, the net pool shall be distributed as a single price pool to those whose selection finished first or second in the greatest number of Place Pick (n) contests for that performance. Such distribution shall include the portion ordinarily retained for the Place Pick (n) carryover but not the carryover from previous performances.

(8) The Place Pick (n) carryover may be capped at a designated level approved by the Commission so that if, at the close of any performance, the amount in the Place Pick (n) carryover equals or exceeds the designated cap, the Place Pick (n) carryover will be frozen until it is won or distributed under other provisions of this rule. After the Place Pick (n) carryover is frozen, 100 percent of the net pool, part of which ordinarily would be added to the Place Pick (n) carryover, shall be distributed to those whose selection finished first or second in the greatest number of Place Pick (n) contests for that performance.

(9) A written request for permission to distribute the Place Pick (n) carryover on a specific performance may be submitted to the Commission. The request must contain justification for the distribution, an explanation of the benefit to be derived, and the intended date and performance for the distribution.

(10) Should the Place Pick (n) carryover be designated for distribution on a specified date and performance in which there are no wagers selecting the first or second-place finisher in each

of the Place Pick (n) contests, the entire pool shall be distributed as a single price pool to those whose selection finished first or second in the greatest number of Place Pick (n) contests. The Place Pick (n) carryover shall be designated for distribution on a specified date and performance under any of the following circumstances:

(a) Upon written approval from the Commission as provided in subsection 9 of this rule.

(b) Upon written approval from the Commission when there is a change in the carryover cap, a change from one type of Place Pick (n) wagering to another, or when the Place Pick (n) is discontinued.

(c) On the closing performance of the meet or split meet.

(11) If, for any reason, the Place Pick (n) carryover must be held over to the corresponding Place Pick (n) pool of a subsequent meet, the carryover shall be deposited in an interest-bearing account approved by the Commission. The Place Pick (n) carryover plus accrued interest shall then be added to the net Place Pick (n) pool of the following meet on a date and performance so designated by the Commission.

(12) With the written approval of the Commission, the association may contribute to the Place Pick (n) carryover a sum of money up to the amount of any designated cap.

(13) Providing information to any person regarding covered combinations, amounts wagered on specific combinations, number of tickets sold, or number of live tickets remaining is strictly prohibited. This shall not prohibit necessary communication between totalisator and parimutuel department employees for processing of pool data.

(14) The association may suspend previously-approved Place Pick (n) wagering with the prior approval of the Commission. Any carryover shall be held until the suspended Place Pick (n) wagering is reinstated. An association may request approval of a Place Pick (n) wager or separate wagering pool for specific performances.

I. Quinella Pools

(1) The Quinella requires selection of the first two finishers, irrespective of order, for a single contest.

(2) The net Quinella pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish:

(a) If contestants of a coupled entry or mutuel field finish as the first two finishers, as a single price pool to those selecting the coupled entry or mutuel field combined with the next separate betting interest in the official order of finish; otherwise

(b) As a single price pool to those whose combination finished as the first two betting interests; but if there are no such wagers, then

(c) As a profit split to those whose combination included either the first- or second-place finisher; but if there are no such wagers on one of the those two finishers, then

(d) As a single price pool to those whose combination included the one covered betting interest included within the first two finishers; but if there are no such wagers, then (e) The entire pool shall be refunded on Quinella wagers for that contest.

(3) If there is a dead heat for first involving:

(a) contestants representing the same betting interest, the Quinella pool shall be distributed to those selecting the coupled entry or mutuel field combined with the next separate betting interest in the official order of finish.

(b) contestants representing two betting interests, the Quinella pool shall be distributed as if no dead heat occurred.

(c) contestants representing three or more betting interests, the Quinella pool shall be distributed as a profit split.

(4) If there is a dead heat for second involving contestants representing the same betting interest, the Quinella pool shall be distributed as if no dead heat occurred.

(5) If there is a dead heat for second involving contestants representing two or more betting interests, the Quinella pool shall be distributed to wagers in the following precedence, based upon the official order of finish:

(a) As a profit split to those combining the winner with any of the betting interests involved in the dead heat for second; but if there is only one covered combination, then

(b) As a single price pool to those combining the winner with the one covered betting interest involved in the dead heat for second; but if there are no such wagers, then

(c) As a profit split to those combining the betting interests involved in the dead heat for second; but if there are no such wagers, then

(d) As a profit split to those whose combination included the winner and any other betting interest and wagers selecting any of the betting interests involved in the dead heat for second; but if there are no such wagers, then

(e) The entire pool shall be refunded on Quinella wagers for that contest.

J. Quinella Double Pools

(1) The Quinella Double requires selection of the first two finishers, irrespective of order, in each of two specified contests.

(2) The net Quinella Double pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish:

(a) If a coupled entry or mutuel field finishes as the first two contestants in either contest, as a single price pool to those selecting the coupled entry or mutuel field combined with the next separate betting interest in the official order of finish for that contest, as well as the first two finishers in the alternate Quinella Double contest; otherwise

(b) As a single price pool to those who selected the first two finishers in each of the two Quinella Double contests; but if there are no such wagers, then

(c) As a profit split to those who selected the first two finishers in either of the two Quinella Double contests; but if there are no such wagers on one of those contests, then

(d) As a single price pool to those who selected the first two finishers in the one covered Quinella Double contest; but if there were no such wagers, then

(e) The entire pool shall be refunded on Quinella Double wagers for those contests.

(3) If there is a dead heat for first in either of the two Quinella Double contests involving:

(a) contestants representing the same betting interest, the Quinella Double pool shall be distributed to those selecting the coupled entry or mutuel field combined with the next separate betting interest in the official order of finish for that contest.

(b) contestants representing two betting interests, the Quinella Double pool shall be distributed as if no dead heat occurred.

(c) contestants representing three or more betting interests, the Quinella Double pool shall be distributed as a profit split.

(4) If there is a dead heat for second in either of the Quinella Double contests involving contestants representing the same betting interest, the Quinella Double pool shall be distributed as if no dead heat occurred.

(5) If there is a dead heat for second in either of the Quinella Double contests involving contestants representing two or more betting interests, the Quinella Double pool shall be distributed as profit split.

(6) Should a betting interest in the first-half of the Quinella Double be scratched prior to the first Quinella Double contest being declared official, all money wagered on combinations including the scratched betting interest shall deducted from the Quinella Double pool and refunded.

(7) Should a betting interest in the second-half of the Quinella Double be scratched prior to the close of wagering on the first Quinella Double contest, all money wagered on combinations including the scratched betting interest shall be deducted from the Quinella Double pool and refunded.

(8) Should a betting interest in the second-half of the Quinella Double be scratched after the close of wagering on the first Quinella Double contest, all wagers combining the winning combination in the first contest with a combination including the scratched betting interest in the second contest shall be allocated a consolation payout. In calculating the consolation payout the net Quinella Double pool shall be divided by the total amount wagered on the winning combination in the first contest and an unbroken consolation price obtained. The unbroken consolation price is multiplied by the dollar value of wagers on the winning combination in the first contest combined with a combination including the scratched betting interest in the second contest to obtain the consolation payout. Breakage is not declared in this calculation. The consolation payout is deducted from the net Quinella Double pool before calculation and distribution of the winning Quinella Double payout. In the event of a dead heat involving separate betting interests, the net Quinella Double pool shall be distributed as a profit split.

(9) If either of the Quinella Double contests is cancelled prior to the first Quinella Double contest, or the first Quinella Double contest is declared "no contest", the entire Quinella Double pool shall be refunded on Quinella Double wagers for those contests.

(10) If the second Quinella Double contest is cancelled or declared "no contest" after the conclusion of the first Quinella Double contest, the net Quinella Double pool shall be distributed as a single price pool to wagers selecting the winning combination in the first

Quinella Double contest. If there are no wagers selecting the winning combination in the first Quinella Double contest, the entire Quinella Double pool shall be refunded on Quinella Double wagers for those contests.

K. Show Quinella Pools

(1) The Show Quinella requires selection of two (2) of the first three (3) finishers, irrespective of order, for a single contest.

(2) The Show Quinella pool shall be apportioned under one of the following methods:

(a) Method 1, Single Price and Refund: The net Show Quinella pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish:

(A) As a single price pool to those whose combinations finished as the first two betting interests, the first and third betting interests and/or the second and third betting interests; but if there are no such wagers, then

(B) The entire pool shall be refunded on Show Quinella wagers for that contest.

(b) Method 2, Single Price and Carryover: The net Show Quinella pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish:

(A) As a single price pool to those whose combinations finished as the first two betting interests, the first and third betting interests and/or the second and third betting interests; but if there are no such wagers, then

(B) The net pool will be carried forward and added to the next Show Quinella pool.

(c) Method 3, Profit Split and Refund: The net Show Quinella pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish:

(A) As a profit split to those whose combinations finished as the first two betting interests, the first and third betting interests and/or the second and third betting interests; but if there are no such wagers, then

(B) The entire pool shall be refunded on Show Quinella wagers for that contest.

(d) Method 4, Profit Split and Carryover: The net Show Quinella pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish:

(A) As a profit split to those whose combinations finished as the first two betting interests, the first and third betting interests and/or the second and third betting interests; but if there are no such wagers, then

(B) The net pool will be carried forward and added to the next Show Quinella pool.

(3) If there is a dead heat for first involving:

(a) contestants representing two or three betting interests, the Show Quinella pool shall be distributed as if no dead heat occurred.

(b) contestants representing four or more betting interests, the Show Quinella pool shall be distributed between all possible winning combinations based upon the method selected in subparagraph 2.

(4) If there is a dead heat for second involving:

(a) contestants representing two betting interests, the Show Quinella pool shall be distributed as if no dead heat occurred.

(b) contestants representing three or more betting interests, the Show Quinella pool shall be distributed between all possible winning combinations based upon the method selected in subparagraph 2.

(5) If there is a dead heat for third involving contestants representing two or more betting interests, the Show Quinella pool shall be distributed between all possible winning combinations, including those betting interests in the dead heat, based upon the method selected in subparagraph 2.

(6) Should any betting interest entered in the Show Quinella pool be scratched or excused from the contest, wagers including such betting interest shall be deducted from the Show Quinella pool and money refunded.

(7) If, for any reason, the Show Quinella carryover must be held over to the corresponding Show Quinella pool of a subsequent meet, the carryover shall be deposited in an interest-bearing account approved by the Commission. The Show Quinella carryover plus accrued interest shall be added to the net Show Quinella pool of the following meet on a date and performance so designated by the Commission.

L. Exacta Pools

(1) The Exacta requires selection of the first two finishers, in their exact order, for a single contest.

(2) The net Exacta pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish:

(a) If contestants of a coupled entry or mutuel field finish as the first two finishers, as a single price pool to those selecting the coupled entry or mutuel field combined with the next separate betting interest in the official order of finish; otherwise

(b) As a single price pool to those whose combination finished in correct sequence as the first two betting interests; but if there are no such wagers, then

(c) As a profit split to those whose combination included either the first-place betting interest to finish first or the second-place betting interest to finish second; but if there are no such wagers on one of those two finishers, then

(d) As a single price pool to those whose combination included the one covered betting interest to finish first or second in the correct sequence; but if there are no such wagers, then

(e) The entire pool shall be refunded on Exacta wagers for that contest.

(3) If there is a dead heat for first involving:

(a) contestants representing the same betting interest, the Exacta pool shall be distributed as a single price pool to those selecting the coupled entry or mutuel field combined with the next separate betting interest in the official order of finish.

(b) contestants representing two or more betting interests, the Exacta pool shall be distributed as a profit split.

(4) If there is a dead heat for second involving contestants representing the same betting interest, the Exacta pool shall be distributed as if no dead heat occurred.

(5) If there is a dead heat for second involving contestants representing two or more betting interests, the Exacta pool shall be distributed to ticket holders in the following precedence, based upon the official order of finish:

(a) As a profit split to those combining the first-place betting interest with any of the betting interests involved in the dead heat for second; but if there is only one covered combination, then

(b) As a single price pool to those combining the first-place betting interest with the one covered betting interest involved in the dead heat for second; but if there are no such wagers, then

(c) As a profit split to those wagers correctly selecting the winner for first-place and those wagers selecting any of the dead-heated betting interests for second-place; but if there are no such wagers, then

(d) The entire pool shall be refunded on Exacta wagers for that contest.

M. Trifecta Pools

(1) The Trifecta requires selection of the first three finishers, in their exact order, for a single contest.

(2) The net Trifecta pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish:

(a) As a single price pool to those whose combination finished in correct sequence as the first three betting interests; but if there are no such wagers, then

(b) As a single price pool to those whose combination included, in correct sequence, the first two betting interests; but if there are no such wagers, then

(c) As a single price pool to those whose combination correctly selected the first-place betting interest only; but if there are no such wagers, then

(d) The entire pool shall be refunded on Trifecta wagers for that contest.

(3) If less than three betting interests finish and the contest is declared official, payouts will be made based upon the order of finish of those betting interests completing the contest. The balance of any selection beyond the number of betting interests completing the contest shall be ignored.

(4) If there is a dead heat for first involving:

(a) contestants representing three or more betting interests, all of the wagering combinations selecting three betting interests which correspond with any of the betting interests involved in the dead heat shall share in a profit split.

(b) contestants representing two betting interests, both of the wagering combinations selecting the two dead-heated betting interests, irrespective of order, along with the third-place betting interest shall share in a profit split.

(5) If there is a dead heat for second, all of the combinations correctly selecting the winner combined with any of the betting interests involved in the dead heat for second shall share in a profit split.

(6) If there is a dead heat for third, all wagering combinations correctly selecting the first two finishers, in correct sequence, along with any of the betting interests involved in the dead heat for third shall share in a profit split.

(7) Coupled entries and mutuel fields shall be prohibited in Trifecta contests except in Grade I races (as determined by the North American Graded Stakes Committee) with written approval of the host Commission.

N. Superfecta Pools

(1) The Superfecta requires selection of the first four finishers, in their exact order, for a single contest.

(2) Distribution of Winnings – Option #1

a. The net Superfecta pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish:

i. As a single price pool to those whose combination finished in correct sequence as the first four betting interests; but if there are no such wagers, then ii. As a single price pool to those whose combination included, in correct sequence, the first three betting interests; but if there are no such wagers, then iii. As a single price pool to those whose combination included, in correct sequence, the first two betting interests; but if there are no such wagers, then iv. As a single price pool to those whose combination correctly selected the first-place betting interest only; but if there are no such wagers, then the entire pool shall be refunded on Superfecta wagers for that contest.

(3) Distribution of Winnings, Option #2

a. The net Superfecta pool shall be distributed to winning wagers in the following precedence, based on the official order of finish:

i. As a single price pool, including any applicable carryover, to those whose combination finished in correct sequence as the first four betting interests, but if there are no such wagers, then

ii. The net pool will be divided into two separate pools. The major pool of the net pool shall be retained and added to a corresponding carryover pool into the next designated Superfecta race. The remaining minor pool shall be paid as a Superfecta consolation pool, which will be equally divided among those ticket holders who correctly select the first three betting interests, but if there are no such wagers, then

iii. The Superfecta consolation pool will be divided among those ticket holders who correctly select the first two interests, but if there are no such wagers, then

iv. The Superfecta consolation pool will be divided among those ticket holders who correctly select the first betting interest, but if there are no such wagers, then

v. The entire net pool shall become a carryover pool to be retained and added to the next designated Superfecta race.

b. On the last Superfecta race on the final day of the meeting, the net pool, including any applicable carryover, shall be distributed using the method described in subsection (2).

c. Where a net pool is divided into two separate pools in accordance with this subsection any odd cents remaining shall be retained and added to the part of the net pool that will be added to the corresponding carryover pool.

(4) Distribution of Winnings – Option #3

a. The net Superfecta pool shall be distributed to winning wagers in the following precedence, based on the official order of finish:

i. As a single price pool to those whose combination finished in correct sequence as the first four betting interests, but if there are no such wagers, then

ii. The entire net pool shall be retained and added to a corresponding carryover pool into the next designated Superfecta race.

b. On the last Superfecta race on the final day of the meeting, the net pool, and include any applicable carryover shall be distributed using the method described in subsection (2).

(5) If, for any reason, the Superfecta carryover must be held over to the corresponding Superfecta pool of a subsequent meet, the carryover shall be deposited in an interest-bearing account approved by the Commission. The Superfecta carryover plus accrued interest shall then be added to the net Superfecta pool of the following meet on a date and performance so designated by the Commission.

(6) If fewer than four betting interests finish and the contest is declared official, payouts will be made based upon the order of finish of those betting interests completing the contest. The balance of any selection on any ticket beyond the number of betting interests completing the contest shall be ignored. If the pools are being distributed under paragraph (3)(a) or (4)(a), any previous Superfecta contest's carryover will not be included in the payoff and will be retained for the next contest's carryover, and this contest's net Superfecta pool will be distributed using the method described in subsection (2).

(7) If there is a dead heat for first involving:

(a) contestants representing four or more betting interests, all of the wagering combinations selecting the four betting interests , irrespective of order, shall share in a profit split.

(b) contestants representing three betting interests, all of the wagering combinations selecting the three dead-heated betting interests, irrespective of order, along with the fourth-place betting interest shall share in a profit split.

(c) contestants representing two betting interests, both of the wagering combinations selecting the two dead-heated betting interests, irrespective of order, along with the third-place and fourth-place betting interests shall share in a profit split.

(8) If there is a dead heat for second involving:

(a) contestants representing three or more betting interests, all of the wagering combinations correctly selecting the winner combined with all of the three betting interests , irrespective of order, shall share in a profit split.

(b) contestants representing two betting interests, all of the wagering combinations correctly selecting the winner, the two dead-heated betting interests, irrespective of order, and the fourth-place betting interest shall share in a profit split.

(9) If there is a dead heat for third, all wagering combinations correctly selecting the first two finishers, in correct sequence, along with any two of the betting interests involved in the dead heat for third, irrespective of order, shall share in a profit split.

(10) If there is a dead heat for fourth, all wagering combinations correctly selecting the first three finishers, in correct sequence, along with any of the betting interests involved in the dead heat for fourth shall share in a profit split.

(11) In the event that more than one component of a coupled entry or mutuel field finishes within the first four positions, the first member of the coupled entry or mutuel field to finish shall determine the position of the single betting interest. The net pool shall be distributed to those whose selection included the coupled entry or mutuel field and each of the other three betting interests.

O. Twin Quinella Pools

(1) The Twin Quinella requires selection of the first two finishers, irrespective of order, in each of two designated contests. Each winning ticket for the first Twin Quinella contest must be exchanged for a free ticket on the second Twin Quinella contest in order to remain eligible for the second-half Twin Quinella pool. Such tickets may be exchanged only at attended ticket windows prior to the second Twin Quinella contest. There will be no monetary reward for winning the first Twin Quinella contest. Both of the designated Twin Quinella contests shall be included in only one Twin Quinella pool.

(2) In the first Twin Quinella contest only, winning wagers shall be determined using the following precedence, based upon the official order of finish for the first Twin Quinella contest:

(a) If a coupled entry or mutuel field finishes as the first two finishers, those who selected the coupled entry or mutuel field combined with the next separate betting interest in the official order of finish shall be winners; otherwise

(b) Those whose combination finished as the first two betting interests shall be winners; but if there are no such wagers, then

(c) Those whose combination included either the first- or second-place finisher shall be winners; but if there are no such wagers on one of those two finishers, then

(d) Those whose combination included the one covered betting interest included within the first two finishers shall be winners; but if there are no such wagers, then (e) The entire pool shall be refunded on Twin Quinella wagers for that contest.

(3) In the first Twin Quinella contest only, if there is a dead heat for first involving:

(a) contestants representing the same betting interest, those who selected the coupled entry or mutuel field combined with the next separate betting interest in the official order of finish shall be winners.

(b) contestants representing two betting interests, the winning Twin Quinella wagers shall be determined as if no dead heat occurred.

(c) contestants representing three or more betting interests, those whose combination included any two of the betting interests finishing in the dead heat shall be winners.

(4) In the first Twin Quinella contest only, if there is a dead heat for second involving contestants representing two or more betting interests, the Twin Quinella pool shall be distributed to wagers in the following precedence, based upon the official order of finish:

(a) As a profit split to those combining the winner with any of the betting interests involved in the dead heat for second; but if there is only one covered combination, then

(b) As a single price pool to those combining the winner with the one covered betting interest involved in the dead heat for second; but if there are no such wagers, then

(c) As a profit split to those combining the betting interests involved in the dead heat for second; but if there are no such wagers, then

(d) As a profit split to those whose combination included the winner and any other betting interest and wagers selecting any of the betting interests involved in the dead heat for second; but if there are no such wagers, then

(e) The entire pool shall be refunded on Twin Quinella wagers for that contest.

(5) In the second Twin Quinella contest only, the entire net Twin Quinella pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish for the second Twin Quinella contest:

(a) If a coupled entry or mutuel field finishes as the first two finishers, as a single price pool to those who selected the coupled entry or mutuel field combined with the next separate betting interest in the official order of finish; otherwise

(b) As a single price pool to those whose combination finished as the first two betting interests; but if there are no such wagers, then

(c) As a profit split to those whose combination included either the first- or second-place finisher; but if there are no such wagers on one of those two finishers, then

(d) As a single price pool to those whose combination included the one covered betting interest included within the first two finishers; but if there are no such wagers, then

(e) As a single price pool to all the exchange ticket holders for that contest; but if there are no such tickets, then

(f) In accordance with subsection 2 of the Twin Quinella rules.

(6) In the second Twin Quinella contest only, if there is a dead heat for first involving:

(a) contestants representing the same betting interest, the net Twin Quinella pool shall be distributed to those selecting the coupled entry or mutuel field combined with the next separate betting interest in the official order of finish.

(b) contestants representing two betting interests, the net Twin Quinella pool shall be distributed as if no dead heat occurred.

(c) contestants representing three or more betting interests, the net Twin Quinella pool shall be distributed as a profit split to those whose combination included any two of the betting interests finishing in the dead heat.

(7) In the second Twin Quinella contest only, if there is a dead heat for second involving contestants representing two or more betting interests, the Twin Quinella pool shall be distributed to wagers in the following precedence, based upon the official order of finish:

(a) As a profit split to those combining the winner with any of the betting interests involved in the dead heat for second; but if there is only one covered combination, then

(b) As a single price pool to those combining the winner with the one covered betting interest involved in the dead heat for second; but if there are no such wagers, then

(c) As a profit split to those combining the betting interests involved in the dead heat for second; but if there are no such wagers, then

(d) As a profit split to those whose combination included the winner and any other betting interest and wagers selecting any of the betting interests involved in the dead heat for second, then

(e) As a single price pool to all the exchange ticket holders for that contest; but if there are no such tickets, then

(f) In accordance with subsection 2 of the Twin Quinella rules.

(8) If a winning ticket for the first-half of the Twin Quinella is not presented for exchange prior to the close of betting on the second-half Twin Quinella contest, the ticket holder forfeits all rights to any distribution of the Twin Quinella pool resulting from the outcome of the second contest.

(9) Should a betting interest in the first-half of the Twin Quinella be scratched, those Twin Quinella wagers including the scratched betting interest shall be refunded.

(10) Should a betting interest in the second-half of the Twin Quinella be scratched, an announcement concerning the scratch shall be made and a reasonable amount of time shall be provided for exchange of tickets that include the scratched betting interest. If tickets have not been exchanged prior to the close of betting for the second Twin Quinella contest, the ticket holder forfeits all rights to the Twin Quinella pool.

(11) If either of the Twin Quinella contests is cancelled prior to the first Twin Quinella contest, or the first Twin Quinella contest is declared "no contest", the entire Twin Quinella pool shall be refunded on Twin Quinella wagers for that contest.

(12) If the second-half Twin Quinella contest is cancelled or declared "no contest" after the conclusion of the first Twin Quinella contest, the net Twin Quinella pool shall be distributed as a single price pool to wagers selecting the winning combination in the first Twin Quinella contest and all valid exchange tickets. If there is no such wagers, the net Twin Quinella pool shall be distributed as described in subsection 2 of the Twin Quinella rules.

P. Twin Trifecta Pools

(1) The Twin Trifecta requires selection of the first three finishers, in their exact order, in each of two designated contests. Each winning ticket for the first Twin Trifecta contest must be exchanged for a free ticket on the second Twin Trifecta contest in order to remain eligible for the second-half Twin Trifecta pool. Such tickets may be exchanged only at attended ticket windows prior to the second Twin Trifecta contest. Winning first-half Twin Trifecta wagers will receive both an exchange and a monetary payout. Both of the designated Twin Trifecta contests shall be included in only one Twin Trifecta pool.

(2) After wagering closes for the first-half of the Twin Trifecta and commissions have been deducted from the pool, the net pool shall then be divided into separate pools: the first-half Twin Trifecta pool and the second-half Twin Trifecta pool.

(3) In the first Twin Trifecta contest only, winning wagers shall be determined using the following precedence, based upon the official order of finish for the first Twin Trifecta contest:

(a) As a single price pool to those whose combination finished in correct sequence as the first three betting interests; but if there are no such wagers, then

(b) As a single price pool to those whose combination included, in correct sequence, the first two betting interests; but if there are no such wagers, then

(c) As a single price pool to those whose combination correctly selected the first-place betting interest only; but if there are no such wagers, then

(d) The entire Twin Trifecta pool shall be refunded on Twin Trifecta wagers for that contest and the second-half shall be cancelled.

(4) If no first-half Twin Trifecta ticket selects the first three finishers of that contest in exact order, winning ticket holders shall not receive any exchange tickets for the second-half Twin Trifecta pool. In such case, the second-half Twin Trifecta pool shall be retained and added to any existing Twin Trifecta carryover pool.

(5) Winning tickets from the first-half of the Twin Trifecta shall be exchanged for tickets selecting the first three finishers of the second-half of the Twin Trifecta. The second-half Twin Trifecta pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish for the second Twin Trifecta contest:

(a) As a single price pool, including any existing carryover monies, to those whose combination finished in correct sequence as the first three betting interests; but if there are no such tickets, then

(b) The entire second-half Twin Trifecta pool for that contest shall be added to any existing carryover monies and retained for the corresponding second-half Twin Trifecta pool of the next consecutive performance.

(6) If a winning first-half Twin Trifecta ticket is not presented for cashing and exchange prior to the second-half Twin Trifecta contest, the ticket holder may still collect the monetary value associated with the first-half Twin Trifecta pool but forfeits all rights to any distribution of the second-half Twin Trifecta pool.

(7) Coupled entries and mutuel fields shall be prohibited in Twin Trifecta contests.

(8) Should a betting interest in the first-half of the Twin Trifecta be scratched, those Twin Trifecta wagers including the scratched betting interest shall be refunded.

(9) Should a betting interest in the second-half of the Twin Trifecta be scratched, an announcement concerning the scratch shall be made and a reasonable amount of time shall be provided for exchange of tickets that include the scratched betting interest. If tickets have not been exchanged prior to the close of betting for the second Twin Trifecta contest, the ticket holder forfeits all rights to the second-half Twin Trifecta pool.

(10) If, due to a late scratch, the number of betting interests in the second-half of the Twin Trifecta is reduced to fewer than the minimum, all exchange tickets and outstanding first-half winning tickets shall be entitled to the second-half Twin Trifecta pool for that contest as a single price pool, but not the Twin Trifecta carryover.

(11) If there is a dead heat or multiple dead heats in either the first- or second-half of the Twin Trifecta, all Twin Trifecta wagers selecting the correct order of finish, counting a betting interest involved in a dead heat as finishing in any dead-heated position, shall be a winner. In the case of a dead heat occurring in:

(a) the first-half of the Twin Trifecta, the payout shall be calculated as a profit split.

(b) the second-half of the Twin Trifecta, the payout shall be calculated as a single price pool.

(12) If either of the Twin Trifecta contests are cancelled prior to the first Twin Trifecta contest, or the first Twin Trifecta contest is declared "no contest", the entire Twin Trifecta pool shall be refunded on Twin Trifecta wagers for that contest and the second-half shall be cancelled.

(13) If the second-half Twin Trifecta contest is cancelled or declared "no contest", all exchange tickets and outstanding first-half winning Twin Trifecta tickets shall be entitled to the net Twin Trifecta pool for that contest as a single price pool, but not Twin Trifecta carryover. If there are no such tickets, the net Twin Trifecta pool shall be distributed as described in subsection 3 of the Twin Trifecta rules.

(14) The Twin Trifecta carryover may be capped at a designated level approved by the Commission so that if, at the close of any performance, the amount in the Twin Trifecta carryover equals or exceeds the designated cap, the Twin Trifecta carryover will be frozen until it is won or distributed under other provisions of this rule. After the Twin Trifecta carryover is frozen, 100 percent of the net Twin Trifecta pool for each individual contest shall be distributed to winners of the first-half of the Twin Trifecta pool.

(15) A written request for permission to distribute the Twin Trifecta carryover on a specific performance may be submitted to the Commission. The request must contain justification for the distribution, an explanation of the benefit to be derived, and the intended date and performance for the distribution.

(16) Should the Twin Trifecta carryover be designated for distribution on a specified date and performance, the following precedence will be followed in determining winning tickets for the second-half of the Twin Trifecta after completion of the first-half of the Twin Trifecta:

(a) As a single price pool to those whose combination finished in correct sequence as the first three betting interests; but if there are no such wagers, then

(b) As a single price pool to those whose combination included, in correct sequence, the first two betting interests; but if there are no such wagers, then

(c) As a single price pool to those whose combination correctly selected the first-place betting interest only; but if there are no such wagers, then

(d) As a single price pool to holders of valid exchange tickets.

(e) As a single price pool to holders of outstanding first-half winning tickets.

(17) Contrary to subsection 4 of the Twin Trifecta rules, during a performance designated to distribute the Twin Trifecta carryover, exchange tickets will be issued for those combinations selecting the greatest number of betting interests in their correct order of finish for the first-half of the Twin Trifecta. If there are no wagers correctly selecting the first-, second-, and third-place finishers, in their exact order, then exchange tickets shall be issued for combinations correctly selecting the first- and second-place betting interests. If there are no wagers correctly selecting the first- and second-place finishers, in their exact order, then exchange tickets shall be issued for combinations correctly selecting the first-place betting interest only. If there are no wagers selecting the first-place betting interest only in the first-half of the Twin Trifecta, all first-half tickets will become winners and will receive 100 percent of that performance's net Twin Trifecta pool and any existing Twin Trifecta carryover

(18) The Twin Trifecta carryover shall be designated for distribution on a specified date and performance only under the following circumstances:

(a) Upon written approval from the Commission as provided in subsection 15 of the Twin Trifecta rules.

(b) Upon written approval from the Commission when there is a change in the carryover cap or when the Twin Trifecta is discontinued.

(c) On the closing performance of the meet or split meet.

(19) If, for any reason, the Twin Trifecta carryover must be held over to the corresponding Twin Trifecta pool of a subsequent meet, the carryover shall be deposited in an interest-bearing account approved by the Commission. The Twin Trifecta carryover plus accrued interest shall then be added to the second-half Twin Trifecta pool of the following meet on a date and performance so designated by the Commission.

(20) Providing information to any person regarding covered combinations, amounts wagered on specific combinations, number of tickets sold, or number of valid exchange tickets is prohibited. This shall not prohibit necessary communication between totalisator and parimutuel department employees for processing of pool data.

(21) The association must obtain written approval from the Commission concerning the scheduling of Twin Trifecta contests, the percentages of the net pool added to the first-half pool and second-half pool, and the amount of any cap to be set on the carryover. Any changes to the approved Twin Trifecta format require prior approval from the Commission.

Q. Tri-Superfecta Pools

(1) The Tri-Superfecta requires selection of the first three finishers, in their exact order, in the first of two designated contests and the first four finishers, in exact order, in the second of the two designated contests. Each winning ticket for the first Tri-Superfecta contest must be

exchanged for a free ticket on the second Tri-Superfecta contest in order to remain eligible for the second-half Tri-Superfecta pool. Such tickets may be exchanged only at attended ticket windows prior to the second Tri-Superfecta contest. Winning first-half Tri-Superfecta tickets will receive both an exchange and a monetary payout. Both of the designated Trisuperfecta contests shall be included in only one Tri-Superfecta pool.

(2) After wagering closes for the first-half of the Tri-Superfecta and commissions have been deducted from the pool, the net pool shall then be divided into two separate pools: the first-half Tri-Superfecta pool and the second-half Tri-Superfecta pool.

(3) In the first Tri-Superfecta contest only, winning tickets shall be determined using the following precedence, based upon the official order of finish for the first Tri-Superfecta contest:

(a) As a single price pool to those whose combination finished in correct sequence as the first three betting interests; but if there are no such wagers, then

(b) As a single price pool to those whose combination included, in correct sequence, the first two betting interests; but if there are no such wagers, then

(c) As a single price pool to those whose combination correctly selected the first-place betting interest only; but if there are no such wagers, then

(d) The entire Tri-Superfecta pool shall be refunded on Tri-Superfecta wagers for that contest and the second-half shall be cancelled.

(4) If no first-half Tri-Superfecta ticket selects the first three finishers of that contest in exact order, winning ticket holders shall not receive any exchange tickets for the second-half TriSuperfecta pool. In such case, the second-half Tri-superfecta pool shall be retained and added to any existing Tri-Superfecta carryover pool.

(5) Winning tickets from the first-half of the Tri-Superfecta shall be exchanged for tickets selecting the first four finishers of the second-half of the Tri-Superfecta. The second-half TriSuperfecta pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish for the second Tri-Superfecta contest:

(a) As a single price pool, including any existing carryover monies, to those whose combination finished in correct sequence as the first four betting interests; but if there are no such tickets, then

(b) The entire second-half Tri-Superfecta pool for that contest shall be added to any existing carryover monies and retained for the corresponding second-half Tri-Superfecta pool of the next performance.

(6) If a winning first-half Tri-Superfecta ticket is not presented for cashing and exchange prior to the second-half Tri-Superfecta contest, the ticket holder may still collect the monetary value associated with the first-half Tri-Superfecta pool but forfeits all rights to any distribution of the second-half Tri-Superfecta pool.

(7) Coupled entries and mutuel fields shall be prohibited in Tri-Superfecta contests.

(8) Should a betting interest in the first-half of the Tri-Superfecta be scratched, those TriSuperfecta tickets including the scratched betting interest shall be refunded.

(9) Should a betting interest in the second-half of the Tri-Superfecta be scratched, an announcement concerning the scratch shall be made and a reasonable amount of time shall be provided for exchange of tickets that include the scratched betting interest. If tickets have not been exchanged prior to the close of betting for the second Tri-Superfecta contest, the ticket holder forfeits all rights to the second-half Tri-Superfecta pool.

(10) If, due to a late scratch, the number of betting interests in the second-half of the TriSuperfecta is reduced to fewer than the minimum, all exchange tickets and outstanding first half winning tickets shall be entitled to the second-half Tri-Superfecta pool for that contest as a single price pool, but not the Tri-Superfecta carryover.

(11) If there is a dead heat or multiple dead heats in either the first- or second-half of the TriSuperfecta, all Tri-Superfecta tickets selecting the correct order of finish, counting a betting interest involved in a dead heat as finishing in any dead-heated position, shall be a winner. In the case of a dead heat occurring in:

(a) the first-half of the Tri-Superfecta, the payout shall be calculated as a profit split.

(b) the second-half of the Tri-Superfecta, the payout shall be calculated as a single price pool.

(12) If either of the Tri-Superfecta contests are cancelled prior to the first Tri-Superfecta contest, or the first Tri-Superfecta contest is declared "no contest", the entire Tri-Superfecta pool shall be refunded on Tri-Superfecta wagers for that contest and the second-half shall be cancelled.

(13) If the second-half Tri-Superfecta contest is cancelled or declared "no contest", all exchange tickets and outstanding first-half winning Tri-Superfecta tickets shall be entitled to the net Tri-Superfecta pool for that contest as a single price pool, but not the Tri-Superfecta carryover. If no there are no such tickets, the net Tri-Superfecta pool shall be distributed as described in subsection 3 of the Tri-Superfecta rules.

(14) The Tri-Superfecta carryover may be capped at a designated level approved by the Commission so that if, at the close of any performance, the amount in the Tri-Superfecta carryover equals or exceeds the designated cap, the Tri-Superfecta carryover will be frozen until it is won or distributed under other provisions of this rule. After the second-half TriSuperfecta carryover is frozen, 100 percent of the net Tri-Superfecta pool for each individual contest shall be distributed to winners of the first-half of the Tri-Superfecta pool.

(15) A written request for permission to distribute the Tri-Superfecta carryover on a specific performance may be submitted to the Commission. The request must contain justification for the distribution, an explanation of the benefit to be derived, and the intended date and performance for the distribution.

(16) Should the Tri-Superfecta carryover be designated for distribution on a specified date and performance, the following precedence will be followed in determining winning tickets for the second-half of the Tri-Superfecta after completion of the first-half of the Tri-Superfecta:

(a) As a single price pool to those whose combination finished in correct sequence as the first four betting interests; but if there are no such wagers, then

(b) As a single price pool to those whose combination included, in correct sequence, the first three betting interests; but if there are no such wagers, then

(c) As a single price pool to those whose combination included, in correct sequence, the first two betting interests; but if there are no such wagers, then

(d) As a single price pool to those whose combination included, in correct sequence, the first-place betting interest only; but if there are no such wagers, then (e) As a single price pool to holders of valid exchange tickets.

(f) As a single price pool to holders of outstanding first-half winning tickets.

(17) Contrary to subsection 4 of the Tri-Superfecta rules, during a performance designated to distribute the Tri-Superfecta carryover, exchange tickets will be issued for those combinations selecting the greatest number of betting interests in their correct order of finish for the first-half of the Tri-Superfecta. If there are no wagers correctly selecting the first-, second-, and third-place finishers, in their exact order, then exchange tickets shall be issued for combinations correctly selecting the first- and second-place betting interests. If there are no wagers correctly selecting the first- and second-place finishers, in their exact order, then exchange tickets shall be issued for combinations correctly selecting the first-place betting interest only. If there are no wagers selecting the first-place betting interest only in the first-half of the Tri-Superfecta, all first-half tickets will become winners and will receive 100 percent of that performance's net Tri-Superfecta pool and any existing Tri-Superfecta carryover as a single price pool.

(18) The Tri-Superfecta carryover shall be designated for distribution on a specified date and performance only under the following circumstances:

(a) Upon written approval from the Commission as provided in subsection 15 of the TriSuperfecta rules.

(b) Upon written approval from the Commission when there is a change in the carryover cap or when the Tri-Superfecta is discontinued.

(c) On the closing performance of the meet or split meet.

(19) If, for any reason, the Tri-Superfecta carryover must be held over to the corresponding TriSuperfecta pool of a subsequent meet, the carryover shall be deposited in an interest-bearing account approved by the Commission. The Tri-Superfecta carryover plus accrued interest shall then be added to the second-half Tri-superfecta pool of the following meet on a date and performance so designated by the Commission.

(20) Providing information to any person regarding covered combinations, amounts wagered on specific combinations, number of tickets sold, or number of valid exchange tickets is prohibited. This shall not prohibit necessary communication between totalisator and parimutuel department employees for processing of pool data.

(21) The association must obtain written approval from the Commission concerning the scheduling of Tri-Superfecta contests, the percentages of the net pool added to the first-half pool and second-half pool, and the amount of any cap to be set on the carryover. Any changes to the approved Tri-Superfecta format require prior approval from the Commission.

R. Twin Superfecta Pools

(1) The Twin Superfecta requires selection of the first four finishers, in their exact order, in each of two designated contests. Each winning ticket for the first Twin Superfecta contest must be

exchanged for a free ticket on the second Twin Superfecta contest in order to remain eligible for the second-half Twin Superfecta pool. Such tickets may be exchanged only at attended ticket windows prior to the second Twin Superfecta contest. Winning first-half Twin Superfecta tickets will receive both an exchange and a monetary payout. Both of the designated Twin Superfecta contests shall be included in only one Twin Superfecta pool.

(2) After wagering closes for the first-half of the Twin Superfecta and commissions have been deducted from the pool, the net pool shall then be divided into two separate pools: the first half Twin Superfecta pool and the second-half Twin Superfecta pool.

(3) In the first Twin Superfecta contest only, winning wagers shall be determined using the following precedence, based upon the official order of finish for the first Twin Superfecta contest:

(a) As a single price pool to those whose combination finished in correct sequence as the first four betting interests; but if there are no such wagers, then

(b) As a single price pool to those whose combination included, in correct sequence, the first three betting interests; but if there are no such wagers, then

(c) As a single price pool to those whose combination included, in correct sequence, the first two betting interests; but if there are no such wagers, then

(d) As a single price pool to those whose combination correctly selected the first-place betting interest only; but if there are no such wagers, then

(e) The entire Twin Superfecta pool shall be refunded on Twin Superfecta wagers for that contest and the second-half shall be cancelled.

(4) If no first-half Twin Superfecta ticket selects the first four finishers of that contest in exact order, winning ticket holders shall not receive any exchange tickets for the second-half Twin Superfecta pool. In such case, the second-half Twin Superfecta pool shall be retained and added to any existing Twin Superfecta carryover pool.

(5) Winning tickets from the first-half of the Twin Superfecta shall be exchanged for tickets selecting the first four finishers of the second-half of the Twin Superfecta. The second-half Twin Superfecta pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish for the second Twin Superfecta contest:

(a) As a single price pool, including any existing carryover monies, to those whose combination finished in correct sequence as the first four betting interests; but if there are no such tickets, then

(b) The entire second-half Twin Trifecta pool for that contest shall be added to any existing carryover monies and retained for the corresponding second-half Twin Superfecta pool of the next performance.

(6) If a winning first-half Twin Superfecta ticket is not presented for cashing and exchange prior to the second-half Twin Superfecta contest, the ticket holder may still collect the monetary value associated with the first-half Twin Superfecta pool but forfeits all rights to any distribution of the second-half Twin Trifecta pool.

(7) Coupled entries and mutuel fields shall be prohibited in Twin Superfecta contests.

(8) Should a betting interest in the first-half of the Twin Superfecta be scratched, those Twin Superfecta tickets including the scratched betting interest shall be refunded.

(9) Should a betting interest in the second-half of the Twin Superfecta be scratched, an announcement concerning the scratch shall be made and a reasonable amount of time shall be provided for exchange of tickets that include the scratched betting interest. If tickets have not been exchanged prior to the close of betting for the second Twin Superfecta contest, the ticket holder forfeits all rights to the second-half Twin Superfecta pool.

(10) If, due to a late scratch, the number of betting interests in the second-half of the Twin Superfecta is reduced to fewer than the minimum, all exchange tickets and outstanding first-half winning tickets shall be entitled to the second-half Twin Superfecta pool for that contest as a single price pool, but not the Twin Superfecta carryover.

(11) If there is a dead heat or multiple dead heats in either the first- or second-half of the Twin Superfecta, all Twin Superfecta tickets selecting the correct order of finish, counting a betting interest involved in a dead heat as finishing in any dead-heated position, shall be a winner. In the case of a dead heat occurring in:

(a) the first-half of the Twin Superfecta, the payout shall be calculated as a profit split.

(b) the second-half of the Twin Superfecta, the payout shall be calculated as a single price pool.

(12) If the either of the Twin Superfecta contests are cancelled prior to the first Twin Superfecta contest, or the first Twin Superfecta contest is declared "no contest", the entire Twin Superfecta pool shall be refunded on Twin Superfecta wagers for that contest and the second-half shall be cancelled.

(13) If the second-half Twin Superfecta contest is cancelled or declared "no contest", all exchange tickets and outstanding first-half winning Twin Superfecta tickets shall be entitled to the net Twin Superfecta pool for that contest as a single price pool, but not the Twin Superfecta carryover. If there are no such tickets, the net Twin Superfecta pool shall be distributed as described in subsection 3 of the Twin Superfecta rules.

(14) The Twin Superfecta carryover may be capped at a designated level approved by the Commission so that if, at the close of any performance, the amount in the Twin Superfecta equals or exceeds the designated cap, the Twin Superfecta carryover will be frozen until it is won or distributed under other provisions of this rule. After the second-half Twin Superfecta carryover is frozen, 100 percent of the net Twin Superfecta pool for each individual contest shall be distributed to winners of the first-half of the Twin Superfecta pool.

(15) A written request for permission to distribute the Twin Superfecta carryover on a specific performance may be submitted to the Commission. The request must contain justification for the distribution, an explanation of the benefit to be derived, and the intended date and performance for the distribution.

(16) Should the Twin Superfecta carryover be designated for distribution on a specified date and performance, the following precedence will be followed in determining winning tickets for the second-half of the Twin Superfecta after completion of the first-half of the Twin Superfecta:

(a) As a single price pool to those whose combination finished in correct sequence as the first four betting interests; but if there are no such wagers, then

(b) As a single price pool to those whose combination included, in correct sequence, the first three betting interests; but if there are no such wagers, then

(c) As a single price pool to those whose combination included, in correct sequence, the first two betting interests; but if there are no such wagers, then

(d) As a single price pool to those whose combination correctly selected the first-place betting interest only; but if there are no such wagers, then

(e) As a single price pool to holders of valid exchange tickets.

(f) As a single price pool to holders of outstanding first-half winning tickets.

(17) Contrary to subsection 4 of the Twin Superfecta rules, during a performance designated to distribute the Twin Superfecta carryover, exchange tickets will be issued for those combinations selecting the greatest number of betting interests in their correct order of finish for the first-half of the Twin Superfecta. If there are no wagers correctly selecting the first-, second-, third-, and fourth-place finishers, in their exact order, then exchange tickets shall be issued for combinations correctly selecting the first-, second-, and third-place betting interests. If there are no wagers correctly selecting the first-, second-, and third-place finishers, in their exact order, then exchange tickets shall be issued for combinations correctly selecting the first- and second-place betting interests. If there are no wagers correctly selecting the first- and second-place finishers, in their exact order, then exchange tickets shall be issued for combinations correctly selecting the first-place betting interest only. If there are no wagers selecting the first-place betting interest only in the first-half of the Twin Superfecta, all first-half tickets will become winners and will receive 100 percent of that performance's net Twin Superfecta pool and any existing Twin Superfecta carryover as a single price pool.

(18) The Twin Superfecta carryover shall be designated for distribution on a specified date and performance only under the following circumstances:

(a) Upon written approval from the Commission as provided in subsection 15 of the Twin Superfecta rules.

(b) Upon written approval from the Commission when there is a change in the carryover cap or when the Twin Superfecta is discontinued.

(c) On the closing performance of the meet or split meet.

(19) If, for any reason, the Twin Superfecta carryover must be held over to the corresponding Twin Superfecta pool of a subsequent meet, the carryover shall be deposited in an interest bearing account approved by the Commission. The Twin Superfecta carryover plus accrued interest shall then be added to the second-half Twin Superfecta pool of the following meet on a date and performance so designated by the Commission.

(20) Providing information to any person regarding covered combinations, amounts wagered on specific combinations, number of tickets sold, or number of valid exchange tickets is prohibited. This shall not prohibit necessary communication between totalisator and parimutuel department employees for processing of pool data.

(21) The association must obtain written approval from the Commission concerning the scheduling of Twin Superfecta contests, the percentages of the net pool added to the first-half pool and second-half pool, and the amount of any cap to be set on the carryover. Any changes to the approved Twin Superfecta format require prior approval from the Commission.

S. Exacta (n)

(1) The Exacta(n) requires selection of the first two finishers, in their exact order, in each of a designated number of contests. The association must obtain written approval from the Commission concerning the scheduling of Exacta(n) contests, the designation of one of the methods prescribed in Part 4, and the amount of any cap to be set on the carryover. Any changes to the approved Exacta(n) format require prior approval from the Commission.

(2) The Exacta(n) pool shall be apportioned under one of the following methods:

(a) Method 1, Exacta(n) With No Minor Pool and No Carryover: The net Exacta(n) pool shall be distributed as a single price pool to those who selected the first and second place finishers, in exact order, in each of the Exacta(n) contests, based upon the official order of finish. If there are no wagers selecting the first and second place finishers, in exact order, in each of the Exacta(n) contests, the net Exacta(n) pool shall be distributed as a single price pool to those who selected the first and second place finishers, in exact order, in the greatest number of Exacta(n) contests. If there are no winning wagers, the entire pool shall be refunded on Exacta(n) wagers for those contests.

(b) Method 2, Exacta(n) With No Minor Pool and Carryover Instead of a Refund: The net Exacta(n) pool and the carryover, if any, shall be distributed as a single price pool to those who selected the first and second place finishers, in exact order, in each of the Exacta(n) contests, based upon the official order of finish. If there are no wagers selecting the first and second place finishers, in exact order, in each of the Exacta(n) contests, the net Exacta(n) pool and the carryover shall be distributed as a single price pool to those who selected the first and second place finishers, in exact order, in the greatest number of Exacta(n) contests. If there are no winning wagers, the net Exacta(n) pool shall be added to the carryover.

(c) Method 3, Exacta(n) With No Minor Pool and Carryover: The net Exacta(n) pool and the carryover, if any, shall be distributed as a single price pool to those who selected the first and second place finishers, in the exact order, in each of the Exacta(n) contests, based upon the official order of finish. If there are no winning wagers, the net Exacta(n) pool shall be added to the carryover.

(d) Method 4, Exacta(n) With Minor Pool and No Carryover: The major share of the net Exacta(n) pool shall be distributed as a single price pool to those who selected the first and second finishers, in exact order, in each of the Exacta(n) contests, based upon the official order of finish. The minor share of the net Exacta(n) pool shall be distributed as a single price pool to those who selected the first and second place finishers, in exact order, in the second greatest number of Exacta(n) contests, based upon the official order of finish. If there are no wagers selecting the first and second place finishers, in exact order, in each of the Exacta(n) contests, the major share of the net Exacta(n) pool shall

be combined with the minor share for distribution as a single price pool to those who selected the first and second place finishers, in exact order, in the greatest number of exacta(n) contests. If there are no wagers selecting the first and second place finishers, in exact order, in a second greatest number of Exacta(n) contests, the minor share of the net Exacta(n) pool shall be combined with the major share for distribution as a single price pool to those who selected the first and second place finishers, in exact order, in each of the Exacta(n) contests. If there are no winning wagers, the pool shall be refunded on Exacta(n) wagers for those contests.

(e) Method 5, Exacta(n) With Minor Pool and Carryover: The major share of the net Exacta(n) pool and the carryover, if any, shall be distributed as a single price pool to those who selected the first and second place finishers, in exact order, in each of the Exacta(n) contests, based upon the official order of finish. The minor share of the net Exacta(n) pool shall be distributed as a single price pool to those who selected the first and second place finishers, in exact order, in the second greatest number of Exacta(n) contests, based on the official order of finish. If that are no wagers selecting the first and second place finishers, in exact order, in each of the Exacta(n) contests, the minor share of the net Exacta(n) pool shall be distributed as a single price pool to those who selected the first and second place finishers, in exact order, in the greatest number of Exacta(n) contests, and the major share shall be added to the carryover. If there are no wagers selecting the first and second place finishers, in exact order, in a second greatest number of Exacta(n) contests, the minor share of the net Exacta(n) pool shall be combined with the major share for distribution as a single price pool to those who selected the first and second place finishers, in exact order, in each of the Exacta(n) contests, or if there are no such winning wagers, added to the carryover.

(f) Method 6, Exacta(n) With Minor Pool Based Upon Any One Exacta, and No Carryover: The major share of the net Exacta (n) pool shall be distributed as a single price pool to those who selected the first and second place finishers, in exact order, in each of the Exacta (n) contests, based upon the official order of finish. The minor share of the net Exacta (n) pool shall be distributed as a single price pool to those (including recipients of the major share of the net Exacta (n) pool) who selected the first and second place finishers, in exact order, in at least one of the Exacta (n) contests, based upon the official order of finish. If there are no wagers selecting the first and second place finishers, in exact order, in each of the Exacta (n) contests, the major share of the net Exacta (n) pool shall be combined with the minor share for distribution as a single price pool to those who selected the first and second place finishers, in exact order, in at least one of the Exacta (n) contests. If there are no winning wagers, the pool is refunded.

(g) Method 7, Exacta (n) With Minor Pool Based Upon Any One Exacta, and Carryover: The major share of the net Exacta (n) pool and the carryover, if any, shall be distributed as a single price pool to those who selected the first and second place finishers, in exact order, in each of the Exacta (n) contests, based upon the official order of finish. The minor share of the net Exacta (n) pool shall be distributed as a single price pool to those (including recipients of the major share of the net Exacta (n) pool) who selected the first and second place finishers, in exact order, in at least one of the Exacta

(n) contests, based upon the official order of finish. If there are no wagers selecting the first and second place finishers, in exact order, in each of the Exacta (n) contests, the major share shall be added to the carryover. If there are no wagers selecting the first and second place finishers, in exact order, in any of the Exacta (n) contests, the minor share of the net Exacta (n) pool shall also be added to the carryover.

(h) Method 8, Exacta (n) With Minor Pool Based Upon Individual Exactas, and No Carryover

(A) The major share of the net Exacta (n) pool shall be distributed as a single price pool to those who selected the first and second place finishers, in exact order, in each of the Exacta (n) contests, based upon the official order of finish. The minor share of the net Exacta (n) pool shall be distributed as a single price pool based upon the sum of the dollar value of wagers for each of the Exacta (n) contests considered separately, in which the first and second place finishers, in exact order, were correctly selected, based on the official order of finish. The minor share of the net Exacta (n) pool shall be distributed as a single price pool to those (including recipients of the major share of the net Exacta (n) pool) who selected the first and second place finishers, in exact order, in one or more of the Exacta (n) contests. Each recipient of a minor share shall receive an amount equal to the single price times the number of Exacta (n) contests in which the recipient correctly selected the winning combination.

(B) If there are no wagers selecting the first and second place finishers, in exact order, in all Exacta (n) contests, the major share shall be combined with the minor share and the entire net Exacta (n) pool shall be distributed in accordance with the rules in the preceding paragraph for distributing the minor share of the net Exacta (n) pool. If there are no winning wagers, the pool shall be refunded.

(i) Method 9, Exacta (n) With Minor Pool Based Upon Individual Exactas, and Carryover

(A) The major share of the net Exacta (n) pool and the carryover, if any, shall be distributed as a single price pool to those who selected the first and second place finishers, in exact order, in each of the Exacta (n) contests, based upon the official order of finish. The minor share of the net Exacta (n) pool shall be distributed as a single price pool based upon the sum of the dollar value of wagers, for each of the Exacta (n) contests considered separately, in which the first and second place finishers, in exact order, were correctly selected, based on the official order of finish. The minor share of the net Exacta (n) pool shall be distributed as a single price pool to those (including recipients of the major share of the net Exacta (n) pool) who selected the first and second place finishers, in exact order, in one or more of the Exacta (n) contests. Each recipient of a minor share shall receive an amount equal to the single price times the number of Exacta (n) contests in which the recipient correctly selected the winning combination.

(B) If there are no wagers selecting the first and second place finishers, in exact order, in all Exacta (n) contests, the minor share shall be distributed in accordance with the rules in the preceding paragraph for distributing the minor share of the net

Exacta (n) pool, and the major share shall be added to the carryover; except that if there are no winning wagers in either the major or the minor pool, the performance's pool shall be refunded and the carryover shall be carried over.

(j) Method 10, Exacta (n) With Minor Pool Based Upon Individual Exactas, and Carryover; 100% Carryover if no Winning Wagers

(A) The major share of the net Exacta (n) pool and the carryover, if any, shall be distributed as a single price pool to those who selected the first and second place finishers, in exact order, in each of the Exacta (n) contests, based upon the official order of finish. The minor share of the net Exacta (n) pool shall be distributed as a single price pool based upon the sum of the dollar value of wagers, for each of the Exacta (n) contests considered separately, in which the first and second place finishers, in exact order, were correctly selected, based upon the official order of finish. The minor share of the net Exacta (n) pool shall be distributed as a single price pool to those (including recipients of the major share of the net Exacta (n) pool) who selected the first and second place finishers, in exact order, in one or more of the Exacta (n) contests. Each recipient of a minor share shall receive an amount equal to the single price times the number of Exacta (n) contests in which the recipient correctly selected the winning combination.

(B) If there are no wagers selecting the first and second place finishers, in exact order, in all Exacta (n) contests, the minor share shall be distributed in accordance with the rules in the preceding paragraph for distributing the minor share of the net Exacta (n) pool, and the major share shall be added to the carryover. If there are no winning wagers, the minor share shall also be added to the carryover.

(3) Dead Heats. In the event of a dead heat in any of the Exacta (n) contests, the net Exacta(n) shall be distributed to winning wagers in the following precedence, based upon the official order of finish, for each exacta contest within the Exacta(n) wager:

(a) If there is a dead heat for first in any of the Exacta (n) contests involving contestants representing the same betting interest, the Exacta (n) pool shall be distributed as a single price pool to those selecting the coupled entry or mutuel field combined with the next separate betting interest in the official order of finish for that contest.

(b) If there is a dead heat for first in any of the Exacta (n) contests involving contestants representing two or more betting interests, the Exacta (n) pool shall be distributed as a single price pool with a winning wager including each betting interest involved in the dead heat.

(c) If there is a dead heat for second in any of the Exacta (n) contests involving contestants representing the same betting interest, the Exacta (n) pool shall be distributed as if no dead heat occurred.

(d) If there is a dead heat for second in any of the Exacta (n) contests involving contestants representing two or more betting interests, the Exacta (n) pool shall be distributed as a single price pool with a winning wager including the betting interest which finished first together with any betting interest involved in the dead heat for second.

(4) Scratches

(a) Should a betting interest in any contest of the Exacta (n) be scratched or excused from the contest prior to the first Exacta (n) contest being declared official, all money wagered on combinations including the scratched betting interest shall be deducted from the Exacta (n) pool and refunded.

(b) Should a betting interest in any contest of the Exacta (n) be scratched or excused from the contest after the first Exacta (n) contest has been declared official, all money wagered on combinations including this betting interest shall remain in the Exacta (n) pool and the ticket holder may still collect the monetary value of any distribution evidenced by the ticket containing the scratched betting interest.

(c) If, due to a late scratch, the number of betting interests in a contest of the Exacta (n) is reduced to fewer than two, for purposes of the Exacta (n) such contest shall be declared "no contest" and the Exacta (n) pool shall be subject to the rules set forth in Subsection 5 of these rules.

(5) Cancelled Contests

(a) If any of the Exacta (n) contests are cancelled or declared "no contest" prior to the first Exacta (n) contest being declared official, the entire Exacta (n) pool shall be refunded on Exacta (n) wagers for those contests.

(b) If all remaining Exacta (n) contests are cancelled or declared "no contest" after the first Exacta (n) contest is declared official, the net Exacta (n) pool shall be distributed as a single price pool to wagers selecting the winning combination in the first Exacta (n) contest, but not the Exacta (n) carryover. However, if there are no wagers selecting the winning combination in the first Exacta (n) contest, the entire Exacta (n) pool shall be refunded on Exacta (n) wagers for those contests.

(c) If any of the remaining Exacta (n) contests are cancelled or declared "no contest" after the first Exacta (n) is declared official, the net Exacta (n) pool shall be distributed in accordance with rules governing distribution of the minor share where there is no winner of the major share.

(6) Mandatory Distribution

(a) A written request for permission to distribute the Exacta (n) carryover on a specific performance may be submitted to the Commission. The request shall contain justification for the mandatory distribution, an explanation of the benefit to be derived, and the intended date and performance for the distribution. The association must notify the Commission at least 10 days prior to implementation. If the Exacta (n) pool cannot be distributed during a designated performance, the mandatory distribution shall resume on the next scheduled mandatory distribution performance.

(b) If the Exacta (n) carryover is designated for distribution on a specified date and performance, the following precedence shall be followed in determining winning tickets for the net Exacta (n) pool and the carryover pool:

(A) As a single price pool to those who selected the first and second place finishers, in exact order, in each of the Exacta (n) contests, based upon the official order of finish. If there are no wagers selecting the first and second place finishers, in exact order, in all Exacta (n) contests, then

(B) As a single price pool to those who selected the first and second place finishers, in exact order, in at least one of the Exacta (n) contests, based upon the official order of finish.

(C) If there are no wagers which correctly selected the first and second place finishers, in exact order, in at least one of the Exacta (n) contests, based upon the official order of finish, then all Exacta (n) tickets shall become winners and receive 100% of that performance's net Exacta (n) pool and the Exacta (n) carryover pool as a single price pool.

(7) If, for any reason, the Exacta (n) carryover must be held over to the corresponding Exacta (n) pool of a subsequent meet, the carryover shall be deposited in an interest-bearing account approved by the Commission. The Exacta (n) carryover plus accrued interest shall then be added to the net Exacta (n) pool of the following meet on a date and performance so designated by the Commission.

T. Pick (n) Position (x) Pools

(1) The Pick (n) Position (x) Pool requires selection of the first (x) finishers, in their exact positions, in each of a designated number of (n) contests. For example, in a Four Position Pool (x = 4), the bettor chooses four finishers in each contest. If the bettor has chosen "1, 2, 3 and 4", and the actual finishers are "4, 2, 3 and 1", the bettor has correctly chosen 2 positions [the second and third place finishers.]

(2) The association must obtain written approval from the Commission concerning the scheduling of Pick (n) Position (x) contests, the designation of one of the methods prescribed in Parts 3 and 6, the percentages of the net pool apportioned between the major share of the Position (x) pool and the minor share(s) of the Position (x) pool, and the amount of any cap to be set on the carryover. Any changes to the approved Pick (n) Position (x) format require prior approval from the Commission.

(3) Unless otherwise stated, the major share of the net Pick (n) Position (x) Pool [hereafter, "Position (x) Pool"] shall be distributed as a single price pool to those who selected all (x) finishers, in exact position, in a minimum specified number of positions in the (n) contests (considered as a whole) that comprise the Position (x) Pool, based upon the official order of finish. The minimum specified number of positions may be all (x) positions in all (n) contests (for instance, four positions in each of six contests, for a total of 24 positions) or a lesser specified number (for instance, 22 or more accurate positions within the six contests taken as a whole.)

(4) The Pick (n) Position (x) pool shall be apportioned under one of the following methods:

(a) Method 1, Position (x) With No Minor Pool and No Carryover

(A) The net Position (x) pool shall be distributed in accordance with the method for distributing the major share as described in Subsection (3), above.

(B) If there are no wagers qualifying for the major share, the net Position (x) pool shall be distributed as a single price pool to those who correctly selected finishers, in exact position, in the greatest number of positions in Position (x) contests.

(C) If there are no winning wagers, the entire pool shall be refunded on Position (x) wagers for those contests.

(b) Method 2, Position (x) With No Minor Pool and Carryover Instead of a Refund

(A) The net Position (x) pool shall be distributed in accordance with the method for distributing the major share as described in Subsection (3), above.

(B) If there are no wagers qualifying for the major share, the net Position (x) pool and the carryover shall be distributed as a single price pool to those who correctly selected finishers, in exact position, in the greatest number of positions in Position (x) contests.

(C) If there are no winning wagers, the net Position (x) pool shall be added to the carryover.

(c) Method 3, Position (x) With No Minor Pool and Carryover

(A) The net Position (x) pool shall be distributed in accordance with the method for distributing the major share as described in Subsection (3), above.

(B) If there are no wagers qualifying for the major share, the net Position (x) pool shall be added to the carryover.

(d) Method 4, Position (x) With Minor Pool and No Carryover

(A) The major share of the net Position (x) pool shall be distributed in accordance with the method for distributing the major share as described in Subsection (3), above.

(B) The minor share of the net Position (x) pool shall be distributed as a single price pool to those who correctly selected finishers, in exact position, in the greatest number of positions in Position (x) contests (but less than the number of positions qualifying for the major share), based upon the official order of finish.

(C) If there are no wagers qualifying for the major share, the major share of the net Position (x) pool shall be combined with the minor share for distribution as a single price pool to those who correctly selected finishers, in exact position, in the greatest number of positions in Position (x) contests.

(D) If there are no wagers correctly selecting any finishers, in exact position, in Position (x) contests, other than winners of the major share of the net Position (x) pool, the minor share of the net Position (x) pool shall be combined with the major share for distribution as a single price pool to those who qualified for the major share.

(E) If there are no winning wagers, the pool shall be refunded on Position (x) wagers for those contests.

(e) Method 5, Position (x) With Minor Pool and Carryover

(A) The major share of the net Position (x) pool shall be distributed in accordance with the method for distributing the major share as described in Subsection (3), above.

(B) The minor share of the net Position (x) pool shall be distributed as a single price pool to those who correctly selected finishers, in exact position, in the greatest number of positions in Position (x) contests (but less than the number of positions qualifying for the major share), based upon the official order of finish.

(C) If there are no wagers qualifying for the major share, the minor share of the net Position (x) pool shall be distributed as a single price pool to those who correctly selected finishers, in exact position, in the greatest number of positions in Position (x) contests, and the major share shall be added to the carryover.

(D) If there are no wagers correctly selecting any finishers, in exact position, other than winners of the major share of the net Position (x) pool, the minor share of the net Position (x) pool shall be combined with the major share for distribution as a single price pool to those who qualified for the major share, or if there are no such winning wagers, added to the carryover.

(f) Method 6, Position (x) With Minor Pool(s) and Carryover

(A) The major share of the net Position (x) pool shall be distributed in accordance with the method for distributing the major share as described in Subsection (3), above.

(B) A principal minor share of the net Position (x) pool may be designated, and distributed as a single price pool, to those who correctly selected finishers, in exact position, in the greatest number of positions in Position (x) contests (but less than the number of positions qualifying for the major share), based upon the official order of finish.

(C) Additional minor shares of the net Position (x) pool may be designated, and distributed as single price pools, to those who correctly selected the designated number, or range, of finishers, in exact position, in Position (x) contests (but less than the number of positions qualifying for the major share), based upon the official order of finish.

(D) Those qualifying for the principal minor share may also qualify for one of the additional minor shares. When this occurs, the two unbroken prices shall be summed before surcharging or rounding the prices for breakage. For example:

(i) Suppose there are $5 of wagers correctly selecting 12 positions, $3 of wagers selecting 13 positions, and $2 of wagers selecting 14 positions, and 14 is the greatest number of positions correctly selected.

(ii) Suppose that the principal minor share of the net pool is $20,000.16. Further, one of the other minor shares is designated for a range of 12 to 15 positions, and this share of the net pool is $10,000.80. (These amounts are chosen only to illustrate the following steps.)

(iii) Then the principal minor share is divided among those selecting 14 positions, and the other minor share is divided among all the wagers selecting 12, 13, and 14 positions, so the 14-position winners receives the sum of two winning prices.

(iv) The principal minor share $20,000.16 divided among the $2 of 14-position winners yields an unbroken price of $10,000.08 per dollar, and the other minor share $10,000.80 divided among the $10 of 12, 13, and 14-position winners yields an unbroken price of $1,000.08 per dollar.

(v) The sum $10,000.08 + $1,000.08 = $11,000.16 is the combined unbroken price for choosing 14 finishers.

(vi) If the rounding for breakage is to the next lower $0.10, the final broken prices are $11,000.10 for 14 finishers, and $1,000.00 for 12 or 13 finishers.

(E) The commission shall approve the number of minor shares, and the designated number, or range, of finishers, in exact position, in Position (x) contests qualifying as the winning selection in any such minor share.

(F) If there are no wagers qualifying for the major share, the major share shall be added to the carryover. If there are no wagers qualifying for a designated minor share, the minor share of the net Position (x) pool shall be combined with the major share for distribution as a single price pool to those who qualified for the major share, or if there are no such winning wagers, added to the carryover.

(g) Method 7, Position (x) With Minor Pool(s) Based Upon Any One Contest, and No Carryover

(A) The major share of the net Position (x) pool shall be distributed as a single price pool to those who selected all (x) finishers, in exact position, in each (or a specified minimum number) of the Position (x) contests, based upon the official order of finish.

(B) The minor shares of the net Position (x) pool shall be distributed as single price pools to those (including recipients of the major share of the net Position (n) pool) who selected all (x) finishers, in exact position, in at least one of the Position (x) contests, based upon the official order of finish, as follows:

(C) There may be separate minor pools for those who selected all (x) finishers, in exact positions of finish, in the most Position (x) contests, those who selected all (x) finishers, in exact positions of finish, in the second most position (x) contests, and so forth down to those who selected all (x) finishers, in exact positions of finish, in one position (x) contest. Not all such minor shares need to be designated for the wager.

(D) If there are no wagers qualifying for the major share, the major share of the net Position (x) pool shall be combined with the highest level minor share for distribution as a single price pool. If there are no wagers qualifying for a designated minor share of the net Position (x) pool, that minor share shall be combined with the next (lower) minor share for distribution as a single price pool.

(E) If there are no winning wagers, the pool is refunded.

(h) Method 8, Position (x) With Minor Pool(s) Based Upon Any One Contest, and Carryover

(A) The major share of the net Position (x) pool and the carryover, if any, shall be distributed as a single price pool to those who selected all (x) finishers, in exact position, in each (or a specified minimum number) of the Position (x) contests, based upon the official order of finish.

(B) The minor shares of the net Position (x) pool shall be distributed as single price pools to those (including recipients of the major share of the net Position (x) pool) who selected all (x) finishers, in exact position, in at least one of the Position (x) contests, based upon the official order of finish, as follows:

(C) There may be separate minor pools for those who selected all (x) finishers, in exact positions of finish, in the most position (x) contests, those who selected all (n) finishers, in exact positions of finish, in the second most position (x) contests, and so forth down to those who selected all (x) finishers, in exact positions of finish, in one position (x) contest. Not all such minor shares need to be designated for the wager.

(D) If there are no wagers qualifying for the major share, the major share shall be added to the carryover.

(E) If there are no wagers selecting all finishers, in exact position, in a number of the Position (x) contests that qualify for a designated minor share, that minor share of the net Position (n) pool shall also be added to the carryover.

(i) Method 9, Position (x) With Minor Pool(s) Based Upon Any One Contest, and Carryover

(A) The major share of the net Position (x) pool and the carryover, if any, shall be distributed as a single price pool to those who selected all (x) finishers, in exact position, in each (or a specified minimum number) of the Position (x) contests, based upon the official order of finish.

(B) The minor shares of the net Position (x) pool shall be distributed as single price pools to those (including recipients of the major share of the net Position (x) pool) who selected all (x) finishers, in exact position, in at least one of the Position (x) contests, based upon the official order of finish, as follows:

(C) There may be separate minor pools for those who selected all (x) finishers, in exact positions of finish, in the most position (x) contests, those who selected all (x) finishers, in exact positions of finish, in the second most position (x) contests, and so forth down to those who selected all (x) finishers, in exact positions of finish, in one position (x) contest. Not all such minor shares need to be designated for the wager.

(D) If there are no wagers qualifying for the major share, the major share shall be added to the carryover.

(E) If there are no wagers selecting all finishers, in exact position, in a number of the position (x) contests that qualify for a designated minor share, that minor share of the position (x) pool shall be added to the next (lower) minor share of the position (x) pool. If there is no lower designated minor share of the position (x) pool, the minor share shall also be added to the carryover.

(j) Method 10, Position (x) With Minor Pool Based Upon Any One Contest, and Carryover;
100% Carryover if no Winning Wagers

(A) The major share of the net Position (x) pool and the carryover, if any, shall be distributed as a single price pool to those who selected all (x) finishers, in exact position, in each (or a specified minimum number) of the Position (x) contests, based upon the official order of finish.

(B) The minor share of the net Position (x) pool shall be distributed as a single price pool based upon the sum of the dollar value of wagers, for each of the Position (x) contests considered separately, in which all (x) finishers, in exact position, were correctly selected, based upon the official order of finish. The minor share of the net Position (x) pool shall be distributed as a single price pool to those (including recipients of the major share of the net Position (x) pool) who selected all (x) finishers, in exact position, in one or more of the Position (x) contests. Each recipient of a minor share shall receive an amount equal to the single price times the number of Position (x) contests in which the recipient correctly selected the winning combination.

(C) If there are no wagers qualifying for the major share, the major share shall be added to the carryover. If there are no winning wagers, the minor share shall also be added to the carryover.

(k) Method 11, Position (x) with Minor Pools and Carryover

(A) The net position (x) pool and the carryover, if any, shall be distributed to any player who correctly selects (x) finishers in specified positions in each of (n) contests, based upon the official order of finish.

(B) Minor shares shall be designated, and distributed as single price pools, to those who correctly select the designated position(s) of finishers, in Position (x) contests, based upon the official order of finish, and any remainder shall be added to the carryover.

(C) The Commission shall approve the number of minor shares, and the designated position(s) of finishers, in exact position, in Position (x) contests qualifying as the winning selection(s) in any such minor share.

(D) If there are no wagers qualifying for the major share, the major share shall be added to the carryover. If there are no winning wagers, the minor share shall also be added to the carryover.

(5) Apportionment of Net Position (x) Pool Between Major and Minor Pool(s)

The commission shall approve the method of apportioning the net Position (x) pool between winners of the Major share of the Position (x) pool and winners of the Minor share(s) of the Position (x) pool.

Example (utilizing Method 8): A Four Position Pool (x = 4) consisting of 5 contests (n = 5.) The major share goes to those who correctly choose all 20 positions. Assume the commission has approved three minor shares: The highest minor share goes to those who have picked all positions, in exact order, in 4 of the contests. The next minor share goes to those who have picked all positions, in exact order, in 3 of the contests. The final minor share goes to those who have picked all positions, in exact order, in 1 or 2 of the contests. One apportionment of payouts could be 40% of the net Position (x) pool for the major share, and 20% of the net Position (x) pool for each of the three minor shares. Another apportionment of payouts could be 50% of the net Position (x) pool for the major share, 25% for the highest minor share, 15% to the next minor share, and 10% to the final minor share.

(6) Dead Heats. In the event of a dead heat in any of the Position (x) contests, based upon the official order of finish:

(a) For purposes of determining whether a wager correctly selected the finishers, in exact position, contestants in a dead heat are deemed to jointly occupy both (or all) positions

in the dead heat. For example, if 5 and 6 finish in a dead heat for first, then a selection of 5 for either first or second is correct, and a selection of 6 for either first or second is also correct.

(b) Each share of the net Position (x) pool shall be distributed as a single price pool regardless of dead heats.

(7) Scratches

(a) If, due to a late scratch, the number of betting interests in a contest of the Position (x) pool is reduced to fewer than (x), for purposes of the Position (x) pool only, such contest shall be declared "no contest" and the Position (x) pool shall be subject to the rules set forth in the "Cancelled Contests" section (Part 7) of these rules.

(b) Should a betting interest in any contest of the Position (x) pool be scratched or excused from the contest, no more wagers shall be accepted selecting that scratched contestant.

(c) Existing wagers that select a scratched betting interest shall be handled under one of the following methods. The Commission shall make its determination of which of these alternatives shall apply at the time of approving the wagering pool, which alternative shall remain in effect until and unless changed by the Commission.

(A) Method 1, Substitute a higher contestant number:

(i) The next higher live contestant number that is not already part of the wager shall be substituted for the scratched contestant number. If no higher contestant number is eligible, the search shall then proceed upward from contestant number 1.

(ii) If a wager selects more than one scratched contestant for a contest, the substitutions shall begin with the lowest scratched contestant number in the wager and proceed in order to the highest.

(iii) Substitution shall be performed on the basis of single wagers, regardless of whether a wager was placed as part of any type of multiple wager format such as "box" or "wheel".

(iv) The totalisator shall produce reports showing each of the wagering combinations with substituted contestants which became winners as a result of the substitution, in addition to the normal winning combination.

(B) Method 2, Substitute favorite contestant number:

(i) The actual favorite, as evidenced by total amounts wagered in the Win pool at the close of wagering on that contest, shall be substituted for the scratched contestant for all purposes, including pool calculations.

(ii) If the Win pool total for two or more favorites is identical, the substitute selection shall be the contestant with the lowest contestant number not already selected in the wager as part of the contest.

(iii) If such favorite has already been selected in the wager as part of the contest, the next favorite(s) shall be used, as evidenced by the total amounts wagered in the Win pool, ordered from the highest amount to the lowest.

(iv) If a wager selects more than one scratched contestant for a contest, the substitutions shall begin with the lowest scratched contestant number in the wager and proceed in order to the highest.

(v) Substitution shall be performed on the basis of single wagers, regardless of whether a wager was placed as part of any type of multiple wager format such as “box” or “wheel”.

(vi) The totalisator shall produce reports showing each of the wagering combinations with substituted contestants which became winners as a result of the substitution, in addition to the normal winning combination. (C) Method 3, Scratched contestant wins

(i) The scratched contestant is deemed to be a correct selection of a winning finisher, for purposes of the Position (x) pool only.

(ii) The totalisator shall produce reports showing each of the wagering combinations which became winners as a result of the scratched contestants, in addition to the normal winning combination.

(D) Method 4, Scratched contestant loses:

(i) The scratched contestant is deemed to be a loser, for purposes of the Position (x) pool only.

(ii) Other correctly selected finishers in a wager shall continue to count toward winning, as usual.

(8) Cancelled Contests

(a) If any of the Position (x) contests are cancelled or declared ”no contest” prior to the first Position (x) contest being declared official, the entire Position (x) pool shall be refunded on Position (x) wagers for those contests.

(b) If all remaining Position (x) contests are cancelled or declared ”no contest” after the first Position (x) contest is declared official, the entire net Position (x) pool, but not the Position (x) carryover, shall be distributed as a single price pool to wagers selecting the winning combination in the first Position (x) contest. However, if there are no wagers selecting the winning combination in the first Position (x) contest, the entire Position (x) pool shall be refunded on Position (x) wagers for those contests.

(c) If any of the remaining Position (x) contests are cancelled or declared ”no contest” after the first Position (x) is declared official, the net Position (x) pool shall be distributed in accordance with rules governing distribution of the minor share(s) where there is no winner of the major share. If there is more than one minor share, the entire net Position (x) pool, but not the Position (x) carryover, shall be divided amongst the minor share(s), in accordance with the Apportionment section (Part 3) of these rules, in proportion to the designated percentages, or by some other method approved by the Commission.

(d) If any of the remaining Position (x) contests are cancelled or declared ”no contest” after the first Position (x) is declared official, and the net Position (x) pool has been designated for distribution in accordance with the Mandatory Distribution section (Part 9) of these rules, the rules governing mandatory distribution shall apply.

(9) Carryover Cap. The Position (x) carryover may be capped at a designated level approved by the Commission so that if, at the close of any performance, the amount in the Position (x) carryover equals or exceeds the designated cap, the Position (x) carryover will be frozen until it is won or distributed under other provisions of these Position (x) rules. After the Position (x) carryover is frozen, the part of the net pool that ordinarily would be added to the Position (x) carryover shall be distributed to those whose selection finished in the highest level of the minor share(s) of the Position (x) for that performance.

(10) Mandatory Distribution

(a) A written request for permission to distribute the Position (x) carryover on a specific performance may be submitted to the Commission. The request shall contain justification for the mandatory distribution, an explanation of the benefit to be derived, and the intended date and performance for the distribution. The association must notify the Commission at least 10 days prior to implementation. If the Position (x) pool cannot be distributed during a designated performance, the mandatory distribution shall resume on the next approved mandatory distribution performance.

(b) If the Position (x) carryover is designated for distribution on a specified date and performance, and if there are no wagers qualifying for the major share, then the following precedence shall be followed in determining winning wagers for the net Position (x) pool and the carryover pool:

(A) If the method chosen in Part 3 is method 7, 8, 9, or 10, then:

(B) The major share and the Position (x) carryover shall be distributed as a single price pool to those who selected all (x) finishers, in exact position, in the most individual Position (n) contests, based upon the official order of finish. Designated minor shares may still be awarded;

(C) If the method chosen in Part 3 is 1, 2, 3, 4, 5, or 6, then:

(D) The major share and the Position (x) carryover shall be distributed as a single price pool to those who correctly selected the most finishers, in their exact positions, in the Position (n) contests, based upon the official order of finish. Designated minor shares may still be awarded.

(E) If there are no wagers which qualified for distribution of the major share, then all Position (x) tickets shall become winners and share 100% of that performance's net Position (x) pool and the Position (x) carryover pool as a single price pool.

(c) The Position (x) carryover shall be designated for distribution on a specified date and performance only under the following circumstances:

(A) Upon written approval from the Commission as provided in Part 9a) of the Position (x) rules.

(B) Upon written approval from the Commission when there is a change in the carryover cap or when the Position (x) wager is discontinued.

(C) On the closing performance of the meet.

(d) If, for any reason, the Position (x) carryover must be held over to the corresponding Position (x) pool of a subsequent meet, the carryover shall be deposited in an interest

bearing account approved by the Commission. The Position (x) carryover plus accrued interest shall then be added to the net Position (x) pool of the following meet on a date and performance so designated by the Commission.

(11) Coupled entries and mutuel fields

(a) Coupled entries and mutuel fields may be permitted in Position (x) contests with the written approval of the Commission.

(b) Contestants coupled in wagering as a coupled entry or mutuel field shall be considered part of a single betting interest for the purpose of price calculations and distribution of Position (x) pools. Should any contestant in a coupled entry or mutuel field be officially withdrawn or scratched, the remaining contestants in that coupled entry or mutuel field shall remain valid betting interests and no refunds will be granted. If all contestants within a coupled entry or mutuel field are scratched, then the Scratches section (Part 6) of these rules shall apply.

(c) For the purpose of Position (x) price calculations only, coupled entries and mutuel fields shall be calculated as a single finishing contestant, using the finishing position of the leading contestant in that coupled entry or mutuel field to determine order of placing. This rule shall apply to all circumstances, including situations involving a dead heat. For example, if the actual order of finish in a contest is 1 / 2 / 1A / 3 / 4, then the finishers used for that contest of the Position (x) would be 1 / 2 / 3 / 4.

(12) With the written approval of the Commission, the association may contribute to the Position (x) carryover, or to the major or minor share(s) of the Position (x) pool, a sum of money up to the amount of any designated cap.

U. The Team Wager Pool

(1) The Team Wager Pool requires selection of a designated "team" in each of a designated number of contests. Winning bets shall be determined based upon the official order of finish in each contest and the standing of each team with respect to the official order of finish. For purposes of the Team Wager, finishers from the same team shall be bracketed together to determine a single betting interest, as set forth in Part 3.

(2) Prior to the start of the contests that comprise the Team Wager, all participants in each of the contests shall be divided by the association between or among each of the Team Wager teams, and the roster of each team made public, as well as the number of points to be awarded to the team whose member is the first finisher in a designated contest, the second finisher, and so forth until no more points are awarded in that contest.

(3) At the conclusion of all contests that comprise the Team Wager, the number of points for each team shall be compiled, and the team with the most points shall be declared the "winning team."

(4) The Team Wager pool shall be apportioned under either of the following methods: (a) Winning Margins Team Wager

(A) In the "Winning Margins Team Wager", the total number of points awarded in the Team Wager shall be divided by the association into a series of brackets comprised of a series of point ranges ("winning margin") by which one team (Team A) might

defeat the other team (Team B); a series of point ranges by which Team B might defeat Team A; and a tie between the teams. Each bracket shall constitute a separate betting interest in the Winning Margins Team Wager.

(B) The net Winning Margins Team Wager pool shall be distributed as a single price pool to those who selected the correct bracket. If there are no wagers selecting the correct bracket, the entire pool shall be refunded.

(C) Example: Points are assigned to each of the first four finishers in each contest [four points for the first finisher down to one point for the fourth finisher, for a total of 10 points awarded in each contest], based upon the official order of finish, with a total of six contests in the Team Wager, resulting in a total of 60 points in all. The brackets could be designated as:

(i) Team A's winning margin is 1-10 points
11-20 points
21-30 points
31-40 points
41-50 points
51-60 points

(ii) Team B's winning margin is 1-10 points
11-20 points
21-30 points
31-40 points
41-50 points
51-60 points

(iii) The two teams tie, and the margin is 0 Points

(iv) In this example, there are 13 separate betting interests.

(v) If, in this example, finishers representing Team A come in 1st and 3rd in one contest, and finishers representing Team B come in 2nd and 4th in that contest, Team A would have 4+2=6 points and Team B would have 3+1=4 points. The current winning margin (after this first contest) would be Team A by 2 points.)

(b) Team Double Wager

(A) In the "Team Double Wager", the commission shall approve two different methods of determining the winning tickets qualifying for a share of the net pool.

(B) The commission shall also approve the manner of apportioning the net Team Double Wager pool, and the conditions under which the pool shall be refunded or otherwise apportioned if there are no winning wagers.

(C) Example: A "daily-double"-style pool consisting of having to correctly select the bracket of the winning margin, as above, as well as a bracket based upon and including the total points achieved by the winning team.

(5) Brackets

(a) The brackets may be comprised of the margins by which the winning team defeats the team that finishes second; the total number of points achieved by the winning team; or other method of determining the brackets, as approved by the commission.

(b) Such factors as the number of teams in the Team Wager; the method by which teams are designated; the number of points to be awarded in each contest; the number of contests comprising the Team Wager; and the method by which the "brackets" constituting each betting interest in the Team Wager are designated, shall all be subject to approval of the commission.

(6) Coupled Entries; Fields. With approval of the commission, coupled entries may be permitted in contests comprising the Team Wager, but may only participate as part of the same Team.

With approval of the commission, fields may be permitted in contests comprising the Team Wager, but may only participate as part of the same Team.

(7) Dead Heat. If there is a dead heat including any finisher(s) for which points are awarded in the Team Wager, the total amount of points in the dead heat positions shall be combined and divided equally amongst the betting interests that have finished in the dead heat.

(8) Scratches

(a) Should an entry in any contest of the Team Wager be scratched or excused from the contest, all money wagered on combinations including this entry shall remain in the Team Wager pool and the ticket holder may still collect the monetary value of any distribution evidenced by the ticket containing the scratched betting interest.

(b) If, due to a scratch or excused entry, the number of entries assigned to a team in a contest of the Team Wager is reduced to fewer than the number of positions in the final order of finish for which the team is eligible to receive points, for purposes of the Team Wager pool such contest shall be declared "no contest" and wagers involving any betting interests that are no longer capable of being achieved shall be refunded.

V. Future Wager Pool

(1) The Future Wager requires selection of the first-place finisher in a specified contest.

(2) The association shall apply in writing to the commission for approval to offer the Future Wager on the specified contest and shall not offer the wager until the commission approval has been granted. The written application shall include the date and time for the pool to be opened and closed, a description of the system for compiling the pool and calculating odds and payout prices, and the time interval for displaying the odds.

(3) The association, or in the case of interjurisdictional common pool wagering the Host track, shall name the contestants included in each betting interest on which future wagers may be made and shall assign a program number to each betting interest.

(4) The amount wagered on the betting interest which finishes first in the specified race is deducted from the net pool, the balance remaining being the profit; the profit is divided by the amount wagered on the betting interest finishing first, such quotient being the profit per dollar wagered in the Future Pool on that betting interest.

(5) The net Future Pool shall be distributed as a single price pool to winning wagers in the following precedence, based upon the official order of finish:
   (a) To those whose selection finished first; but if there are no such wagers, then
   (b) To those whose selection finished second; but if there are no such wagers, then
   (c) To those whose selection finished third; but if there are no such wagers, then (d) The entire pool shall be refunded on Future Pool wagers for that contest.

(6) If there is a dead heat for first involving:
   (a) contestants representing the same betting interest, the Future Pool shall be distributed as if no dead heat occurred.
   (b) contestants representing two or more betting interests, the Future Pool shall be distributed as a profit split.

(7) No refund shall be issued for Future Wager pool wagers on betting interests that do not start or finish the race. If the association becomes aware or is notified that a betting interest is ineligible or unable to start the race and the pool is still open, the association shall immediately close betting on that betting interest.

(8) The entire Future Wager pool shall be refunded if:
   (a) the situation described at subsection 5 d) occurs; or
   (b) the specified race is declared no contest by the judges/stewards having jurisdiction over the specified race; or
   (c) the specified race does not occur; or
   (d) for whatever reason, the Future Wager pool cannot be determined and the payout price cannot be calculated.

W. Match Rival Pools

(1) The Match Rival requires the selection of the winning contestant in a designated contest or series of contests, in a competition between two or more equally matched betting interests, or based on the sportsmanship and/or skill of the jockeys/drivers and/or trainers, regardless of the official placing of the other betting interests in that contest or series of contests.

(2) The choice of which contestants from a contest shall participate in the Match Rival shall be made as follows:
   (a) The Association must obtain written approval from the Commission concerning who shall determine the contestants for each Match Rival contest.
   (b) The matching of contestants for the Match Rival shall be limited to contestant versus contestant, jockey versus jockey, driver versus driver and/or trainer versus trainer.
   (c) The contestants chosen for the match rival wager shall be conspicuously identified in the official program.

(3) The net Match Rival pool shall be distributed to winning wagers in the following precedence, based on the official order of finish:

(a) As a single price pool to those whose selection finished first in a single Match Rival contest, or first in the greatest number of a series of Match Rival contests; but if there are no such wagers, then

(b) The Match Rival pool shall be refunded.

(4) If there is a dead heat in a contest involving two or more of the contestants in:

(a) a single-contest Match Rival pool, then the entire pool shall be refunded.

(b) one or more contests of a series, then all the contestants involved in the dead heat shall be considered winners and the net pool shall be distributed as a single price pool, provided that:

(c) In a series of contests, if there is a dead heat in half or more of the contests then the Match rival pool for those contests shall be refunded.

(5) If any Match Rival contest is cancelled or declared no contest:

(a) In a single-contest Match Rival pool, the pool shall be refunded.

(b) In a series of contests, if half or more of the contests are cancelled or declared no contest, then the Match Rival pool for those contests shall be refunded.

(6) If any contestant is scratched or declared a non-starter in any Match Rival contest, then that contest shall be cancelled.

(7) If all contestants fail to finish in a Match Rival contest, then that contest shall be cancelled.

X. Pentafecta Pools

(1) The Pentafecta requires selection of the first five finishers, in their exact order, for a single contest.

(2) Distribution of Winnings – Option #1

a. The net Pentafecta pool shall be distributed to winning wagers in the following precedence, based upon the official order of finish

i. As a single price pool to those whose combination finished in correct sequence as the first five betting interests; but if there are no such wagers, then

ii. As a single price pool to those whose combination finished in correct sequence as the first four betting interests; but if there are no such wagers, then

iii. As a single price pool to those whose combination included, in correct sequence, the first three betting interests; but if there are no such wagers, then

iv. As a single price pool to those whose combination included, in correct sequence, the first two betting interests; but if there are no such wagers, then

v. As a single price pool to those whose combination correctly selected the first-place betting interest only; but if there are no such wagers, then

vi. The entire pool shall be refunded on Pentafecta wagers for that contest.

(3) Distribution of Winnings – Option #2

a. The net Pentafecta pool shall be distributed to winning wagers in the following precedence, based on the official order of finish:

i. As a single price pool, including any applicable carryover, to those whose combination finished in correct sequence as the first five betting interests, but if there are no such wagers, then

ii. The net pool will be divided into two separate pools. The major pool of the net pool shall be retained and added to a corresponding carryover pool into the next designated Pentafecta race. The remaining minor pool shall be paid as a Pentafecta consolation pool, which will be equally divided among those ticket holders who correctly select the first four betting interests, but if there are no such wagers, then

iii. The Pentafecta consolation pool will be divided among those ticket holders who correctly select the first three interests, but if there are no such wagers, then

iv. The Pentafecta consolation pool will be divided among those ticket holders who correctly select the first two interests, but if there are no such wagers, then

v. The Pentafecta consolation pool will be divided among those ticket holders who correctly select the first betting interest, but if there are no such wagers, then

vi. The entire net pool shall become a carryover pool to be retained and added to the next designated Pentafecta race.

b. On the last Pentafecta race on the final day of the meeting, the net pool, including any applicable carryover shall be distributed using the method described in subsection (2).

c. Where a net pool is divided into two separate pools in accordance with this subsection any odd cents remaining shall be retained and added to the part of the net pool that will be added to the corresponding carryover pool.

(4) Distribution of Winnings – Option #3

(a) The net Pentafecta pool shall be distributed to winning wagers in the following precedence, based on the official order of finish:

i. As a single price pool, including any applicable carryover, to those whose combination finished in correct sequence as the first five betting interests, but if there are no such wagers, then

ii. The entire net pool shall be retained and added to a corresponding carryover pool into the next designated Pentafecta race.

(b) On the last Pentafecta race on the final day of the meeting, the net pool, including any applicable carryover shall be distributed using the method described in subsection (2).

(5) Distribution of Winnings – Option #4

(a) The net Pentafecta pool shall be distributed to winning wagers in the following precedence, based on the official order of finish:

i. As a single price pool, including any applicable carry-over, to the holder of a unique winning ticket whose combination finished in correct sequence as the first five betting interests, but if there is no such unique winning ticket, then

ii. The net pool will be divided into two separate pools. The major pool of the net pool shall be paid as a carryover pool into the next regularly scheduled Pentafecta race. The remaining minor pool shall be paid as a Pentafecta consolation pool, which will be equally divided among those ticket holders who correctly select the first five interests, but if there are no such wagers, then

iii. The entire net pool shall become a carryover pool into the next regularly scheduled Pentafecta race.

(b) Unique winning ticket, as used in this paragraph (5)(a), shall be defined as having occurred when there is one and only one winning ticket whose combination finished in correct sequence as the first five betting interests, to be verified by the unique serial number assigned by the totalisator company that issued the winning ticket. In the event that there is more than one winning ticket whose combination finished in correct sequence as the first five betting interests, the unique winning ticket shall be deemed to not have occurred.

(c) The association shall specify the minimum monetary amount of a unique winning ticket wager approved by the Commission.

(d) A written request for permission to distribute the Pentafecta carryover on a specific performance may be submitted to the Commission. The request must be for a specified date no greater than one year from the date the request is submitted and contain justification for the distribution, an explanation of the benefit to be derived, and the intended date and performance for the distribution. Should the Pentafecta net pool and any applicable carryover be designated for distribution on a specified date and performance in which there is no unique winning ticket, the entire pool shall be distributed using the method described in subsection (2).

(e) A written request for permission to transfer the Pentafecta carryover to another Pentafecta pool operated by the same pool host may be submitted to the Commission. The request must contain justification for the transfer, including an explanation of the benefit to be derived, a description of the method by which the pool host will present the

information to the public that identifies the racetrack(s) for which the pool will be operated and the intended date(s) and performance(s) of the transfer.

(f) Unless otherwise stated in writing by the Commission under paragraph (d), on the last Pentafecta race on the final day of the meeting, the net pool, including any applicable carryover, shall be distributed using the method described in subsection (2).

(6) Notwithstanding paragraphs 5(d) and (e), if for any other reason the Pentafecta carryover must be held over to the corresponding Pentafecta pool of a subsequent meet, the carryover shall be deposited in an interest-bearing account approved by the Commission. The Pentafecta carryover plus accrued interest shall then be added to the net Pentafecta pool of the following meet on a date and performance so designated by the Commission.

(7) If fewer than five betting interests finish and the contest is declared official, payoffs will be made based upon the order of finish of those betting interests completing the contest. The balance of any selection on any ticket beyond the number of betting interests completing the contest shall be ignored. If the pools are being distributed under paragraph (3)(a), (4)(a), or (5)(a) any previous Pentafecta contest's carryover will not be included in the payoff and will be retained for the next contest's carryover, and this contest's net Pentafecta pool will be distributed using the method described in subsection (2).

(8) If there is a dead heat for first involving:

(a) contestants representing five or more betting interests, all of the wagering combinations selecting the five betting interests, irrespective of order, shall share in a profit split.

(b) contestants representing four betting interests, all of the wagering combinations selecting the four dead heated betting interests, irrespective of order, along with the fifth place betting interest shall share in a profit split.

(c) contestants representing three betting interests, all of the wagering combinations selecting the three dead heated betting interests, irrespective of order, along with the fourth place and fifth place betting interests, in correct order, shall share in a profit split.

(d) contestants representing two betting interests, both of the wagering combinations selecting the two dead heated betting interests, irrespective of order, along with the third place, fourth place and fifth place betting interests, in correct order, shall share in a profit split.

(9) If there is a dead heat for second involving:

(a) contestants representing four or more betting interests, all of the wagering combinations correctly selecting the winner along with the four dead heated betting interests shall share in a profit split.

(b) contestants representing three betting interests, all of the wagering combinations correctly selecting the winner, the three dead heated betting interests, irrespective of order, and the fifth place betting interests shall share in a profit split.

(c) contestants representing two betting interests, all of the wagering combinations correctly selecting the winner, the two dead heated betting interests, irrespective of order, and the fourth place and fifth place betting interests, in correct order, shall share in a profit split.

(10) If there is a dead heat for third involving:

(a) contestants representing three or more betting interests, all of the wagering combinations correctly selecting the first two finishers, in correct order, and the three dead heated betting interests, irrespective of order, shall share in a profit split.

(b) contestants representing two betting interests, both of the wagering combinations selecting the first two finishers, in correct order, and the two dead heated betting interests, irrespective of order, along with the fifth place betting interest shall share in a profit split.

(11) If there is a dead heat for fourth, all wagering combinations correctly selecting the first three finishers, in correct sequence, along with any two of the betting interests involved in the dead heat for fourth, irrespective of order, shall share in a profit split.

(12) If there is a dead heat for fifth, all wagering combinations correctly selecting the first four finishers, in correct sequence, along with any of the betting interests involved in the dead heat for fifth shall share in a profit split.

(13) In the event that more than one component of a coupled entry or mutuel field finishes within the first five positions, the first member of the coupled entry or mutuel field to finish shall determine the position of the single betting interest. The net pool shall be distributed to those whose selection included the coupled entry or mutuel field and each of the other four betting interests.

Y. 123Racing Pick (n) Wager Pool

(1) The ‘123RACING PICK-N’ is a pari-mutuel wager that requires the selection of one runner from each contest in a series of specific contests comprising the 123RACING PICK-N pool (“123RACING pool”). ‘N’ denotes the number of designated contests in that pool.

(2) Four is the minimum number of contests required to offer a 123RACING Pick-N pool.

(3) If a 123RACING Pick-N pool is reduced to fewer than 4 completed contests, the 123RACING Pick-N pool will be cancelled and all wagers will be refunded.

(4) Each wager is automatically assigned to a unique wager ID by the host totalizator platform, and is allocated “points” in each contest.

(5) Points are allocated for winning selections of contestants that finish in the 1st, 2nd or 3rd position in the official results for each contest and have a pari-mutuel pay-out associated

with its finish. Points scored will be equivalent to adding the pari-mutuel pool host payouts for the Win, Place and Show wager on that selection (i.e. $2 Win, $2 Place and $2 Show wagers).

(6) Points are accumulated after each contest in the 123RACING Pick-N pool and displayed on a leaderboard shown at betting venues and online.

(7) Each 123RACING Pick-N wager is assigned a unique identifier/nickname associated with the serial number of the ticket or account wager record. This unique identifier/nickname is used to identify the wagers' progress on the leaderboard display.

(8) The unique 123RACING Pick-N wagers with the highest points scores after the last designated contest share in the pay-outs of the net pool according to subsection (14) of this section.

(9) After each leg of the contests comprising the 123RACING Pick-N wager, the leaderboard displays the points accumulated from that leg and the cumulative points of each player and their ranking in the 123RACING Pick-N pool. After the final contest comprising the 123RACING Pick-N, the leaderboard displays the final result and pay-outs for the 123RACING Pick-N pool.

(10) Where a selection in a 123RACING Pick-N wager does not finish in 1st, 2nd or 3rd in the official results or the selection was a non-wagering interest, no Points are scored.

(11) The 123Racing Pick-N wager is not eliminated if a selection does not score points.

(12) Wagering on the 123RACING Pick-N pool shall close at the start of the first designated contest in the 123RACING Pick-N pool. Participants are not permitted to cancel a 123RACING Pick-N wager after the 123RACING Pick-N pool has closed.

(13) 100% of the net 123RACING Pick-N pool is paid out upon completion of all designated contests in the 123RACING Pick-N pool.

(14) The distribution of the 123RACING Pick-N pool is based on the winning wager(s) in the following order of precedence:

(a) Single winners of the 123RACING Pick-N pool

The highest scoring single wager in the 123RACING pool receives 60% of the Net Pool.

The 2nd highest scoring single wager receives 30% of the Net Pool.

The 3rd highest scoring single wager receives 10% of the Net Pool.

(b) If there are two 123RACING Pick-N wagers that score the highest points then those two winning wagers share 90% (60% + 30%) of the Net Pool equally divided between the two winning wagers and the 2nd highest scoring single wager receives 10% of the Net Pool.

(c) If there are 3 or more winning wagers scoring the same highest points 100% of the Net Pool is equally divided amongst each winning wager. This shall be done consistent with the minimum pari-mutuel payouts of the jurisdiction in which the wager was hosted.

(d) If there is a single wager with the highest points total, and two or more wagers with the second highest points total, the highest scoring wager will receive 60% of the Net Pool, and the second highest points wagers share 40% of the Net Pool equally divided by the two or more wagers, as the case may be, that scored the second highest points total.

(e) If there is a single wager with the highest points total, and a single wager with the second highest points total, and two or more wagers with the third highest points total, the highest scoring wager will receive 60% of the Net Pool, the second highest point wager will receive 30% of the Net Pool, and the third highest point wagers will share 10% of the Net Pool equally divided by the two or more wagers, as the case may be, that scored the third highest point total.

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(15) Subject to subsection (3), if a single contest included as part of a 123RACING Pick-N pool is cancelled or declared a "no contest", the net pool shall be distributed based on the results of the other designated contests included in the pool.

(16) Coupled entries or mutuel fields, as defined within the rules and regulations of the Commission, shall race in any 123RACING Pick-N contest as a single betting interest for purposes of the 123RACING Pick-N pool calculations.

(17) A scratch after wagering on the 123RACING Pick-N has begun of any betting interest of a coupled entry or mutuel field selection in said 123RACING Pick-N contest shall be of no effect with respect to the status of such remaining entry and/or field as a viable wagering interest, unless in conflict with the wagering rules in the host track jurisdiction

(18) Should a betting interest in any of the 123RACING Pick-N contests be scratched, the post time favorite, as evidenced by total amounts wagered in the Win pool at the host association for the contest at the close of wagering on that contest shall be substituted for the scratched betting interest for all purposes, including pool calculations. In the event that the Win pool total for two or more favorites is identical, the substitute selection shall be the betting interest with the lowest program number. The totalizator shall produce reports showing each of the wagering combinations with substituted betting interest which became winners as a result of the substitution in addition to the normal winning combination.

(19) The takeout and the pool distribution for a 123RACING Pick-N pool shall be set by the host association and approved by the host regulatory commission.

(20) With written approval of the Commission, the pool host may contribute to the Net amount of the 123RACING Pick-N pool.

123RACING Scoring Example:

Picks that finish 1st, 2nd or 3rd in each contest score points allocated by summing the parimutuel pay-outs equivalent to a $2 Win, Place, and Show wager, i.e. by summing the Official Win, Place and Show pari-mutuel pay-outs for the contest, as in the following example: ----------

Horse A – 1st
Win: $6.00 Place: $5.60 Show: $2.20
Total Score = Win + Place + Show = 13.80 points
---------- Horse B – 2nd

Place: $15.60 Show: $4.80
Total Score = Place + Show = 20.40 points
---------- Horse C – 3rd
Show: $2.10
Total Score = Show = 2.10 points

Z. Exact (n) Pools

(1) The Exact (n) requires selection of the first (n) finishers, in their exact order, for a single contest. The association shall specify the distribution method described in subsection (2) and obtain approval from the Commission. Any changes to the approved Exact (n) format requires prior approval from the Commission.

(2) The Exact (n) pool shall be apportioned under one of the following methods:

a. Method 1, Exact (n) with No Carryover. The net Exact (n) pool shall be distributed to winning wager in the following precedence, based upon the official order of finish:

i. As a single price pool to those whose selected combination finished in correct sequence as the first (n) betting interests; but if there are no such wagers, then

ii. As a single price pool to those whose selected combination had the greatest number of sequential betting interests, starting with the first-place betting interest of the race, that finished in correct sequence; but if there are no such wagers, then

iii. The entire pool shall be refunded.

b. Method 2, Exact (n) with Carryover. The net Exact (n) pool shall be distributed to winning wagers in the following precedence, based on the official order of finish:

i. As a single price pool, including any applicable carryover, to those whose selected combination finished in correct sequence as the first (n) betting interests; but if there are no such wagers, then

ii. The entire net pool shall be retained and added to the carryover which shall be added to the next scheduled corresponding pool.

c. Method 3, Exact (n) with Consolation and Carryover. The share percentages are determined by the pool host and approved by the Commission. The net Exact (n) pool shall be distributed to winning wagers in the following precedence, based on the official order of finish:

i. As a single price pool, including any applicable carryover, to those whose selected combination finished in correct sequence as the first (n) betting interests; but if there are no such wagers, then

ii. The net pool will be divided into two shares. The first share shall be retained and added to the carryover which shall be added to the next scheduled corresponding pool. The second share shall be paid as an Exact (n) consolation pool, which will be equally divided among those whose selected combination had the greatest number of sequential betting interests, starting with the first-place betting interest of the race, that finished in

correct sequence; but if there are no such wagers, then

iii. The entire net pool shall be retained and added to the carryover which shall be added to the next scheduled corresponding pool.

d. Method 4, Exact (n) with Two Shares, one having a Carryover. The share percentages are determined by the pool host and approved by the Commission. The net Exact (n) pool shall be distributed to winning wagers in the following precedence, based on the official order of finish:

i. The first share of the net Exact (n) pool and the carryover, if any, shall be distributed to those whose selected combination finished in correct sequence as the first (n) betting interests.

ii. The second share of the net Exact (n) pool shall be distributed to those whose selected combination had the next greatest number of sequential betting interests, starting with the first-place betting interest of the race, that finished in correct sequence.

iii. If there are no wagers whose selected combination finished in correct sequence as the first (n) betting interests, the second share shall be distributed as a single price pool to those whose selected combination had the greatest number of sequential betting interests, starting with the first place betting interest of the race, that finished in correct sequence and the first share shall be added to the carryover; but if there are no such wagers, then

iv. The entire net pool shall be retained and added to the carryover which shall be added to the next scheduled corresponding pool.

e. Method 5, Exact (n) with Carryover and "Unique Winning Ticket" provision. The share percentages are determined by the pool host and approved by the Commission. The net Exact (n) pool shall be distributed to winning wagers in the following precedence, based on the official order of finish:

i. As a single price pool, including any applicable carryover, to the holder of a unique winning ticket whose selected combination finished in correct sequence as the first (n) betting interests; but if there is no such unique winning ticket, then
ii. The net pool will be divided into two separate shares. The first share shall be retained and added to the carryover which shall be added to the next scheduled corresponding pool. The second share shall be paid as an Exact (n) consolation pool, which will be equally divided among those whose selected combination had the greatest number of sequential betting interests, starting with the first-place betting interest of the race, that finished in correct sequence; but if there are no such wagers, then
iii. The entire net pool shall be retained and added to the carryover which shall be added to the next scheduled corresponding pool.

In obtaining authorization for operating the Exact (n) pool under this paragraph, associations must clearly identify which definition under paragraph *(3)a* will be relied upon for determining the existence of a unique winning ticket.

f. Method 6, Exact (n) with the pool split into three shares, with Carryovers, and a "Unique Winning Ticket" provision. The share percentages are determined by the pool host and approved by the Commission. The net Exact (n) pool shall be distributed to winning wagers in the following precedence, based on the official order of finish:
   i. The first share of the net Exact (n) pool and the first share carryover, if any, shall be distributed to those whose selected combination finished in correct sequence as the first (n) betting interests.
   ii. The second share of the net Exact (n) pool shall be distributed to those whose selected combination had the next greatest number of sequential betting interests, starting with the first-place betting interest of the race, that finished in correct sequence.
   iii. If there are no wagers whose selected combination finished in correct sequence as the first (n) betting interests, the second share of the net Exact (n) pool shall be distributed as a single price pool to those whose selected combination had the greatest number of sequential betting interests, starting with the first-place betting interest of the race, that finished in correct sequence and the first share shall be added to the first share carryover; but if there are no such wagers, then the entire net pool shall be retained and added to the first share carryover which shall be added to the next scheduled corresponding pool. The third share and the third share carryover, if any, shall be distributed to the holder of a unique winning ticket whose selected combination finished in correct sequence as the first (n) betting interests, the third share shall be added to the third share carryover. For greater certainty, the holder of a unique winning ticket shall receive the first share and the first

share carryover, if any, as well as the third share and the third share carryover, if any.

In obtaining authorization for operating the Exact (n) pool under this subsection, associations must clearly identify which definition under paragraph (3)a will be relied upon for determining the existence of a unique winning ticket.

g. Method 7, Exact (n) with the pool split into three shares, one share having a carryover. The share percentages are determined by the pool host and approved by the Commission. The net Exact (n) pool shall be distributed to the winning wagers in the following precedence, based on the official order of finish:
    i. The first share of the net Exact (n) pool and the carryover, if any, shall be distributed to those whose selected combination finished in correct sequence as the first (n) betting interests.
    ii. The second share of the net Exact (n) pool shall be distributed to those whose selected combination had the greatest number, which is less than (n), of sequential betting interests, starting with the first-place betting interest of the race, that finished in correct sequence.
    iii. The third share of the net Exact (n) pool shall be distributed to those whose selected combination had the next greatest number, which is less than provided for in the second share, of sequential betting interests, starting with the first-place betting interest of the race, that finished in correct sequence. iv. In the event that ticket holders whose selected combination had the greatest number of sequential betting interests, starting with the first-place betting interest of the race, that finished in correct sequence is a ticket with only one betting interest incorrect sequence, then such winning ticket holders shall receive the second and third shares.
    v. If there are no wagers whose selected combination finished in correct sequence as the first (n) betting interests, the first share shall be added to the carryover.
    vi. If there are no wagers whose selected combination had at least one sequential betting interest, starting with the first-place betting interest of the race, that finished in correct sequence, the entire net pool shall be retained and added to the carryover which shall be added to the scheduled corresponding pool.

(3) As it relates to any distribution method under subsection (2) which contains a unique winning ticket provision:
    a. Associations must clearly identify which selection under clause *i and ii* below will be relied upon for determining the existence of a unique winning ticket.
        i. There is one, and only one, winning ticket whose selected combination finished in correct sequence as the first (n) betting interests, based upon the official order of finish, to be verified by the unique serial number assigned by the tote company that issued the winning ticket; or

ii. The total amount wagered on one, and only one, winning combination whose selected combination finished incorrect sequence as the first (n) betting interests, based upon the official order of finish, is equal to the minimum allowable wager.

b. The association shall specify the minimum monetary amount of a unique winning ticket wager.

(4) An association may guarantee one or more pools, or shares of a pool under any of the payout methods described in subsection (2) without guaranteeing any of the other shares, if any, contained in the applicable method.

(5) On the last race with an Exact (n) pool on the final day of the meeting, the net pool, including any applicable carryover may:

a. Be distributed using the method described in paragraph *(2)a*; or

b. With the approval of the Commission, be carried over to a subsequent meet.

(6) Where a net Exact (n) pool is divided into two or more separate shares in accordance with this section, any odd cents remaining shall be retained and added to the part of the net pool that will be added to the carryover.

(7) A written request for permission to distribute the Exact (n) carryover on a specific performance may be submitted to the Commission. The request must be for a specified date no greater than one year from the date the request is submitted and contain justification for the distribution, an explanation of the benefit to be derived, and the intended date and performance for the distribution. Should the association elect to distribute the Exact (n) pool pursuant to either paragraph *(2)b, c, d, e, f,* or *g* and the Exact (n) net pool and any applicable carryover which is designated for distribution on a specified date and performance in which there is no selected combination that finished in correct sequence as the first (n) betting interests, the entire pool shall be distributed using the method described in *(2)a.*

(8) A written request for permission to transfer the Exact (n) carryover to another Exact (n) pool operated by the same pool host may be submitted to the Commission. The request must contain justification for the transfer, including an explanation of the benefit to be derived, a description of the method by which the pool host will present the information to the public that identifies the racetracks(s) for which the pool will be operated and the intended date(s) and performance(s) of the transfer.

(9) If for any reason other than as permitted pursuant to subsection (5), the Exact (n) carryover must be held over to the corresponding Exact (n) pool of a subsequent meet, the carryover shall be deposited in an interest-bearing account approved by the Commission.

(10) The following procedure shall be used to determine the official order of finish if there is a dead heat for any of the (n) finishing positions among two or more betting interests:

a. The betting interests, starting with the first-place betting interest of the race, in correct sequence finishing before the dead heat, if any, followed by

b. The betting interests which dead heated, irrespective of sequence, followed by

c. The betting interests in correct sequence after the dead heat, if any.

d. In the event there is more than one dead heat, the rule for determining the finishing position of the betting interests as set forth in paragraphs *(10)a* through *c* above shall be applied.

e. If there is a dead heat the Exact (n) pool shall be distributed as a single price pool with each winning wager receiving an equal share of the profit.

(11) In the event that a ticket is purchased prior to the day's scratches being announced and a betting interest draws into the race off the also eligible list, the association shall specify which method it will use described under paragraph *(11)a* or *b*. A guest association which commingles wagers into the pool may elect to not offer wagering to its customers until all scratches have been announced and all betting interests, if any, have drawn into the race off the also eligible list.

a. The scratched betting interest will be substituted with the betting interest that drew into the race off the also eligible list. In the event that two betting interest scratch, the scratched betting interest with the lower program number will be substituted with the also eligible that has the lower program number and the scratched betting interest with the higher program number will be substituted with the also eligible that has the higher program number. In the event that more than two betting interests are scratched, the pattern for determining the also eligible betting interest to be substituted for the scratched betting interest set forth in the previous sentence shall be applied for all such betting interests; or

b. The association can elect to refund the ticket.

(12) In the event that a ticket is purchased prior to the day's surface change, if any, being announced and a betting interest designated as "main track only" draws into the race, the association shall specify which method it will use described under paragraph *(12)a* or *b.* A guest association which commingles wagers into the pool may elect to not offer wagering to its customers until all betting interests which were designated as "main track only," if any, have been declared starters.

a. A betting interest that was scratched will be substituted with the betting interest that was designated as "main track only." In the event that two betting interests scratch, the scratched betting interest with the lower program number will be substituted with the "main track only" betting interest that has the lower program number and the scratched betting interest with the higher program number will be substituted with the "main track only" betting interest that has the higher program number. In the event that more than two betting interests are scratched, the pattern for determining the "main track only" betting interest to be substituted for the scratched betting interest set forth in the previous sentence shall be applied for all such betting interests; or

b. The association may elect to refund the ticket.

(13) The association, with the approval of the Commission, may close the Exact (n) pool prior to the association closing its other single contest wagering pools. If after the Exact (n) pool closes, a betting interest is either scratched, declared a non-starter, or does not finish the race, such betting interest shall be considered only for purpose of the Exact (n) pool to have finished the race in last position. If two betting interests are scratched, declared nonstarters, or do not finish the race after the Exact (n) pool has closed, the scratched, nonstarter, or non-finishing betting interest with the highest program number shall be considered to have finished in last position and the scratched, non-starter, or non-finishing betting interest with the second highest program number shall be considered to have

finished second to last. In the event that more than two betting interests are scratched, declared non-starters, or do not finish the race after the Exact (n) pool has closed, the pattern for determining the finishing position of the betting interests set forth in the previous sentence shall be applied for all such betting interests. Notwithstanding the foregoing, but only as it relates to tickets which contain a betting interest which is scratched after the pool closes but before the race is declared "off" or a betting interest which is declared a non-starter, the association may elect to refund such ticket.

(14) In the event that the race is declared a non-contest, or if when the pool closes there are less than (n) betting interests, the entire pool shall be refunded and any previous carryover shall be added to the next scheduled corresponding pool.

AA. RACINGO Pool

(1) RACINGO requires selection of the first, second and third finishers, in exact or inexact order, as the case may be, for three designated races. The selection shall be made on a ticket approved by the Commission. The RACINGO daily net pool shall be allocated to one of four prize categories.

(2) The association shall obtain written approval from the Commission concerning the ticket design, the percent of the daily pool net pool allocated to each prize category, the scheduling of the RACINGO contests, the guaranteed minimum payout (if any) for any prize category, the amount of any cap to be set on any carryover, and the date of any scheduled mandatory distribution.

(3) Within each prize category all winning tickets shall be calculated as a single price pool. Winners for each prize category will be determined by matching squares on the RACINGO ticket in the patterns as described below:

(a) For Prize Category A – "The DIAMOND" – Matching four (4) squares on the ticket in the following pattern: middle left with upper and lower center and middle right (i.e. place position 1st leg, win and show position 2nd leg, and place position 3rd leg).

(b) For Prize Category B - "The X" – Matching five (5) squares on the ticket in the following pattern: upper and lower left with middle center and upper and lower right (i.e. win and show position 1st leg, place position 2nd leg, and win and show position 3rd leg).

(c) For Prize Category C – The FULL CARD IN ANY ORDER – Matching all squares on the ticket. Selections can appear on the ticket in any order of finish for first, second and third in each of the three separate legs.

(d) For Prize Category D – The FULL CARD IN EXACT ORDER – Matching all squares on the ticket. All selections must appear on the ticket in their exact order of finish for first, second and third in each of the three separate legs. In the event of a dead heat (s) for any position a square will be considered an exact match if it contains any of the betting interests dead heated for that position.

(4) Except as provided for in Subsections 7 and 12, winning tickets shall apply to one prize category only in precedence starting with Prize Category D. For example, a winning ticket for Prize Category D shall not participate in the distribution of Prize Categories A, B, or C. A

winning ticket for Prize Category C shall not participate in the distribution of Prize Categories A, B, or D. A winning ticket for Prize Category B shall not participate in the distribution of Prize Categories A, C, or D. And a winning ticket for Prize Category A shall not participate in the distribution of Prize Categories B, C, or D.

(5) The net pool for Prize Category D may be supplemented in order to guarantee a minimum payout. Such minimum payout (if applicable) must be established by the association and authorized by the Commission prior to the first RACINGO pool or prior to the first RACINGO pool after Prize Category D has been won. For example, if a minimum payout of $1 million is established, the actual gross pool plus any applicable carryover would be supplemented to raise the payout to $1 million. The amount to be supplemented would decrease as the jackpot pool grows. The supplement would cease once the jackpot pool reaches $1 million.

(6) The payout for each prize category shall be separately calculated as a single price pool by dividing the amount of winning dollars into the portion of the net pool plus any applicable carryover and supplemental money allocated to that particular prize category.

(7) Prize Categories C and D are separate Jackpot prizes. The net pool for each jackpot will consist of the current allocation of the daily net RACINGO pool plus the applicable carryover, if any. If no winning tickets are sold for either of these Prize Categories C and D, 100 percent of that performance's net pool allocated to the respective Prize Categories plus applicable carryover shall be carried over to the corresponding prize category of the next scheduled RACINGO contest.

(8) In the event there is no pari-mutuel ticket sold selecting a winner for Prize Category A or Prize Category B, the portion of the net pool allocated for that prize will be divided equally, and added to the carryover for distribution in Prize Categories C and D.

(9) A RACINGO pool shall not be offered if any of the three designated RACINGO legs have fewer than three programmed betting interests.

(10) The RACINGO pool shall be cancelled and all RACINGO wagers for the individual contest shall be refunded and no additions to the jackpot prizes will be made if:

(a) any of the three designated legs are cancelled or declared "no contest", or

(b) fewer than three betting interests start or finish in any of the three designated legs.

(11) In the event of a scratch after wagering has begun on RACINGO, substitution will be to the next highest program number available and not already bet by the RACINGO player. In the event where the next highest program number is either scratched or already in use by the RACINGO player, substitution will proceed via a wrap-around method to the lowest unused program number and come forward until an available program number has been reached.

Substitution for scratched entries will always begin with the lowest numbered scratched entry in that leg of the contest. In the event of multiple scratched program numbers in the same leg, the substitution for each of the scratched betting interests will begin with the lowest program number in that leg of the contest. Substitutions will take place only after the Host track has posted all official scratches in the official results of each leg.

(12) In the event of a dead heat in any of the 3 designated RACINGO races, squares on RACINGO tickets containing any of the dead heated betting interests in that race shall be

considered matching squares. For example, if in the first designated RACINGO race betting interests 1 and 2 finished in a dead heat to win, RACINGO players who selected either 1 or 2 to win in the first race would be given credit for a matching square. Using this same example, if a RACINGO player selected either 1 or 2 in either the win or place positions for the first designated race, they would be given credit for a matching square for both win and place positions. Squares containing dead heated entries in the correct order of finish in that leg shall be considered exact matching squares pursuant to qualification for Prize Category D as detailed below.

(13) On a performance designated for mandatory distribution of a RACINGO pool, the current pool allocation to the Jackpot prize plus any applicable carryover will be distributed according to Subsection 3 or, if there are no tickets sold in the various prize categories, in the following manner:

(a) Prize Category D: If no tickets are sold to win Prize Category D, the sum of the allocated net pool and accumulated carryover from Prize Category D will be added to the allocated net pool and accumulated carryover from Prize Category C.

(b) Prize Category C: If no tickets are sold to win Prize Category C, the sum of the allocated net pool and accumulated carryover from Prize Category C shall be added to the allocated net pool and accumulated carryover for Prize Category B.

(c) Prize Category B: If no tickets are sold to win Prize Category B, the sum of the allocated net pool and accumulated carryover from Prize Category B shall be added to the allocated net pool plus accumulated carryover for Prize Category A.

(d) Prize Category A: If no tickets are sold to win Prize Category A, the allocated net pool plus accumulated carryover from Prize Categories A shall be added to the allocated net pool plus accumulated carryover for Prize Category D.

(e) If no ticket is sold to win Prize Categories A, B, C, or D, the allocated net pool plus accumulated carryover from the respective Prize Categories shall be paid to all ticket holders of the current RACINGO contest.

(14) If for any reason the net pool cannot be paid, the funds shall be deposited in an interest bearing account approved by the Commission and available the next time t the pool is offered by the Host.

BB. Choose (n) Rules

(1) The Choose (n) is a form of pari-mutuel wagering. Each bettor attempts to choose the winner of (n) races but chooses the races at his own discretion instead of having the races designated for him by the association. The races need not be consecutive and the ticket's first race may begin at any time provided that there are an equal number of races left on the program. The Choose (n) ticket is in effect a contract by the purchaser of the ticket to select any of the (n) winners from the entire card. The association must obtain written approval from the Commission concerning the scheduling of Choose (n) contests and the amount of any cap to be set on the carryover. Any changes to the approved Choose (n) format require prior approval from the Commission.

(2) The Choose (n) pool shall be held separately from all other pools and is in no way part of a daily double, exacta, trifecta or any other wagering pool. The Choose (n) is a pool wherein

the bettor is required to select any (n) winning horses from that particular card and is not a parlay.

(3) Choose (n) tickets shall be sold in denominations as determined by the association. No less than or no more than the (n) races will comprise a Choose (n) ticket.

(4) Races in which Choose (n) wagering is permitted shall be approved by the Commission. Some races may be closed to Choose (n) wagering at the discretion of the association. The Choose (n) pool shall close after each race but shall reopen with respect to subsequent races that have not yet been run provided that there are at least as many races remaining as required to be selected on a winning Choose (n) ticket.

(5) The design of the Choose (n) tickets shall be clearly and immediately distinguishable from other pari-mutuel tickets.

(6) Those horses constituting an entry or field, as defined within the rules and regulations of the Commission, shall race in any Choose (n) race as a single wagering interest for purposes of the Choose (n) pool calculations. A scratch after wagering has begun of any part of the entry or field selection in a race shall be of no effect with respect to the status of such entry and/or field as a viable wagering interest.

(7) At any time after wagering begins on the Choose (n), should a horse, entire betting entry or field be scratched or declared a non- starter in any Choose (n) race, no further tickets selecting such horses, entry or field shall be issued, and wagers upon such horse, entry or field for purposes of the Choose (n) shall be deemed wagers upon the horse, entry or field on which the most money has been wagered in the win pool at the close of win betting for such race. In the event of a tie, the horse, entry or field with the lowest program number shall be designated.

(8) In the event of a dead heat for win between two or more horses in any of the Choose (n) races, all such horses shall be considered as the winning horse for the purpose of distributing the Choose (n) pool.

(9) The Choose (n) pool shall be calculated as follows:

(a) 100% of the net amount in the Choose (n) pool subject to distribution among winning ticket holders shall be distributed among holders of Choose (n) tickets which have correctly selected the winner of the (n) races comprising the Choose (n).

(b) In the event there is no Choose (n) ticket which correctly designates the winner of the (n) winners that make up the Choose (n), 25% of that racing date's net amount available for distribution shall be distributed among the holders of Choose (n) tickets correctly designating the most winning selections of the races that comprise the Choose (n), and the remaining 75% of said pool shall be carried over and added to the pool on the next day that the wager is conducted.

(c) If, on the last day on which the Choose (n) is conducted at a horse race meeting, no one selects the winning horse in (n) races, the total amount of the Choose (n) pool which exists on that day shall be paid to the bettor or bettors selecting the largest number of winning horses in those races. In no event shall any part of the pool be carried over to the next year's race meeting.

(10) When the condition of the turf course warrants a change of racing surface in any of the races open to Choose (n) wagering, and such change has not been made known to the betting public prior to the close of wagering for the first Choose (n) race, the Stewards shall declare the changed races a "no contest" for Choose (n) wagering purposes and the pool shall be distributed in accordance with subsection (11). Following the designation of a race as a "no contest", no tickets shall be sold selecting a horse in such "no contest" race.

(11) If, for any reason, one or more races are cancelled or declared a "no contest" the Choose (n) pool shall be paid using the following formula, or an alternative formula developed by the racing association and made available to the public (the following formula assumes a Choose 6):

(a) Any race that has been cancelled or declared a "no contest" shall not be considered a contested race for Choose 6 purposes.

(b) Any ticket, regardless of its starting point, that has not completed at least four contested legs will be refunded.

(c) In the event that only 4 Choose 6 races have been contested: 100% of that day's net pool (not including any carryover), after refunds (the "Daily Pool"), shall be paid to tickets with 4 wins.

(d) In the event that only 5 Choose 6 races have been contested: 75% of the Daily Pool shall be paid to tickets with 5 wins and 25% of the Daily Pool shall be paid to tickets with 4 wins, no losses, and selections in two non-contested races.

(e) In the event that at least 6 races have been contested for the Choose 6 and two or more races have not been contested: 75% of the Daily Pool plus any carryover shall be paid to tickets with 6 wins, 18.75% of the Daily Pool to tickets with 5 wins and a selection in a non-contested race, and 6.25% of the Daily Pool to tickets with 4 wins and selections in two non-contested races. If no ticket has 6 wins, 50% of the Daily Pool shall be paid to tickets with 5 wins and a selection in a non-contested race, 25% of the Daily Pool to tickets with 4 wins and selections in two non-contested races, and 25% of the Daily Pool to tickets with 5 wins and 1 loss.

(f) In the event that at least 6 races have been contested for the Choose 6 and one race has not been contested: 75% of the Daily Pool plus any carryover shall be paid to tickets with 6 wins and 25% of the Daily Pool to tickets with 5 wins and a selection in the non-contested race. If no ticket has 6 wins, 75% of the Daily Pool shall be paid to tickets with 5 wins and a selection in the non-contested race and 25% of the Daily Pool to tickets with 5 wins and 1 loss.

(g) In the event that there is no payable ticket in a category within any of these subsections, that portion of the Daily Pool will be divided equally between the other categories within that subsection. In the event that there is no payable ticket within a subsection, the entire Daily Pool shall be carried over and added to the pool on the next day that wagering is conducted.

(12) The Choose (n) carryover may be capped at a designated level approved by the Commission so that if, at the close of any performance, the amount in the Choose (n) carryover equals or exceeds the designated cap, the Choose (n) carryover will be frozen until it is won or

distributed under other provisions of this rule. After the Choose (n) carryover is frozen, 100 percent of the net pool, part of which ordinarily would be added to the Choose (n) carryover, shall be distributed to those whose selection finished first in the greatest number of Choose (n) contests for that performance.

(13) A written request for permission to distribute the Choose (n) carryover on a specific performance may be submitted to the Commission. The request must contain justification for the distribution, an explanation of the benefit to be derived, and the intended date and performance for the distribution.

(14) Should the Choose (n) carryover be designated for distribution on a specified date and performance in which there are no wagers with (n) wins, the entire pool shall be distributed as a single price pool to those whose selection finished first in the greatest number of Choose (n) contests. The Choose (n) carryover shall be designated for distribution on a specified date and performance only under the following circumstances:

(a) Upon written approval from the Commission as provided in subsection (n) of this rule.

(b) Upon written approval from the Commission when there is a change in the carryover cap, a change from one type of Choose (n) wagering to another, or when the Choose (n) is discontinued.

(c) On the closing performance of the meet or split meet.

(15) If, for any reason, the Choose (n) carryover must be held over to the corresponding Choose (n) pool of a subsequent meet, the carryover shall be deposited in an interest-bearing account approved by the Commission. The Choose (n) carryover plus accrued interest shall then be added to the net Choose (n) pool of the following meet on a date and performance so designated by the Commission.

(16) With the written approval of the Commission, the association may contribute to the Choose (n) carryover a sum of money up to the amount of any designated cap.

(17) Providing information to any an individual regarding covered combinations, amounts wagered on specific combinations, number of tickets sold, or number of live tickets remaining is strictly prohibited. This shall not prohibit necessary communication between totalisator and pari-mutuel department employees for processing of pool data. The association shall be permitted to provide information regarding number of tickets sold and number of live tickets remaining to the wagering public.

(18) The association may suspend previously approved Choose (n) wagering with the prior approval of the Commission. Any carryover shall be held until the suspended Choose (n) wagering is reinstated. An association may request approval of a Choose (n) wager or separate wagering pool for specific performances.

(19) Should circumstances occur which are not addressed by these rules, questions arising thereby shall be resolved in accordance with general pari-mutuel practice. Decisions regarding distribution of the Choose (n) pool made by the Stewards shall be final.

CC. Group Bet Rules

Method I

(1) The Group Bet (or other approved name) is a form of pari-mutuel wagering and part of the win pool in every race in which it is offered. The Group Bet is a bet to win on every participant in the selected group.

(2) In each race, the association shall designate a non-member of either group (usually the morning line favorite) and designate the remaining runners as members of one of two groups, Group A and Group B.

(3) In each race in which the Group Bet is offered, there shall be a win payoff for bettors selecting the winning participant in standard win betting and, in the event a member of one the groups wins the race, a Group Bet win payout for those bettors wagering on the winning group. If the non-member wins the race, there shall be no payout for the Group Bet.

(4) The identity of the non-member and the members of Group A and Group B shall be disseminated in the track program (when possible), by the track announcer, on television monitors and, where applicable, internet wagering websites.

(5) The minimum bet for the Group Bet is the same as the minimum bet to win. The amount bet on Group A and Group B shall be allocated among the members of the respective group in proportion to the amount bet on such member to win in standard win betting. Allocations may be made in fractional amounts less than the minimum permissible bet to win.

(6) The payout for a winning Group Bet shall be same regardless of which member of the group is the race winner. The probable and actual payoff for a winning group bet on Group A or Group B shall be displayed in a similar manner as the probable and actual payout for a standard win bet.

(7) In the event that the non-member of either group is scratched or declared a non-starter, group betting shall cease and all wagers on both groups refunded. In the event of a scratch or a declaration of non-starter of all of the members of a group, group betting shall cease and all wagers on both groups shall be refunded. In the event of a scratch or declaration of nonstarter of a member of a group, monies previously allocated to the scratched runner or nonstarter shall be reallocated amongst the remaining member or members of that group.

(8) In the event of a dead heat to win involving two or more members of the same group, the Group Bet payout shall be calculated in the same manner as if there was one winner of the race and such winner was a member of such group. In the event of a dead heat to win involving the non-member of the group and one or more members of either group, or one or more members of different groups, the Group Bet payout shall be determined in the same manner as the calculation of the win payoff, i.e. by dividing the net pool.

(9) Should circumstances occur which are not addressed by these rules, questions arising thereby shall be resolved in accordance with general pari-mutuel practice. Decisions regarding the Group Bet made by the Stewards shall be final.

Method II

(1) In Method II, the Group Bet (or other approved name) is a separate pool from the standard Win pool in every race in which it is offered. The Group Bet is a single price pool that

requires the selection of the designated group that includes the betting interest member that is the first-place finisher for a single contest.

(2) For each contest in which the Group Bet is offered, the association shall designate each betting interest as a member of one of three clearly named groups (approved by the Commission) such as, Group A, Group B, and Group C.

(3) For each contest in which the Group Bet is offered, the pool shall be distributed as a single price pool to those correctly selecting the group that includes the betting interest member that finished in first-place in that contest.

(4) For each contest in which the Group Bet is offered the association shall, before betting is open, provide to the public in an easily accessible manner, the identity of the members of Group A, Group B, and Group C.

(5) The payout for a winning Group Bet wager shall be same regardless of which betting interest member of the group is the first-place finisher. The probable and actual payoff for a winning bet on Group A, Group B, and Group C shall be displayed in a similar manner as the probable and actual payout for a standard Win pool bet.

(6) In the event that all of the betting interest members of any group are scratched or declared non-starters, betting on the Group Bet pool shall immediately stop and all wagers made on the Group Bet pool shall be refunded.

(7) In the event of a dead heat for first in a contest which includes the Group Bet pool involving two or more betting interest members;
   (a) of the same group, the Group Bet pool shall be distributed in the same manner as if no dead heat occurred,
   (b) of two different groups, the Group Bet pool shall be distributed as a profit split (place pool), or
   (c) of three different groups, the Group Bet pool shall be distributed as a profit split (show pool).

(8) Where the calculation or distribution of the Group Bet pool cannot be determined, the entire pool shall be refunded.

DD. Tournament-Style Wagering

(1) The Tournament-Style Wager is a separate pari-mutuel pool wager established by the association on a designated number of races. The gross pool consists of the total amount wagered for the multiple race bet. Winning wagers are determined by the highest points totals earned after all rounds have been completed, based on cumulative fantasy win, place, or show wagers, or any combination thereof, on <u>one</u>

betting interest per wagering race. It is not a parlay and has no connection with or relation to other pools conducted by the association other than the utilization of live race payouts as a means of calculating players' fantasy bankrolls.

(2) A valid Tournament-Style Wager ticket shall be evidence of a binding contract between the holder of the ticket and the association, and shall constitute an acceptance of Tournament-Style Wager provisions and rules contained in this Article.

(3) A Tournament-Style Wager may be given a distinctive name by the association conducting the meeting, subject to Board approval, and existing licenses, copyrights, and/or patents.

(4) Tournament-Style Wagers shall be conducted as follows:

(a) Each player receives a starting fantasy bankroll.

(b) The number of races that complete the wager varies depending on the specifics of "tournament," as determined by the host racing association, but shall include no less than three races.

(c) Each round of the "tournament" consists of a fantasy win, place, or show wagering opportunity, or any combination of the three, on only <u>one</u> betting interest per race. Players may also "pass" (not wager) on any or all of the races comprising the tournament.

(d) Official program numbers must be used for all wagers. All players are responsible for ensuring each wager is placed correctly.

(e) There are no minimum fantasy wagers per race, and the player may risk up to their entire fantasy bankroll on any given race, however, any wager made must be in whole dollar amounts.

(f) Live race payouts are used to calculate players' fantasy point totals.

(g) As part of the announced tournament rules, and as approved by the Board, the host racing association may opt to cap the maximum odds on all fantasy payouts.

(h) Each player's fantasy wins or losses will be reflected in their cumulative fantasy bankroll at the end of each race.

(i) Following a race being declared "official," the actual pari-mutuel pool payout will be added to a player's cumulative fantasy bankroll, subject to any odds cap imposed under subsection (g) hereinabove.

(j) A tournament-style "final cut" will be made after the second to last race of the wager. The "final cut" shall be based on the cumulative fantasy bankroll at the end of most recently concluded race, and made so as to identify the tournament's finalists. The number of finalists shall be no less than five, and may include more as determined by the host racing association. Preliminary cuts may be made, as determined by the host racing association, when five (5) or more races constitute the "tournament-style" wager. Each such preliminary cut shall reduce the number of remaining participants by a set percent announced at the beginning of the tournament, excluding the "final cut."

(k) Of the finalists, the player(s) with the highest fantasy bankroll after the last leg is/are the "winner(s)."

(l) All subsequent placings after the final cut shall be determined by the final fantasy bankroll for each of the finalists, and shall not be altered by or subjugated to the final fantasy bank of any player not reaching the finals.

(m) The net pari-mutuel pool is distributed to the top 5% of all players in the tournament in accord with subsection (9) herein below.

(n) The net pari-mutuel pool shall be distributed in accord with distribution schedule as set forth in the regulation, or as otherwise approved by the Board, at the request of the host racing association.

(5) A fantasy wager on a coupled entry or field is considered a wager on the remaining part of the coupled entry or field as determined by the rules of the live corresponding race.

(6) If a selection in any race designates a betting interest that was scratched, excused, or determined by the Stewards to be a nonstarter in the race, the fantasy wager will be refunded.

(7) Points for dead heats will be determined by the payouts of the live corresponding race.

(8) The takeout and its distribution for the Tournament-Style Wager shall be set and approved by the host regulatory commission, but shall include the distribution of the negotiated proprietary fee.

(9) In accord with the following provisions, the association shall distribute the net pool to the top five percent (5%) of holders of valid tickets that correctly selected the combination of first, second, and/or third place finishers that generated the highest point totals through the designated races/rounds comprising the Tournament-Style Wager as follows:

(a) Eighty percent (80%) of the net amount in the pari-mutuel pool subject to distribution among winning ticket holders shall be distributed among the players competing in final round which had the highest qualifying point totals after all rounds/races have been completed, based on fantasy win, place, or show wagers, or any combination thereof, on one betting interest per wagering opportunity/race/event, as follows:

(A) Forty-five percent (45%) of the net amount in the pari-mutuel pool subject to distribution among winning ticket holders shall be distributed to the holder(s) of the pari-mutuel ticket which had the highest fantasy point total after all races have been completed.

(B) Twenty percent (20%) of the net amount in the pari-mutuel pool subject to distribution among winning ticket holders shall be distributed among holders of pari-mutuel tickets which had the second highest point total after all races have been completed.

(C) Eight percent (8%) of the net amount in the pari-mutuel pool subject to distribution among winning ticket holders shall be distributed among

holders of pari-mutuel tickets which had the third highest point total after all races have been completed.

(D) Four percent (4%) of the net amount in the pari-mutuel pool subject to distribution among winning ticket holders shall be distributed among holders of pari-mutuel tickets which had the fourth highest point total after all races have been completed.

(E) Three percent (3%) of the net amount in the pari-mutuel pool subject to distribution among winning ticket holders shall be distributed among holders of pari-mutuel tickets which had the fifth highest point total after all rounds/races have been completed.

(b) After distributions to pari-mutuel ticket holders pursuant to subsection (a), twenty percent (20%) of the net amount in the pari-mutuel pool subject to distribution among winning ticket holders shall be distributed to the balance of the top five percent (5%) of pari-mutuel ticket holders, with those reaching the final round taking priority in ranking, as follows:

(A) Nine and two-thirds percent (9 2/3%) of the net amount in the parimutuel pool subject to distribution among winning ticket holders shall be distributed equally among the pari-mutuel ticket holders placing in the top-20% of point totals, not including the top five finishers and ties, with each such player receiving no more than two percent (2%) of the net amount in the pari-mutuel pool subject to distribution.

(B) Four percent (4%) of the net amount in the pari-mutuel pool subject to distribution among winning ticket holders shall be distributed equally among the pari-mutuel ticket holders placing in the range of greater than 20 % up to 30% of the point totals, with each such player receiving no more than eight-tenths of one percent (0.8%) of the net amount in the pari-mutuel pool subject to distribution.

(C) Two percent (2.0%) of the net amount in the pari-mutuel pool subject to distribution among winning ticket holders shall be distributed equally among the pari-mutuel ticket holders placing in the range of greater than 30% up to 40% of the point totals, with each such player receiving no more than four-tenths of one percent (0.4%) of the net amount in the pari-mutuel pool subject to distribution.

(D) One percent (1.0%) of the net amount in the pari-mutuel pool subject to distribution among winning ticket holders shall be distributed equally among the pari-mutuel ticket holders placing in the range of greater than 40% up to 50% of the point totals, with each such player receiving no more than two-tenths of one percent (0.2%) of the net amount in the pari-mutuel pool subject to distribution.

(E) Three and a third percent (3 1/3%) of the net amount in the parimutuel pool subject to distribution among winning ticket holders shall be

distributed equally among the pari-mutuel ticket holders placing in the range of greater than 50% up to 100% of point totals, with each such player receiving no more than thirteen one-hundredths of one percent (0.13%) of the net amount in the pari-mutuel pool subject to distribution.

(c) In the event the distributions to pari-mutuel ticket holders as set forth in subsection (b) does not fully distribute the remaining twenty percent (20%) of the net amount in the pari-mutuel pool, then the monies remaining after such distributions shall be distributed equally to all players finishing in the top five percent (5%) of pari-mutuel ticket holders

(10) In the event of a tie in points, the tie shall be broken by:

(a) Awarding the higher place finish to the player that had the highest point total at the conclusion of the immediately preceding race.

(b) If the tie remains unbroken, point totals will be compared successively in reverse order through each of the prior races comprising the tournament wager until the player with the highest point total in a round is determined.

(c) If the tie remains unbroken after point totals were compared for all prior races then the percentage shares for the two or more players shall be combined and split equally among the players tied for such positions.

(11) All tickets shall be refunded if all races comprising the Tournament-Style Wager are cancelled or declared as no contest. The entire pool shall be refunded if less than three (3) races are completed and if three (3) or more races are completed the net pool shall be distributed pursuant to subsection (9).

(12) After wagering closes on the first race comprising the Tournament-Style Wager, the tournament shall be deemed closed and no entry ticket shall be sold, exchanged, or cancelled. No person shall be determined to hold a winning Tournament-Style Wager ticket until the last designated race has been declared official.

NOTE: The following are not intended to be part of the rule, rather is included to provide an illustration and explanation of the wager

TAKEOUT & DISTRIBUTIONS

California Example

Distributions:

- Racing Association/Fair 7.75% • Purses 7.75%

- Breeders 0.75%
- Satellite Wagering Facilities 2.0%
- License Fee 0.75%
- WTTC National Tournament 1.0%
- WTTC License 5.0%

Total Takeout: **25%**

PAYOUT EXAMPLE

Sample Tournament Payouts:

Total Wagers: 1,000
Wager Denomination: $25.00
Pot Size: $25,000.00
Pari-mutuel Payout: $18,750.00 (assumes 25% "take-out")

	WINNER PAY		TOTAL	TOT %
45.00%	$8,437.50	1	$8,437.50	45.00%
20.00%	$3,750.00	1	$3,750.00	20.00%
8.00%	$1,500.00	1	$1,500.00	8.00%
4.00%	$750.00	1	$750.00	4.00%
3.00%	$562.50	1	$562.50	3.00%
1.93%	$362.49	5	$1,812.47	9.67%
0.80%	$150.00	5	$750.00	4.00%
0.40%	$75.00	5	$375.00	2.00%
0.20%	$37.50	5	$187.50	1.00%
0.13%	$24.99	25	$624.84	3.33%
			$18,749.81	100.00%

Note: Tiebreakers are broken by the amount each player had before the last wager. For example if places 40-75 going into the second to last leg go bankrupt after the race, the bankroll they accumulated prior to the race determines their placing.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 2.0 to 2.1 ARCI 8/2/03 NAPRA 9/20/03: Added new rule language
Version 3.0 to 3.1 ARCI 4/3/04 NAPRA 4/3/04 Committee Actions 4/8/04: Rule language deleted; Rule language was moved to ARCI-004-035
Version 3.0 to 3.1 ARCI 4/3/04 NAPRA 4/3/04 Committee Actions 4/8/04: Rule language added; Rule language was moved from ARCI-004-030
Version 3.2 to 3.3 ARCI 12/7/05: Renumbered Rule from (5) to (2)
Version 3.2 to 3.3 ARCI 12/7/05: Renumbered Rule from (4) to (2)
Version 3.2 to 3.3 ARCI 12/7/05: Added new rule language
Version 3.3 to 3.4 ARCI 3/29/06: Added new rule language
Version 4.0 to 4.1 ARCI 4/26/07 Rule renumbered from ARCI-004-030 to ARCI-004-105
Version 4.0 to 4.1 ARCI 4/26/07: Added new rule language,
Version 4.0 to 4.1 ARCI 4/26/07 Rule renumbered from ARCI-004-035 to ARCI-004-155
Version 4.1 to 4.2 ARCI 3/26/08 Added new rule language Tournament Style Wager©
Version 4.9 to 5.0 ARCI 12/9/11: Amended Superfecta rule and added Pen
Version 4.9 to 5.0 ARCI Board 12/9/11 amended Instant Racing language
Version 5.0 to 5.1 ARCI Board 4/27/2012 Added 100% carryover Method to Pick (n) pool
Version 5.4 to 5.5 ARCI Board 7/31/2013 Added Unique Pentafecta Wager Payout
Version 5.5 to 5.6 ARCI Board 12/9/2013 Added Language for Unique Winning Ticket for Pick (n) Pools
Version 5.5 to 5.6 ARCI Board 12/9/2013 Merged ARCI-004-155 Proprietary Wagers into ARCI-004-105 Calculation of Payout and Distribution of Pools
Version 5.6 to 5.7 ARCI Board 4/9/2014 Added ARCI-004-105 (Y) 123 Racing Pick (N) Pool
Version 5.8 to 5.9 ARCI Board 12/12/2014 Added ARCI-004-024(X)(5)(e) Pentafecta Transfer Option
Version 5.8 to 5.9 ARCI Board 12/12/2014 Added ARCI-004-024(I)(d) Pentafecta cancellation
Version 5.8 to 5.9 ARCI Board 12/12/2014 Amended ARCI-004-024(k) Pentafecta cancellation
Version 5.9 to 6.0 ARCI Board of Directors 7/16/2015 Amended ARCI-004-105(G) Pick(n) Pools – Carryover to Alternate Association
Version 6.1 to 6.2 ARCI Meeting of the Members 3/24/2016 Amended ARCI-004-105(G) Pick (n) Pools
Version 6.2.1 to 6.3 ARCI Board of Directors 9/10/2016 Amended ARCI-004-105(G) Pick (n) Pools
Version 6.3 to 7.0 ARCI Board of Directors, 12/09/2016 Amended 004-105 (D) to include Group Bet *Method II* Version 6.3 to 7.0 ARCI Board of Directors 12/09/2016 amended ARCI-004-105 Part I to add Z. Exact (n) Pools.
Version 8.0 to 8.1 ARCI Board of Directors 07/29/2017 amended ARCI-004-105-T to add (k) “Method 11.”
Version 13.1 to 14 ARCI Board of Directors 5/7/25 replaced Section G Pick (n) Pools

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:

(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.

(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 to3.0 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 an entity designated by the Association of Racing Commissioners International 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)
Version 12.1.3 to 13.0 ARCI 03/14/2024; Revised language in 006-015 A to remove ROAP; U of A and U of L

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, non-veterinarian 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.

(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 well ventilated, 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” post concussion 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 Waring 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

(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 substance to a horse other than water, hay and conventional feed stuffs within 48 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). The following may be administered up to twenty-four (24) hours prior to Post-Time:

1) Orally administered vitamins (such that it is voluntarily consumed by the horse is permitted);
2) Licensed vaccines against infectious agents;
3) Anti-ulcer medications (e.g., Cimetidine, Omeprazole, and Ranitidine);
4) Unsupplemented isotonic electrolyte solutions by oral or intravenous administrations;

5) Altrenogest in female horses
6) Antimicrobials (antibiotics) and other anti-infective agents, excluding procaine penicillin or other antimicrobial/anti-infective agents containing or metabolizing to Prohibited Substances; and
7) Antiparasitic/anthelmintics approved and registered for use in horses, excluding levamisole or other antiparasitic/anthelmintics metabolizing to and/or containing other Prohibited Substances.

(a) 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 p*rior to the post time of the race for which a horse is entered to compe*te may result in a scratch.

(b) 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.

(c) 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.

(d) (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.

(e) (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.

(f) 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.

(g) 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.

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.

J. Biosecurity Protocols

The racetrack is require to have biosecurity protocols in place based upon the Biosecurity Protocols established by the American Association of Equine Practitioners. (See Appendix A)

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.
Version 12.1 ACRI 6/27/23 Indianapolis: Amended A, 7) and added Subsection J

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 tamper resistant 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;

(m) has violated any of the alcohol or substance abuse provisions outlined in Sec. H of this rule;

(n) has solicited or aided and abetted any other person in any act or conduct prohibited by law or the commission; or

(o) participated in any illegal meeting where racing occurred.

(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
Version 12.1.3 12/7/23 Added P. (1) (n) & (o) – subject to future resolution.

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 not withstanding, 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:

(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.

(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

(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.

(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 _____
(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:
(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), 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

A. 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 horseshoeing. 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 horseshoeing.

(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 recision 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 recision 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 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 also-eligible 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, no jockey shall be assigned a weight of less than 118 pounds. For three (3) year old horses entered to run in races against horses four (4) years old and upwards from January 1 through August 31, no jockey shall be assigned a weight of less than 116 pounds.

(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.

(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 Weighs
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;

(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.

(31) If a quarter horse, it has shoes which have toe grabs on the front with a height greater than 4mm (four millimeters) from the ground surface side of the shoe; or it has hind shoes which have toe grabs greater than one quarter (1/4) inch, or 6.35mm, from the ground surface side of the shoe.

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
Version 13.0 to 13.1 ARCI Board 8/12/2024, Amended ARCI-010-030, added (31)

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, the 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,

(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 to3.0 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;

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 to3.0 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 Trispyprophosphate (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 48 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;

(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 (5α-androst-1-ene-3β,17β-diol); 1androstenedione (5α- androst-1-ene-3,17-dione); bolandiol (estr-4-ene-3β,17β-diol); bolasterone; boldenone; boldione (androsta-1,4-diene-3,17dione); calusterone; clostebol; danazol

([1,2]oxazolo[4',5':2,3]pregna-4-en-20-yn17αol);dehydrochlormethyltestosterone (4-chloro17βhydroxy-17α-methylandrosta- 1,4-dien-3-one); desoxymethyltestosterone (17α-methyl-5α-androst-2-en- 17β-ol); drostanolone; ethylestrenol (19-norpregna-4en17α-ol); fluoxymesterone; formebolone; furazabol (17α-methyl[1,2,5]oxadiazolo[3',4':2,3]-5α-androstan-17β-ol); gestrinone; 4- hydroxytestosterone (4,17βdihydroxyandrost-4-en-3-one); mestanolone; mesterolone; metandienone (17β-hydroxy17αmethylandrosta-1,4-dien-3- one); metenolone; methandriol; methasterone (17β-hydroxy-2α,17α- dimethyl-5α-androstan-3-one); methyldienolone (17βhydroxy-17α-methylestra-4,9-dien-3-one); methyl1testosterone (17β-hydroxy-17α-methyl-5α-androst-1en3-one); methylnortestosterone (17β-hydroxy17αmethylestr-4-en-3-one); methyltestosterone; metribolone (methyltrienolone, 17β- hydroxy-17αmethylestra-4,9,11trien-3-one); mibolerone; nandrolone; 19norandrostenedione (estr-4-ene-3,17-dione); norboletone; norclostebol; norethandrolone; oxabolone; oxandrolone; oxymesterone; oxymetholone; prostanozol (17β[(tetrahydropyran-2-yl)oxy]-1'H-pyrazolo[3,4:2,3]-
5α- androstane); quinbolone; stanozolol; stenbolone; 1testosterone (17β- hydroxy-5α-androst-1-en-3-one); tetrahydrogestrinone (17-hydroxy-18a- homo-19-nor17αpregna-4,9,11-trien-3-one); trenbolone (17βhydroxyestr- 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-3β,17β-diol); androstenedione (androst-4-ene-3,17-dione); dihydrotestosterone (17β-hydroxy-5α-androstan-3-one); prasterone (dehydroepiandrosterone, DHEA, 3βhydroxyandrost-5-en-17-one); testosterone;
and their metabolites and isomers, including but not limited to:

5α-androstane-3α,17α-diol; 5α-androstane-3α,17β-diol; 5αandrostane-3β,17α-diol; 5α-androstane-3β,17β-diol; 5βandrostane-3 α, 17β-diol, androst-4-ene-3α,17α-diol; androst-4-ene-3α,17β-diol; androst-4-ene-3β,17α-diol; androst-5-ene-3α,17α-diol; androst-5-ene-3α,17β-diol; androst-5-ene-3β,17α-diol; 4-androstenediol (androst-4ene3β,17β-diol); 5-androstenedione (androst-5- ene-3,17dione); androsterone (3 β-hydroxy-5 α – androstan-17-one); epidihydrotestosterone; epitestosterone; etiocholanolone; 7αhydroxy-DHEA ; 7β-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 (PPARδ) 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, desmorpressin, 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.

Annex II

Restricted Therapeutic Use Requirements

Prohibited Substance	Required Conditions for Therapeutic Use Exemption						
	Report When Sampled	Pre-file Treatment Plan	Written Approval from Commission	Emergency Use (Report)	Prescribed by Veterinarian	Veterinary Record	Other Limitations
Adrenocorticotropic Hormone (ACTH)		X			X	X	
Albuterol		X			X	X	6-month Vet List[4]
Altrenogest					X	X	Fillies/Mares only
Autologous Conditioned Plasma (IRAP)							

Bisphosphonates (clondrorothers tiludronate only; all prohib 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 List**[4]
Chorionic Gonadotropin		**X**	**X**[1]		**X**	**X**	**60-day Vet List**
Furosemide	**X**				**X**	**X**	
Luteinizing Hormone		**X**	**X**[1]		**X**	**X**	**60-day Vet List**
Nandrolone		**X**			**X**	**X**	**6-month Vet List**
Nucleic Polymer Transfers		**X**	**X**				

Platelet Rich Plasma (PRP)	**X**				**X**	**X**	

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 mush 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 condition.

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.

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 to3.0 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.

Amended in Version 12.1 ARCI 6/27/23 Amended 11-015(5) (changed 24 hrs to 48 hrs)

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:

(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 cardiotonic 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;

(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.

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**
◦ Minimum one-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a three-year suspension. **AND** ◦ 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). **AND** ◦ May be referred to the Commission for any further action deemed necessary by the Commission.	◦ 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. **AND** ◦ 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). AND ◦ May be referred to the Commission for any further action deemed necessary by the Commission.	◦ 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. **AND** ◦ 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). AND ◦ 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**
◦ Disqualification and loss of purse. **AND**	◦ Disqualification and loss of purse. **AND**	◦ Disqualification, loss of purse and $50,000 fine. **AND**

◦ 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.	◦ 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.	◦ 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. **AND** ◦ 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**
◦ 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.	◦ Minimum 30-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 180-day suspension. **AND** ◦ Minimum fine of $1,000 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of $2,500.	◦ 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.

LICENSED OWNER:		
1st offense	**2nd offense in stable (365-day period) in any jurisdiction**	**3rd offense in stable (365-day period) in any jurisdiction**
◦ Disqualification and loss of purse [in the absence of mitigating circumstances] * **AND** ◦ Horse must pass a commission-approved examination before becoming eligible to be entered.	◦ Disqualification and loss of purse [in the absence of mitigating circumstances] * **AND** ◦ Horse must pass a commission-approved examination before becoming eligible to be entered.	◦ Disqualification and loss of purse, and a $5,000 fine.* **AND** ◦ 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) Flunixin (>5.0 ng/ml) Ketoprofen (>2.0 ng/ml) and CLASS C Violations**
1st 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

2nd 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
3rd 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**
1st 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
2nd 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
3rd 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.

(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

	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*.

(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.

(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.

(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.

(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 5α-estrane-3β,17α-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.

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 to3.0 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 out-of-competition 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 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.

G. Results Management Reporting

(1) Anti-Doping and Medication Control program results should be

publicly reported each calendar year by the Regulatory Authority, statutorily designed entity, or contract vendor responsible for the conduct or an anti-doping or medication control program.

(2) The annual Anti-Doping and Medication Control report is to include the following information specific to each racetrack where post race testing occurred:
    (a) Name of Racetrack.
    (b) Number of post race blood samples tested.
    (c) Number of Adverse Analytical Findings found in post race blood samples organized by drug class as defined in the ARCI Uniform Classification Guidelines for Foreign Substances schedule.
    (d) Number of post race urine samples tested.
    (e) Number of Adverse Analytical Findings found in post race urine samples organized by drug class as defined in the ARCI Uniform Classification Guidelines for Foreign Substances schedule.
    (f) Number of hair samples tested.
    (g) Number of Adverse Analytical Findings found in hair tests.
    (h) List of substances detected in hair tests and frequency organized by drug class as defined in the ARCI Uniform Classification Guidelines for Foreign Substances schedule.
    (i) Number of pre-race TcO2 Tests Performed
    (j) umber of Adverse Analytical Findings found in pre-race TC02 tests.

(3) The annual Anti-Doping and Medication Control report is to include the following information concerning Out of Competition Testing:
    (a) Number of horses tested
    (b) Number of Adverse Analytical Findings
    (c) List of substances detected and frequency organized by drug class as defined in the ARCI Uniform Classification Guidelines for Foreign Substances schedule.

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 to3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended and modified rule language
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

Amended in Version 12.1 ARCI 6/27/23 Indianapolis. Added Subsection G

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:

   (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 to3.0 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

(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 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 to3.0 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.)

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.

GREYHOUND DEFINITIONS - CHAPTER 12

ARCI-012-005 Purpose

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

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

ARCI-012-010 Terms:

(1) **Age** - The age of a greyhound shall begin on the day it was whelped (born).

(2) **Association Grounds** - All real property utilized by the association in the conduct of its race meeting, including the race track, grandstand, concession stands, offices, kennel area, employee housing facilities and parking lots and any other areas under the jurisdiction of the Commission. Also see Premises

(3) **Bertillon** - A card listing identifying features of a greyhound.

(4) **Blanket** - The covering on which a greyhound's post position number is displayed.

(5) **Bolt** - When a greyhound leaves the race course during the running of an official race.

(6) **Breeder** - The owner or lessee of a greyhound's dam at the time of whelping.

(7) **Breeding Place** - The location of whelping.

(8) **Dead Heat** - The finish of a race in which the muzzles of two or more greyhounds reach the finish line at the same time.

(9) **Declaration** - The withdrawal of an entered greyhound from a stakes race.

(10) **Double Entry** - An entry of two or more greyhounds in the same race from the same kennel that are separate wagering interests.

(11) **Draw** - The process of selecting runners and the process of assigning post positions in a manner to ensure compliance with the conditions of the rules of racing.

(12) **Entry** - A greyhound eligible for and entered in a race.

(13) **Equipment** - Muzzles, number blankets and any other approved paraphernalia used on or attached to a greyhound while racing.

(14) **Established Weight** - The racing weight of record set by the owner or trainer.

(15) **False Start** - Any race which fails to start as stipulated by the rules.

(16) **Foreign Substance** - Any drug, medication or other substance uncommon to a greyhound's body which can or may affect the greyhound's performance or which does or may affect sampling or testing procedures.

(17) **Greyhound** - A dog that is registered with the National Greyhound Association.

(18) **Kennel Compound** - The facilities provided for the housing of racing kennels under the jurisdiction of the Commission.

(19) **Kennel Helper** - A person employed by a kennel owner to assist in the conditioning of greyhounds for racing.

(20) **Kennel Name (Assumed name)** - Any name other than the legal name or names of the operator.

(21) **Kennel Operator** - The person entered into a contract or agreement with the association to provide greyhounds to a race in a meeting conducted by the association.

(22) **Lead-Out** - An attendant who handles the greyhounds in the paddock and on the course.

(23) **Lock-Out Kennel** - The secure and restricted facility within the paddock used to temporarily house entered greyhounds prior to their participation in the current performance.

(24) **Lure** - A mechanical attraction designed to entice a greyhound around the course.

(25) **Maiden** - A greyhound that has never won an official race at a racetrack supervised by a Commission or similar regulatory agency in any country. Conditions referring to a Maiden shall mean Maidens at the time of starting.

(26) **Matinee** - A schedule of races conducted in the afternoon.

(27) **Night Performance** - A schedule of races conducted in the evening.

(28) **Nomination** - The initial naming of a greyhound for entry in a stakes race.

(29) **Nominator** - The person in whose name a greyhound is nominated.

(30) **Objection** - A written complaint made by a kennel operator and/or trainer to the judges claiming a grievance pertaining to a race.

(31) **Off Time** - The moment the timing device starts at the beginning of a race.

(32) **Official Race** - A race in the presence of duly appointed racing officials for which purse monies are paid and/or pari-mutuel wagering is conducted.

(33) **Official Time** - The period of time in a race beginning when the starting box opens and ending when the first greyhound crosses the finish line.

(34) **Official Schooling Race** -Trial races supervised by the Commission which are conducted for qualification purposes, but on which pari-mutuel wagering is prohibited.

(35) **Paddock** - The area restricted to Commission, association management and racing department employees. The paddock area includes the lock-out kennel, reviewing stand and offices.

(36) **Post Position** - The position assigned to a greyhound for the start of the race.

(37) **Post Time** - The time set for the start of the race.

(38) **Post Weight** - The weight of the greyhound immediately previous to post time.

(39) **Premises** - All land and improvements used in the conduct of a race meeting including additional off-site wagering facilities. Also see Association Grounds.

(40) **Scratch** - The act of removing an entered greyhound from a race after the drawing for the post positions in that race has been completed unless otherwise authorized by the Commission.

(41) **Stakes Race** - A race specifically designated as an added money race.

(42) **Starter** - An entered greyhound which is in the starting box when its doors open at the beginning of the race.

(43) **Weighing In** - The process of determining the weight of a greyhound immediately prior to placement in the lock-out kennel.

(44) **Weighing Out** - The process of determining the weight of a greyhound immediately prior to post time.

(45) **Weight Loser** - A greyhound that consistently loses weight while in the lock-out kennel.

(46) **Whelp** - The birth of a greyhound.

(47) **Winner** - The greyhound whose muzzle reaches the finish line first or is placed first through disqualification by the judges.

(48) **Withdrawal** - The act of withdrawing an entered greyhound from a race before the time of the drawing of post positions for the race in which said greyhound is entered.

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

GREYHOUND RACING OFFICIALS - CHAPTER 13

ARCI-013-005 Purpose

To describe the duties and responsibilities assigned by the Commission to the racing officials conducting the race meeting at each greyhound racing facility.

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

ARCI-013-010 General Provisions

(1) The racing officials of a greyhound racing meeting are: director of racing; judges; racing secretary; lure operator; chart writer; clerk of scales; paddock judge; patrol judge/head lead-out; starter; timer/photo finish operator; official veterinarian; kennel master and any other person designated by the Commission. All racing officials must be fully trained and qualified to perform the duties for which they are licensed.

(2) All association racing officials are subject to the approval of the Commission.

(3) Associations shall submit the names and qualifications of all racing officials on the date of employment or not less than _____ days prior to the first day of the meeting.

(4) No racing official may wager or have any interest in the outcome of any race or in any greyhound racing at the meeting. Racing officials at the meeting shall not accept any purse or bonus monies to which he/she otherwise would have been entitled.

(5) A racing official is prohibited from accepting, directly or indirectly, any gratuity, reward or favor in connection with racing at the meeting.

(6) Racing officials and their assistants shall immediately report every observed violation of these rules and/or the state laws governing racing to the judges.

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

ARCI-013-015 Director of Racing

(1) The director of racing shall have full supervision over kennel owners, greyhound owners, trainers, kennel helpers, lead-outs and all association officials.

(2) The director of racing shall ascertain that all persons under his/her supervision are properly trained in the discharge of their duties.

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

ARCI-013-020 Judges

The term "judge" as used throughout these rules shall refer only to the presiding judge, the association judge(s) and/or the Commission judge(s). The term "judges" shall refer to an impartial board comprised of the presiding judge, association judge(s) and/or the Commission judge(s).

(1) To qualify for appointment as a judge the appointee shall meet the experience requirements, be in good standing with all racing jurisdictions and complete extensive training process. The training shall include procedures necessary to conduct a racing performance and sufficient knowledge of rules/statutes. Also familiarization with applicable guidelines in the areas of legal/conducting of hearings and medications/prohibited acts are required.

(2) A minimum of three licensed judges are required for each racing performance. The composition of the board of judges shall be as approved by the Commission. There shall be a designated presiding judge. The designated presiding judge shall submit a report of any action of the judges as required under these rules to the Commission. All such reports submitted shall be signed by a majority of the judges.

(3) The laws of (state) and the rules of racing supersede the conditions of a race and the regulations of a race meeting and, in matters pertaining to racing, the orders of the judges supersede the order of the officers of the association.

(4) The judges shall interpret the rules and decide all questions not specifically covered by the rules.

(5) Should any incident occur which may not be covered by the rules of racing, it shall be determined by the judges in conformity with justice and in the best interest of racing.

(6) All decisions and/or rulings within the judges' authority shall be determined by a majority of the judges, subject to the review of the Commission.

(7) The judges shall have general supervision over all licensees, other racing officials and greyhounds on association grounds.

(8) The judges shall have authority over and free access to all places in use for the purpose of racing.

(9) All entries and declarations are under the supervision of the judges who may refuse the entries of any person or the transfer of any entries for violation of the rules or statutes.

(10) The judges shall have the authority to resolve all conflicts involving entries and racing.

(11) Persons entering greyhounds to run at licensed association tracks in this jurisdiction agree in so doing to accept the decision of the judges on any questions relating to a race or racing.

(12) The judges shall have the authority to sanction any person for violation of the rules or statutes.

(13) The judges may eject or cause to have ejected any person who is currently under suspension or exclusion in any other jurisdiction.

(14) The judges may order a physical examination by a Commission approved veterinarian of any greyhound entered for a race or which has run in a race.

(15) The judges shall take appropriate action on alleged rule/statute violations with or without complaint thereof.

(16) The judges shall record all objections and complaints.

(17) A written complaint, signed by the complainant, shall be filed with the judges within (time) of the incident causing the complaint. If the complaint involves the judges, it shall be filed directly with the Commission or Commission designee.

(18) The judges shall investigate or cause to have investigated promptly all objections and/or complaints made to them and make prompt report of their investigation findings and decision and/or recommendation to the Commission.

(19) The judges shall order the exclusion of persons ruled off from areas under their jurisdiction. They may exclude any person found guilty of any prohibited acts by greyhound racing authorities of any other jurisdictions, or by the judges of any recognized meeting. The names of all persons ordered excluded shall be promptly reported to the Commission.

(20) The judges shall receive signed written complaints of prohibited acts and other questionable transactions.

(21) A judge shall be present on association grounds for the weigh-in process for each performance.

(22) The judge present at weigh-in may scratch a greyhound, and in addition, at the discretion of the judges, the kennel owner and/or trainer may be fined or suspended if:

(a) a greyhound is in violation of the rules applicable to greyhound weight or weighing;

(b) a greyhound is not present at the weigh-in room promptly at the appointed time; or

(c) a greyhound is in violation of any rule of racing.

(23) Should a vacancy occur among the judges, the judge(s) present shall appoint one or two qualified persons to serve as temporary judges. Appointments made under this rule shall be reported in writing to the Commission. If none of the judges are present, the management of the association shall name at least three qualified persons to serve during the absence of the judges, immediately making a full written report of the absence and the names of their replacements to the Commission.

(24) Should a vacancy occur among the racing officials other than the judges, the director of racing or the judges, if so designated by the Commission, shall immediately fill the vacancy. The appointment shall be effective only for the day unless the association fails to fill the vacancy on the following day and has notified the judges of its action less than one hour before post time of the first race of the day. Such appointment shall be reported promptly to the Commission by the judges.

(25) The judges shall determine the official order of finish of the race.

(26) The judges shall consider only the relative position of the respective muzzles of the greyhounds in determining the places of the greyhounds at the finish of the race. In the event a greyhound loses its muzzle or finishes with a hanging muzzle, the judges shall consider only the relative position of the nose of said greyhound and the muzzles of the other greyhounds in the race.

(27) The judges shall promptly display the numbers of the first three or four greyhounds in each race in order of their finish if there is no disagreement among the judges.

(28) Nothing in these rules shall prevent the judges from correcting an error before the display of the sign "Official" or from recalling the sign "Official" displayed through error.

(29) The photo and video equipment shall be used as needed by the judges. However, if there is a malfunction of this equipment, the decision of the judges shall prevail.

(30) Any greyhound may be placed on the schooling list by the judges at any time for cause.

(31) The judges shall make a daily report in writing to the Commission of all infractions of the rules and of all rulings upon matters coming before the judges during the race meeting.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 3.2 to 3.3 ARCI 12/7/05: Added and modified rule language
Version 4.5 to 4.6 ARCI 7/31/09: Amended qualification language
Version 5.0 to 5.1 ARCI 4/27/2012 Removed the written examination for judges

ARCI-013-025 Racing Secretary/ Director of Racing

(1) The racing secretary shall discharge all duties expressed or required by the Rules of Greyhound Racing. The racing secretary shall:
   (a) keep a complete record of all races;
   (b) receive all stakes, entrance money, arrears and fines; and
   (c) deposit them with the person(s) responsible for such accounts.

(2) The racing secretary shall verify that kennel operators, authorized agents, greyhound owners and trainers possess current occupational licenses for their respective positions. He/she shall also examine licenses, pertinent papers and documents dealing with trainers, kennel operators, appointment of authorized agents and any adoption of assumed names in order to satisfy him/herself as to their validity in conformance with these rules.

(3) All lease agreements for greyhounds which are entered for schooling or racing on the association's grounds shall be filed with the racing secretary. The racing secretary shall only accept NGA Uniform Lease agreements.

(4) The racing secretary shall receive all entries, nominations, declarations and scratches.

(5) The racing secretary may call on any person in whose name a greyhound is entered to produce proof that the greyhound entered is not the property, either wholly or in part, of any person who is disqualified; or to produce proof of the extent of his/her interest or property in the greyhound; and in default of such proof being given to their satisfaction, shall immediately report the matter to the judges.

(6) The racing secretary shall determine the grade and distance for each race.

(7) The racing secretary shall assign the proper grade to each greyhound under the provisions of the approved grading system.

(8) Upon completion of each day's draw, the racing secretary shall compile and post in a conspicuous place a list of overnight entries, post positions and any left-over list.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02 Version
4.5 to 4.6 ARCI Board 7/31/09 amended title

ARCI-013-030 Lure Operator

(1) The lure operator shall:

(a) Operate the lure in a smooth, uniform and consistent manner. This process involves adjustments in speed to maintain a safe distance ahead of the runners while allowing the greyhounds constant visual contact. (Desired distance 8-12 lengths … 32-48 feet

(b) Direct complete attention to the operation of the mechanical lure during each race. Each organization licensee shall provide the lure operator with a room as free as possible from any disturbance that may distract the lure operator during the conduct of duties.

(c) Run the lure as consistently as possible at all times in conjunction with the guidelines set forth by the judges. A lure operator shall be held accountable by the judges for all aspects of the mechanism’s operation. The lure operator must immediately report to the racing judges any circumstance or obstruction that may prevent the running of a consistent lure.

(d) Run the mechanical lure completely around the racing strip at least twice prior to the first post time to determine that the lure is in perfect working condition. (e) Be at the controls when the greyhounds are placed in the starting box.

(f) To ensure safety, the lure operator must be provided with a device that enables direct communication capabilities with personnel assigned to the racetrack area. The lure operator must have direct access to a power-shut-off that eliminates electrical supply to the system. The system should only be turned on by the lure operator at the time the lure is to be started for a race or test operation and immediately shut down upon its arrival in the escape area.

(2) The location on the course and the prevailing weather conditions shall be taken into consideration by the lure operator when calculating the appropriate distance of the lure from the lead greyhound.

(3) The lure operator shall determine that the lure is in good operating condition and shall immediately report any circumstance that may prevent the normal, consistent operation of the lure to the judges.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 4.5 to 4.6 ARCI Board 7/31/09: Amended Language

ARCI-013-035 Chart Writer

The chart writer shall compile the information necessary for the official program.

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

ARCI-013-040 Clerk of Scales

(1) The clerk of scales shall:

(a) weigh greyhounds in and out on a scale sealed by a duly authorized sealer of weights and measures and shall exhibit the accurate weight of each greyhound. The established racing weight, weigh-in and weigh-out weight shall be promptly posted to inform the public;

(b) record any overweight or variation from the weight appearing on the weight sheet as soon as the weights are exhibited;

(c) ensure that all greyhounds are weighed in and out in a uniform manner;

(d) promptly report infraction of the rules as to weight or weighing to the judges;

(e) report all late scratches and weights in a place conspicuous to the wagering public;

(f) keep a list of all greyhounds known as "weight losers" and shall notify the presiding judge as to the weight loss before each race; and

(g) perform periodic tests to check the accuracy of the official scale or other approved weighing device.

(2) All greyhounds shall be weighed in and out wearing their muzzles, collars and lead straps.

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

ARCI-013-045 Paddock Judge

(1) The paddock judge shall review a Bertillon card for each greyhound entered for schooling or for a purse race. No greyhound shall be permitted to start in a schooling or purse race that has not been fully identified and checked against the Bertillon card system of identification maintained by each association.

(2) The paddock judge shall fully identify and check each entered greyhound against the Bertillon card prior to schooling and purse races. The paddock judge shall report any greyhound which does not conform to the Bertillon card identification to the judges.

(3) The paddock judge shall supervise the kennel master in the performance of his/her duties

(4) Prior to the weigh-in the paddock judge shall ensure the identification tag is attached to each greyhound's collar indicating the number of the race in which the greyhound is entered and its post position. This tag shall not be removed until the greyhound has been weighed out and blanketed.

(5) The paddock judge shall ensure that anyone presenting a greyhound for the weigh in has in his/her possession a valid license issued to him/her by the Commission.

(6) The paddock judge shall ensure the lock-out kennels are cleaned, disinfected, sanitized and in good repair prior to each performance.

(7) Only the paddock judge, the kennel master and/or other racing officials, persons approved by the Commission or designated representatives of the Commission shall be allowed in or near the lock-out kennels after the greyhounds are placed therein. No person shall enter the lockout kennel unless accompanied by one other person who is authorized by these rules to enter the lock-out kennel.

(8) The paddock judge shall ensure that each greyhound is properly fitted with an approved muzzle and blanket prior to its leaving for the starting box.

(9) The paddock judge shall supervise all personnel in the paddock and be primarily responsible for the training and conduct of lead-outs.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 4.5 to 4.6 ARCI Board 7/31/09: Amended language

ARCI-013-050 Patrol Judge/Head Lead-Out

(1) The patrol judge/head lead-out must be fully trained in the duties and procedures of the position.

(2) The patrol judge/head lead-out shall:

(a) supervise the lead-outs from paddock to post;

(b) inspect the muzzles and blankets of the greyhounds after they have left the paddock either in view of the judges' stand or the starter; and

(c) assist the starter in his/her duties upon the arrival of the lead-outs and greyhounds at the starting box.

(3) At the start of a race, the patrol judge/head lead-out shall rapidly pass in front of the entire starting box to ascertain that no greyhound remains in its hole. Should a greyhound fail to break, the patrol judge/head lead-out shall remove the greyhound from the starting box and promptly secure it behind the starting box until the race is complete.

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

ARCI-013-055 Starter

(1) The starter shall give such orders and take all such measures, in conjunction with the Rules of Greyhound Racing, as are necessary to ensure a fair start.

(2) The starter shall report any causes of delay that occur to the judges.

(3) The starter will be responsible for maintaining the starting box and the starting area during the racing performance. Included in these duties will be meticulous inspection of each starting position and the operative function of all starting box components, and should also ensure a smooth breaking path on the racing surface from the box to the main track.

(4) The starter will direct an efficient and expedient loading of the greyhounds for a race. The starter, assistant starter and or patrol judge will be responsible for actually loading the greyhounds into the starting box.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 4.5 to 4.6 ARCI Board 7/31/09 Amended language

ARCI-013-060 Timer/Photo Finish

(1) Each association shall install an automatic timing device approved by the Commission.

(2) The time of the race shall be taken from the opening of the front doors of the starting box.

(3) The time shown on the timing device shall be used as the official time of the race. However, the time shown on the approved back-up timing device shall be used if the timing device does not function properly.

(4) When an approved back-up timing device is used to determine the official time of the race, it shall be announced to the public.

(5) A proper camera shall be installed on all race courses; however, in all cases, the camera is merely an aid and the decision of the judges shall be final.

(6) The photo finish operator shall take a finish line photograph of the race with the recorded time of the race.

(7) Each association shall keep on file for ___ days after the close of a meeting, film strips of each race for reference or reproduction upon request of the Commission.

(8) The photo finish operator shall ensure the photo finish and timing system equipment are working properly prior to each race, reporting any malfunction to the judges immediately.

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

ARCI-013-065 Official Veterinarian

(1) An official veterinarian, licensed to practice in (state), must be on duty for all weigh-ins and official racing conducted by an association.

(2) The official veterinarian may be employed by the association and approved by the Commission, or may be employed by the Commission.

(3) The official veterinarian shall make an examination of the physical condition of each greyhound at weigh-in time.

(4) The official veterinarian shall make a final examination and inspection of all greyhounds during the time they are in the paddock, prior to leaving for the race.

(5) The official veterinarian shall report any greyhound considered to be in improper physical condition for a race to the judges who shall order said greyhound scratched out of the race for which it is entered.

(6) The official veterinarian shall view the running of the race.

(7) All veterinarians shall provide first aid to any injured greyhound during the time it is under the supervision or care of the association prior to being returned to the kennel owner or trainer.

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

ARCI-013-070 Kennel Master

(1) Under the supervision of the paddock judge, the kennel master shall unlock the prerace lock-out kennels immediately before weigh-in time to inspect that the kennels are in proper working order and that nothing has been deposited in any of the kennels for the greyhounds' consumption.

(2) The kennel master or his/her designee must receive the greyhounds from the trainer, one at a time, and ensure that each greyhound is placed in its lock-out crate and continue to ensure the security of the lock-out area from weigh-in time until the time when greyhounds are removed for the last race of a performance.

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

ARCI-013-075 Lead-Outs

(1) Lead-outs shall not be considered officials for purposes of these rules, however, lead-outs shall be properly trained by the association in the scope and proper performance of their duties before working official races.

(2) The greyhounds shall be led from the paddock to the starting box by one lead-out per greyhound during official schooling races and official purse races, unless otherwise approved by the judges.

(3) A licensed lead-out shall lead the greyhounds from the paddock to the starting box. Owners, trainers or attendants shall not be allowed to lead their own greyhounds.

(4) Lead-outs shall be assigned to post position by the paddock judge before each race and a record thereof shall be maintained.

(5) The lead-out will adhere to the starting box loading procedure and swiftly proceed to occupy the post assigned to him/her during the running of the race.

(6) Lead-outs are prohibited from holding any conversation with the public or with one another, either in the paddock, en route to the starting post or while returning to the paddock.

(7) Lead-outs shall be attired in clean uniforms, present a neat appearance and conduct themselves in an orderly manner.

(8) Lead-outs are prohibited from smoking, drinking beverages, other than water, or eating unless on duly authorized breaks and in a designated area.

(9) No lead-out shall be permitted to have any interest in the greyhounds racing for the association.

(10) Lead-outs are prohibited from wagering on the result of any greyhound racing at the racetrack where they are assigned.

(11) Lead-outs shall immediately report any infirmities or physical problems they observe in greyhounds under their care to the nearest racing official for communication to the paddock veterinarian.

(12) Lead-outs shall not remove racing blankets until the greyhounds are accepted by licensed kennel representatives at the conclusion of the race.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 4.5 to 4.6 ARCI Board 7/31/09: Amended Language

ARCI-013-080 Any Other Person Designated by the Commission

The Commission may approve 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 as similar positions.

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

DUTIES AND REQUIREMENTS OF GREYHOUND ASSOCIATIONS (RACE MEET LICENSEES) - CHAPTER 14

ARCI-014-005 Purpose

To describe the duties and responsibilities assigned by the Commission to an association licensed to conduct greyhound racing and pari-mutuel wagering.

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

ARCI-014-010 General Duties

(1) An association, its officers, directors, officials and employees shall abide by and enforce the Act and the rules of the Commission.

(2) Associations shall comply with all federal, state and municipal laws and cooperate with law enforcement agencies to ensure the integrity of racing.

(3) An association may request an exemption from a requirement in this chapter if the association determines that compliance with the requirement is unnecessary due to new technology or an 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 greyhounds, the racing industry and the citizens of this jurisdiction.

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

ARCI-014-015 Documents/Reports Required

A. Auditing and Accounting

(1) The association shall maintain an accounting system in accordance with generally accepted accounting procedures, preferably under the supervision of a certified public accountant, and shall provide financial data as required by the Commission.

(2) A report detailing the amount of money wagered in each pari-mutuel pool and parimutuel tax payable to the Commission for each racing performance shall be submitted to the Commission daily.

(3) The association shall submit a detailed annual report, certified by a public accountant licensed to practice in this jurisdiction, of the admissions and parimutuel pools and pari-mutuel tax paid within ___ days after the conclusion of its accounting year pertaining to such information. The annual report shall also include the names of the officers, directors, administrative officials, pari-mutuel officials and racing officials of the association conducting the race meeting.

(4) The association shall maintain adequate records to substantiate all purse payments. All purse payments shall be:

(a) issued and available not later than (time) on the (day) following the end of the week earned;

(b) withheld if so ordered by the judges, Commission or Commission designee

(c) pending an investigation and/or redistribution as the result of an official ruling; and paid directly to greyhound owners, unless otherwise approved by the Commission.

(5) The Commission treasurer or an auditor employed by the Commission may audit these association records upon the request of the Commission.

(6) The association shall immediately submit written notification to the Commission executive director or Commission designee of any and all changes in stockholder information.

B. Other Requirements

(1) The association shall file with the Commission existing maps and plans of the association grounds, showing all structures, piping, fixed equipment, race course, noting elevation as filled, and composition of track base and cushion. The association shall file revised maps or plans of the association grounds upon material change as may occur from time to time.

(2) The association shall provide the Commission with proof of adequate public liability insurance for the association grounds.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 4.5 to 4.6 ARCI Board Amended language editing change

ARCI-014-020 Facilities And Equipment

A. 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 adequate free drinking water facilities.

(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, an association shall provide: (a) a first aid room equipped with the proper equipment; and (b) the services of at least one certified paramedic.

(6) An association shall provide adequate office space for the use of the judges 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.

(7) An association shall promptly post Commission notices in places that can be easily viewed by patrons and licensees.

B. Officials' Facilities

An association shall provide adequate facilities for officials to perform their duties.

C. Kennel Compound

(1) The kennel compound facilities must provide for the safe and humane housing of greyhounds.

(2) The design of the kennel compound facilities must be approved by the Commission, during the initial planning stage and again upon completion of construction of the facilities.

(3) The kennel compound must be on the association's grounds unless otherwise approved.

(4) The association and the commission representatives shall conduct kennel inspections at least every___ month(s) to ensure the safety and sanitary conditions of the kennel compound. The inspections should include examinations of the inside living area and turnout pens. If conditions are discovered that are deemed to be below acceptable standards the designated trainer and owner of that kennel or the appropriate track official overseeing the maintenance will be ordered to immediately remedy the sub-standard situation.

(5) The association will install and keep in constant working order an alarm system for the kennel compound. The system will include a continuously monitored control panel. The system will be employed to detect rising temperatures in the kennel environment caused by air conditioning malfunction, fire or air quality deficiencies.

(6) The association will provide treatment and prevention to repel insects and rodents on a regular, continuing basis.

(7) The association shall take such measures needed to maintain the security of the greyhounds while on association grounds to protect them from injury, frightening and/or tampering. The association shall exclude all persons from the compound

area who have no designated duty or authority with the greyhounds entered and are not representatives of the Commission, racing officials, duly authorized licensed employees or escorted guests with association approved passes.

D. Audio and Video Equipment

(1) An association shall provide and maintain in good working order an internal communication system to ensure communication between:

(a) the judge's stand;

(b) the racing office;

(c) the tote room;

(d) the paddock;

(e) the vicinity of the starting box; and

(f) other locations designated by the Commission.

(2) An association shall provide and maintain a public address system capable of transmitting announcements to the patrons and to the paddock.

(3) An association shall provide and maintain, in good working order, a primary and an auxiliary electronic photofinish device with mirror image to photograph the finish of each race and record the time of each greyhound in at least hundredths of a second. The association shall ensure that the photofinish device is calibrated before the first

day of each race meeting and at other times as required by the Commission. The association may use an additional, more exact time measurement device. The location and operation of the photofinish device 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 and/or any other order of finish needed to satisfy pari-mutuel requirements in an area accessible to the public.

(4) An association shall preserve the photofinish record of the finish of a race for at least 6 months after the last day of the race meeting during which the photograph was made unless a longer time is requested by the Commission. The photo finish operator shall produce a print on request of the Commission.

(5) An association shall provide and maintain, in good working order, a videotape system to record each race in color from start to finish. The association shall provide and maintain, in good working order, monitors in the judges' stand which display the images being transmitted during the running of the race and immediately afterwards for the purposes of reviewing the race. An association shall preserve the videotape record of the finish of a race for at least 6 months after the last day of the race meeting during which the videotape was made unless a longer time is requested by the Commission. The videotape operator shall produce an electronic copy on request of the Commission.

(6) The association shall provide closed circuit television throughout the facilities for the benefit of the patrons.

(7) An association shall, upon request, provide to the Commission, without cost, a copy of videotape of a race.

E. Race Course

(1) The National Greyhound Association racetrack standards shall serve as a guide for race course design. Associations shall provide an approved race course, subject to periodic inspections and verification by the Commission.

(2) The race course shall:

(a) be constructed and elevated in a manner that is safe and humane for greyhounds;

(b) have a surface including the cushion subsurface and base that is constructed of materials and to a depth that adequately provides for the safety of the greyhound; and

(c) have a drainage system.

F. Lure

An association shall provide and maintain, in good working order, the lure which is used on the race course. The lure must be approved by the Commission prior to its use on an association race course.

G. Official Scale

An association shall provide and maintain in good working order an official scale or other approved weighing device. The Commission shall require a periodic certification of the accuracy of the scale or other approved weighing device.

H. Starting Boxes

(1) An association shall provide and maintain, in good working order, starting boxes that are approved by the Commission.

(2) An association shall make at least one starting box and qualified starting box personnel available for schooling during training hours.

I. Lighting

(1) An association shall provide and maintain, in good working order, lighting for the race course and the patron facilities that is adequate to ensure the safety and security of the patrons, licensees and greyhounds and to ensure the proper operation of the videotape and photofinish equipment. The association shall maintain an auxiliary lighting system to serve in an emergency. The lighting system must be approved by the Commission.

(2) An association shall provide and maintain, in good working order, adequate lighting in the kennel compound as required by the Commission.

J. Test Area

(1) An association shall provide an area for taking specimens of urine, saliva blood or other bodily substances for testing.

(2) The test area must be equipped with:

(a) a walking area that is large enough to accommodate ___ greyhounds at the same time; and

(b) hot and cold running water.

(3) An association shall limit access to the test area to persons authorized by the official veterinarian.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 4.5 to 4.6 ARCI Board 7/31/09: Amended Kennel Compound language
Version 5.0 to 5.1 ARCI Board 4/27/2012 Added requirement to retain Photofinish record and Videotapes of races for at least 6 months

ARCI-014-025 Operations

A. Security

(1) An association shall secure the peaceful use of the association grounds by providing an adequate number of trained security personnel.

(2) An association shall provide continuous security service in the kennel compound during all times that greyhounds are housed on the grounds. The association shall restrict access to the kennel compound to persons displaying valid license credentials issued in his/her name by the Commission or a valid visitor's pass issued in his/her name by the association. The association shall ensure that the kennel compound is fenced.

(3) On request by the Commission, an association shall provide a list of the security personnel, including the name, qualifications, duties, duty station and area supervised by each employee.

(4) Each day, the chief of security for an association shall deliver a written report to the Commission designee regarding the occurrences on association grounds on the previous day. Not later than ___ after an incident occurs requiring the attention of security personnel, the chief of security shall deliver to the Commission designee a written report describing the incident. The report must contain the name of each individual involved in the incident, the circumstances of the incident and any recommended charges against each individual involved. The association shall maintain an incident report for at least ___ after the date of the incident for inspection by the Commission and shall provide any additional information relating to security requested by the Commission.

B. Visitor's Pass

(1) An association may issue a visitor's pass to a person to enter restricted areas in accordance with this section. The security personnel shall maintain a log showing the date and time of issuance, the name of the visitor, pass number and the licensee requesting the pass and that person's Commission license number. A visitor to whom a visitor's pass has been issued shall display the pass on his/her clothing at all times while in restricted areas.

(2) An association may issue a visitor's pass only to a guest of:

(a) an association officer or official;

(b) a Commission employee;

(c) a trainer, assistant trainer or kennel operator licensed by the Commission; or (d) the owner of a greyhound racing at the meeting.

(3) A visitor's pass must contain:

(a) the visitor's name;

(b) the sequential pass number; (c) the date the pass was issued; and (d) the expiration date.

(4) A visitor's pass issued under this section is valid for the period the pass is issued. A visitor's pass does not entitle the person to whom the pass is issued to participate in racing in any way other than as a patron, except for an individual who delivers or accompanies a greyhound to the association grounds at a time when the Commission licensing office is closed.

(5) The licensee requesting the visitor's pass is responsible for the proper conduct of the visitor and shall ensure compliance by the visitor with all Commission rules.

C. Fire Protection

(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. An evacuation plan will be posted by the association and a copy of which will be provided to the commission.

(2) Not later than ___ 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 plans 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 the race meeting.

(3) An association shall post rules that prohibit:

(a) smoking in the kennel buildings;

(b) open fires and oil or gas lamps in the kennel compound;

(c) unattended electrical heating appliances that are plugged in to an outlet;

(d) electrical outlets or cords left within reach of a greyhound; and

(e) flammable materials, such as cleaning fluids or solvents, kept in kennel buildings.

(4) An association shall provide and maintain, in good working order, at least one fire extinguisher, located in an easily accessible location, on each kennel compound building.

D. Insect Control

An association shall ensure effective insect control, including control of external parasites, to all areas of the association grounds at all times during a race meeting.

E. Performances

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.

F. Patron Information and 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 statute;

(c) accidents or injuries;

(d) unsafe or unsanitary conditions for patrons, licensees or greyhounds; and/or (e) any other condition or incident.

G. Ejection and Exclusion

(1) An association shall honor all exclusion orders by the Commission and the judges. The association shall immediately eject a person who is subject to such an exclusion order from the association grounds and notify the Commission or judges of the ejection.

(2) An association may eject or exclude a person for any lawful reason. The association shall immediately notify the judges, the executive director or the Commission in writing of any person ejected or excluded by the association and the reasons for the ejection or exclusion.

(3) It shall be the duty of the association to obtain the license identification badge of any terminated suspended or ejected employee and return it to the Commission.

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

ARCI-014-030 Kennel Contracts

(1) There shall be a kennel contract between the kennel and the association.

(2) All ownership interests of the kennel must be disclosed in the kennel contract.

(3) Any termination of the kennel contract by either party must be in writing and duly served on the other party, with a copy of said termination notice delivered to the Commission.

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

ARCI-014-035 Program

(1) The association shall prepare and print an official program for each racing performance. The program must contain the order of the races, the distance of each race and the track record for each distance.

(2) The greyhounds' names shall appear in the order of their post positions. The post positions shall be designated by numbers placed at the left and in line with the names of the greyhounds.

(3) The program shall contain: name; color; sex; date of whelping; breeding; established racing weight; number of starts in official races and number of times finishing first, second or third; name of owner and/or lessee; name of trainer; distance of race; track record; and other information.
(4) The program must list at least the three most recent past performances for each greyhound scheduled to run An exception would involve a greyhound participating in its first official start where at least two official schooling lines must be displayed.
(5) All past performance lines shall be in sequential order with the last performance appearing on the top line.
(6) If the name of a greyhound is changed, the new name and the former name shall be published in the program until after the greyhound has started six times subsequent to the name change.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 4.5 to 4.6 ARCI Board 7/31/09: Amended language

ARCI-014-040 Greyhound Adoption Program

(1) The association shall provide a program to receive and maintain greyhounds for adoption.
(2) All facilities used to maintain greyhounds are subject to inspection and approval by the Commission and shall be maintained in a manner to promote the health, safety and welfare of the greyhounds.
(3) The association shall provide a plan which ensures sufficient personnel, training and funding to operate and maintain an adoption program consistent with the directions and orders of the Commission.
(4) Crates housing the greyhounds available for adoption shall meet the same specifications as those used for housing greyhounds in the racing kennels.
(5) Only one greyhound shall be housed per crate at any time.
(6) A feeding program for all greyhounds in the adoption center, shall be established and maintained by the association subject to the review and approval of the official veterinarian. Fresh water shall be available for the greyhounds in the adoption center at all times unless otherwise directed by a veterinarian.
(7) Greyhounds placed in the adoption program are not to be utilized in any manner that is detrimental to the well being of the greyhounds.
(8) The association shall ensure the following veterinarian services have been provided to each greyhound which is in the adoption program:
    (a) fecal examination;
    (b) heartworm test;
    (c) vaccination series including DHLPP and rabies; and (d) surgical sterilization.

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

GREYHOUND LICENSING AND DUTIES OF LICENSEES - CHAPTER 15

ARCI-015-005 Purpose

To describe the licensing procedures and the duties of licensees holding occupation licenses issued by the Commission. The Commission shall issue occupational licenses to each person employed or contracted to perform duties on association grounds during a race meeting.

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

ARCI-015-010 General

(1) Each licensee agrees to abide by and obey all rules and regulations of the Commission, policies and procedures of the association and statutes of this jurisdiction.

(2) Upon payment of all required fees, an occupational license badge may be issued by the Commission to each individual licensed to perform duties on association grounds. The badge must contain:

(a) Commission name;

(b) licensee's full name;

(c) recent photograph of the licensee;

(d) category of license; and

(e) date of issue and the period for which the license is valid.

(3) Unless otherwise permitted by the Commission, the license badge shall be displayed in a conspicuous manner on the licensee's clothing at all times while on association grounds.

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

ARCI-015-015 Licensees

A. Kennel Operators

(1) A licensed kennel operator shall register with the Commission and pay the prescribed fee to race under a licensed kennel name.

(2) All persons represented by a kennel name are required to have greyhound owners' licenses.

(3) The Commission may require all persons represented by a kennel name to sign an authorized agent's application which appoints one person to act as the agent for the kennel name. Otherwise, notification of the designated contract representative for the kennel name shall be made to the Commission.

(4) All kennel operators must file with the Commission and the association a roster of his/her trainer, assistant trainers, authorized agent and any other employees. The kennel operator must immediately report any trainer changes to the judges and

racing secretary. The new trainer(s) and/or any new employees shall then sign the owner's filed roster.

(5) A trainer, who is also a licensed greyhound owner or part owner, may use a kennel name. However, no trainer may be licensed as trainer other than in his/her legal name.

(6) If the kennel name represents a corporation:

(a) The corporation shall register to do business according to the laws of this jurisdiction;

(b) The corporation shall submit a complete list of stockholders and the number of shares owned by each stockholder whose ownership exceeds ten percent of the total number of shares issued by the corporation;

(c) The corporation shall notify the Commission if any change of stock ownership occurs which exceeds ten percent of the total number of shares issued by the corporation; and

(d) The corporate name under which the corporation does business in this jurisdiction shall be considered a kennel name for purposes of these rules.

(7) A kennel name other than a corporate kennel may be changed at any time by registering a new kennel name and by paying the fee set forth in these rules.

(8) A kennel name must be plainly distinguishable from any other kennel name licensed in this jurisdiction and any other kennel name registered with the National Greyhound Association.

(9) A licensed owner shall not register any kennel name the Commission determines to be misleading to the public or unbecoming to the sport.

(10) Unless otherwise permitted by the Commission, a licensed greyhound owner shall not be a party to more than one kennel name at the same time.

(11) A licensed owner shall not register the real name of any other owner of greyhounds racing nor one which is the real or kennel name of any prominent person not owning greyhounds as his/her kennel name.

(12) A kennel operator or trainer of record must account for the movement or removal of any greyhound for which official NGA registration certificate was submitted to the association. Such notification must adhere to one of the following criteria.

(a) The greyhound was moved to another racing facility. (specify track)

(b) The greyhound was placed with a recognized adoption agency or group. (specify agency and location)

(c) The greyhound was returned to his/her listed owner. (specify circumstances and location)

(d) A veterinary record that the greyhound is deceased. (Disclosure of the circumstances of the greyhound’s death or notation that the greyhound was euthanized humanely due to serious medical condition or catastrophic injury.)

Judges will regularly review the records and determine that the disposition is in compliance with the listed conditions.

B. Greyhound Owner

(1) A greyhound owner's license is required of any person who is designated as an owner or lessee on the greyhound's National Greyhound Association registration papers, and of every person who has a right to receive any share of a purse won by a greyhound in this jurisdiction except kennel operators and their employees who are licensed in this jurisdiction.

(2) The spouse of an owner does not need to be licensed unless the spouse's name appears on the greyhound's National Greyhound Association registration papers.

(3) If a person is suspended or ejected from the association grounds, every greyhound wholly or partly owned by such person may also be suspended or ejected for the duration of such suspension or ejection. Any entry received from any person, or of any greyhound that stands suspended or expelled shall be void unless otherwise approved by the Commission.

C. Emergency License (Greyhound Owner)

(1) The Commission may issue an emergency license if an owner is unable to complete an application for an owner's license because of absence or illness. The licensed trainer desiring to enter a greyhound in a race may apply for an emergency owner's license on behalf of the absent owner.

(2) The trainer applying for an emergency owner's license must submit a written statement with the license application specifying the reasons the owner is unable to complete the application.

(3) The trainer applying for an emergency owner's license must submit at least the following information: the owner's full name, home and/or business address, telephone number and social security number. At the time of application, the appropriate licensing fee must be paid to the Commission. Failure to provide all of the foregoing information is grounds for denial of an emergency owner's license.

(4) Not later than the ___ day after the emergency owner's license is issued, the owner must submit a properly completed owner's application, fingerprint card and fingerprint fee, if applicable. Failure to provide the forgoing information is grounds for suspension of the emergency owner's license and other disciplinary action against the owner or trainer. In addition, if the required information is not submitted due to an act or omission on the part of the trainer, the trainer may also be subject to disciplinary action.

D. Trainers

(1) A trainer's license is required of any person designated as the trainer of record for each licensed kennel operator.

(2) The trainer shall be responsible for and be the absolute insurer of the condition of the greyhounds he/she enters, regardless of the acts of third parties. The trainers are presumed to know the rules of greyhound racing as adopted by the Commission.

(3) Every trainer who does not have his/her greyhound at the weighing-in room promptly at the time appointed may have the greyhound scratched and may be subject to disciplinary action.

(4) When a trainer is to be absent from his/her kennel for 24 hours or more, the kennel operator or trainer shall notify the judges of the licensed trainer or licensed assistant trainer who will assume complete responsibility for the greyhounds of the kennel.

E. Partnerships

(1) Each of the partners or shareholders owning ___ percent partnership or shares is required to be licensed as a greyhound owner and the rules covering partnerships must be complied with.

(2) All partnerships/corporations must be registered with the Commission. The name and address of every person having any interest in the partnership, the relative proportions of such interest and the terms of any sales with contingencies or arrangements must be signed by all parties or by their authorized agents and be filed with the racing secretary. All partners shall be jointly and severally liable for all stakes, forfeits and other debts of the partnership.

(3) All statements of partnerships/corporations or sales with contingencies or arrangements shall be filed with the racing secretary and shall declare to whom winnings and/or profits are payable, the name used for the partnership/corporation and who is the authorized agent for the partnership/corporation.

(4) Any changes in owners in the partnership/corporation must be immediately reported to the racing secretary. The new owner(s) shall obtain a license as required by the Commission.

F. Authorized Agents

(1) Each authorized agent shall obtain a license from the Commission.

(2) A written instrument signed by the kennel operator which clearly sets forth among the delegated powers whether or not the agent is empowered to collect money from the association shall accompany the license application.

(3) If the written instrument is a power of attorney, it shall be filed permanently with the racing secretary. However, if the kennel operator properly delegates power on the application for a license, then the application shall be in duplicate with both copies signed and sworn to before a notary public or a Commission employee and one copy filed permanently with the racing secretary.

(4) An authorized agent may appoint a sub-agent only when specifically authorized to do so by the written instrument signed by the owner. Written notice of the appointment must be filed immediately with the Commission and the racing secretary.

(5) Any changes in the power delegated by the kennel operator to the authorized agent must be in writing, sworn to before a notary public or a Commission employee and filed with the Commission and the racing secretary.

(6) A greyhound owner's revocation of an authorized agent's authority must be in writing, sworn to before a notary public or a Commission employee and filed with the Commission and the racing secretary.

(7) The term of the authorized agent's license shall be determined by the Commission unless the agent's appointment is revoked by the greyhound owner or the greyhound owner's or authorized agent's license is revoked by the Commission.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Amended Version 4.5 to 4.6 ARCI Board 7/31/09: modified language in Kennel Operator

ARCI-015-020 Conduct of Licensees

(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.

(2) It shall be a violation to exercise the privileges granted by a license from this Commission if the licensee fails to abide by the requirements of "Greyhound Racing Prohibited Acts Chapter 16".

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

ARCI-015-025 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.

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

GREYHOUND PROHIBITED ACTS - CHAPTER 16

ARCI-016-005 Purpose

The Commission, in its discretion, may refuse to issue a license to an applicant or may suspend or revoke a license issued, or order disciplinary measures against any licensee or other person engaging in any prohibited acts contained in but not limited to this chapter.

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

ARCI-016-010 Prohibited Acts No person shall:

(1) incite, encourage, instruct, assist or cause another person to engage in any prohibited conduct or commit any violation of (Statute) or the Rules of Greyhound Racing, or to commit any prohibited act in relation to racing in another racing jurisdiction;

(2) offer or accept any form of compensation for cashing a pari-mutuel ticket for another;

(3) direct any personally offensive language, profanity, obscenity or abusive epithets toward any racing official or employee of the Commission upon association grounds or while the official or employee is performing official duties elsewhere;

(4) take any action upon association grounds that creates or causes a clear and present danger of violence;

(5) participate in any altercation by striking, attempting to strike, shoving, holding or wrestling with another person on association grounds;

(6) threaten another person with physical harm or cause the threatened person to reasonably believe the person making the threat intends to carry out the threat;

(7) attempt to inflict physical harm upon another person;

(8) disturb the peace;

(9) refuse to obey reasonable orders or directions of a racing official, or security personnel of the Commission or the association;

(10) participate in any manner in, any illegal bookmaking or any illegal enterprise, or associate with any person(s) engaged in such activity;

(11) gamble, bet or wager on association grounds except by the pari-mutuel method;

(12) possess any devices, machines or paraphernalia normally used for gambling or gaming, on association grounds during a race meeting except with written permission of the Commission;

(13) tamper or attempt to tamper with a greyhound, or apply or aid in applying to a greyhound, or possess on association grounds or on the grounds of a licensee's kennel, any electrical or mechanical device or prohibited medication intended to increase or decrease the speed of a greyhound;

(14) use any lure except the association's artificial lure for training or racing a greyhound at any time at any facility under the Commission's jurisdiction or at anyplace after the greyhound has been booked to race in this jurisdiction;

(15) use live animals or animals killed for the purpose of training greyhounds;

(16) possess a hypodermic needle, syringe or injectable of any kind on association grounds, unless otherwise approved by the Commission.

(17) administer, offer to administer or allow to be administered to any greyhound any prohibited drug or medication or unauthorized quantity of an approved drug or medication;

(18) alter or forge a prescription for medication for a greyhound;

(19) submit or knowingly allow to be submitted to the Commission (including its security personnel), judges, racing secretary or the National Greyhound Association any report or document which contains false or misleading information;

(20) mar or alter any identification mark on a greyhound;

(21) have any interest in more than one kennel racing greyhounds in this jurisdiction;

(22) smoke in any designated "No Smoking" area on the grounds;

(23) possess on association grounds any deadly weapon or firearm, including a BB gun or a pellet gun, except law enforcement officers and security personnel;

(24) wager or ask any other person to place a bet on their behalf while on duty at the racetrack if the person is employed by the association. Also specifically included are contractees of the association and their employees who are working during the racing program, with the exception of individuals with kennel contracts;

(25) enter for official racing or schooling, or cause or allow to be entered, a greyhound that the person knows or should know does not meet all entry requirements;

(26) participate in a race meet while suspended or ruled off by any racing jurisdiction;

(27) fail to immediately notify the racing secretary when the person discovered that any entry or starting requirement for a greyhound under the licensee's control is not met or is no longer being met;

(28) start, or cause or allow to be started, a greyhound that the person knows or should know does not meet all starting requirements;

(29) allow or cause a scratch to become necessary, which could have been avoided by the exercise of reasonable care;

(30) fail to request a scratch immediately upon learning that a scratch is necessary;

(31) solicit or accept or offer any bribe in any form, directly or indirectly, from any person, in connection with greyhound racing;

(32) commit any corrupt, fraudulent or unlawful act on any association's grounds or in connection with any race meeting in any;

(33) fail to cooperate with security personnel;

(34) fail to report to the judges' office promptly upon request;

(35) be visibly intoxicated or visibly under the influence of controlled substances;

(36) lodge a frivolous complaint;

(37) knowingly allow an unlicensed person to participate in a race meeting if the person knows or should know that the person is required to be licensed;

(38) fail to immediately report to the Commission the unlicensed participation in a race meet of any person who the person knows or should know is required to be licensed;

(39) fail to promptly report to the Commission veterinarian any use of a prohibited medication;

(40) fail to notify the Commission in writing of a change of association officer, director, stockholder (except for publicly traded corporations) or partner, within 30 days, if the change occurred during a race meeting, or immediately prior to the next race meeting, if the change occurred after the race meeting;

(41) fail to pay a fine within the time allowed;

(42) make false or misleading statements to the Commission, its representatives or the judges in the course of an investigation;

(43) fail to comply with any order or ruling of the Commission, judges or racing officials pertaining to a racing matter;

(44) possess any illegal substance or any controlled substance without a valid prescription;

(45) commit any act that is inconsistent with the best interest of greyhound racing; and/or

(46) submit any animal in their charge to cruel or inhumane treatment. Cruel or inhumane treatment includes, but is not limited to:

(a) lack of adequate food, water and shelter;

(b) neglect in any manner, including adequate veterinary care and attention when necessary;

(c) conditions which cause an animal physical pain or suffering; and

(d) prohibited conduct described in (jurisdiction's animal cruelty statute) in the form the statute provided on the effective date of this rule.

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

Version 4.5 to 4.6 ARCI Board 7/31/09 Amended language

GREYHOUND RULES OF THE RACE - CHAPTER 17

ARCI-017-005 Purpose

To describe the rules governing the conduct of running the race by the association licensed to operate the greyhound racetrack in this jurisdiction.

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

ARCI-017-010 Registration

(1) No greyhound shall be entered or permitted to race or to be schooled at any racetrack licensed by the Commission unless properly tattooed and registered by the National Greyhound Association. The National Greyhound Association shall be recognized as the official breeding registry of all racing greyhounds.

(2) All certificates of registration for greyhounds entered to race must be available for inspection by the board of judges.

(3) Transfer of ownership title to greyhounds entered or racing at any racetrack under the jurisdiction of the Commission shall be registered and recorded with the National Greyhound Association.

(4) Any transfer of ownership of a greyhound which is schooling, entered or racing must be sent to the National Greyhound Association for registration and recording and returned to the racing secretary. The greyhound shall be allowed to run during the period required for processing of the transfer unless otherwise ordered by the judges.

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

ARCI-017-015 Qualifying Conditions

(1) Each association shall establish minimum qualifying conditions for all entered greyhounds.

(2) The association will publish for each race meet a Condition Book outlining all racing information. This will include qualifying criteria, grading system to be employed and any pertinent information relating to racing. The Condition Book will be updated to reflect any changes that may occur during a race meet.

(3) Any greyhound that fails to meet the qualifying conditions shall not be permitted to start in any race.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version t 4.5 to 4.6 ARCI Board 7/31/09: amended language modification (2)

ARCI-017-020 Schooling

(1) Greyhounds must be properly schooled in the presence of the judges and must, in the opinion of the judges, be sufficiently experienced before they can be entered or started.

(2) All schooling races shall be at a distance not less than three-sixteenths of a mile unless otherwise approved by the judges.

(3) Greyhounds which transfer from one racetrack to another, from the same state or jurisdiction need not be officially schooled to qualify if they have raced within ten racing days.

(4) An official schooling race will ideally feature at least six greyhounds. A minimum of two runners must start.

(5) No hand schooling will be considered official.

(6) Any greyhound that has not raced for a period of ten or more racing days must be officially schooled at least once before being eligible for entry. Any greyhound that has not raced for a period of 30 calendar days must be officially schooled before being eligible for entry. The racing jurisdiction's condition book will specify if the greyhound must be schooled more than once.

(7) All greyhounds in official schooling races must be raced at their established racing weight and started from the box wearing blankets and racing muzzles.

(8) Any licensed kennel operator, trainer or authorized agent, who permits greyhounds to be schooled on any racetrack in (jurisdiction) or elsewhere, not approved by the Commission, shall be subject to the immediate revocation of his/her license.

(9) Any greyhound may be ordered on the schooling list for stated reason by the judges at any time. Any greyhound ordered on the schooling list by the judges must be schooled officially and satisfactorily, in the opinion of the judges, before being allowed to enter a race.

(10) A photo-finish camera in good working order and approved by the Commission, shall be utilized at all official schooling races.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 4.5 to 4.6 ARCI Board 7/31/09 amended language

ARCI-017-025 Grading

(1) The Commission shall approve a grading system to be utilized during the race meeting. When designating the grades of races, letters such as "A", "B", "C", "D", "E", "S", "T", and "M" or some combination thereof will be used. Grad A shall be the highest classification. Grade S indicates special and stakes races. A grade such as T or ST shall indicate a mixed-grade race. Grade M refers to maiden classification which indicates greyhounds that have not won an official race.

(2) The racing secretary may reclassify a greyhound at any time within its first three starts, but not more than one grade higher or lower. Greyhounds transferring from one track to another or remaining at the same track for a new race meeting shall continue in the same grade unless schooled and reclassified, but shall not be moved more than one grade higher or lower from the original grade as a result of schooling and reclassification.

(3) The winner of any graded race shall advance one grade until reaching Grade A.

(4) The winner of a maiden race shall be advanced for its next race no higher than Grade D.

(5) Greyhounds which finish farther back than third, three consecutive times while in the same grade, shall be lowered one grade.

(6) In Grade D, if the option of Grade E is not applicable, should a greyhound fail to finish first, second, third, or fourth in four consecutive starts, then such greyhound shall be taken off for a period of 30 days. At the end of the take-off period, the greyhound must be schooled at least two times if it is to be entered in a Grade D race again. If the greyhound re-qualifies, it may be placed back in Grade D. If the greyhound then fails for a second time to finish first, second, third, or fourth in four consecutive starts, it shall be dropped from further racing at that race meeting. When Grade E is applicable, this rule does not apply. In these cases, if a Grade D greyhound fails to finish first, second, third or fourth in four consecutive starts, it will be lowered to Grade E.

(7) A greyhound that has advanced from Grade M and has been dropped from further racing without winning another official race may be re-qualified after a period of 30 days. Upon re-qualification, the greyhound shall be placed in Grade E by the racing secretary.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 4.5 to 4.6 ARCI Board 7/31/09
Version 5.0 to 5.1 ARCI Board 4/27/2012 Major re-write

ARCI-017-030 Entries

(1) Every person entering a greyhound or participating in any way in any race or racing under these rules shall accept these rules upon all questions.

(2) Any failure to comply with any of these rules may be punished by a fine or suspension or both, and if any objection because of such default is duly made and sustained against a greyhound that has run in a race, its winnings in that race shall be forfeited and the purse redistributed by the judges. Such redistribution shall in no way affect the pari-mutuel payout for the race.

(3) The racing secretary shall receive all entries and declarations for all races.

(4) Every entry for a race must be made in writing and shall state the name of the registered owner, lessee or his/her kennel name. The full name of every person having an ownership in a greyhound or accepting the trainer's percentage, or having any interest in its winnings, must be registered with the racing secretary before the start of any race meeting, and every change in the ownership or interest made thereafter during that meeting must also be registered with the racing secretary, who shall immediately deliver copies to the Commission.

(5) A greyhound shall not be permitted to enter or to start unless all of its owners are licensed and it is under the care of a licensed trainer.

(6) Any person having an interest less than the interest or property of any other person in a greyhound is not entitled to assume any of these rules, including the right of entry, declaration and the like.

(7) Joint nominations and entries may be made by any one or more of the owners and/or trainers. However, all partners shall each be jointly and severally liable for all fees and forfeits.

(8) Any person who knowingly fraudulently attempts to establish the identity of a greyhound or its ownership shall be subject to the same penalty as the owner.

(9) The racing officials may require any person in whose name a greyhound is entered to produce proof that the entered greyhound is not the property either wholly or in part of any person who is for any reason is ineligible to be licensed or participate in this jurisdiction and/or to produce proof of the extent of his/her interest or property in the greyhound.

(10) No greyhound under the age of 16 months shall be eligible to be entered in any official race.

(11) No greyhound shall be permitted to start that has not been fully identified.

(12) A greyhound shall not be qualified to run in any race unless it has been and continues to be duly entered for the same; and unless otherwise specified by the conditions of a race, or disqualified by violation of racing rules, any greyhound eligible at the time of entry shall continue to be qualified.

(13) No ineligible greyhound shall be allowed to enter or to start in any race.

(14) No greyhound on the schooling list or the veterinarian's list shall be eligible to enter or to start in any race on which pari-mutuel wagering is offered.

(15) A greyhound shall not be qualified to be entered or to start in any race if owned in whole or in part or is under the control, directly or indirectly, of a person who for any reason is ineligible to be licensed or participate in this jurisdiction.

(16) Any entry received from any person or of any greyhound that stands suspended shall be voided and the entrance fee paid, if any, shall be refunded. Any money or prize won under said entry shall be immediately returned.

(17) The greyhound entry into a race shall be free unless otherwise stipulated in its conditions. If the conditions require an entrance fee, it must accompany the entry.

(18) A person entering a greyhound is liable for the entrance money or stakes.

(19) The association shall be liable for the money due if it allows a greyhound to start in a race without the entrance fee(s) having been paid.

(20) Entrance money is not refunded on the death of a greyhound or its failure to start.

(21) An entry in a stakes race is a nomination which cannot be withdrawn.

(22) A person making an erroneous stakes nomination or entry shall be liable for stakes and forfeitures under the nomination. A greyhound shall not start in a stakes race unless any stakes or entrance money due for that race has been paid by the nominator or has been guaranteed by the association.

(23) The nomination of an entry shall survive the death of the nominator.

(24) An entry of a greyhound in a stakes is a nomination to the stakes and the nominator is liable for stakes and forfeits, but should he/she transfer the entry, he/she is liable only in case of default to the transferee. Similarly, the seller of a greyhound with engagements is liable for stakes or forfeits if the engagement is not kept.

(25) A nominator is liable for the entrance money or stakes and the death of a greyhound or a mistake in its entry when eligible, does not release the nominator or transferee from liability for stakes.

(26) Entries which have closed shall be immediately compiled and conspicuously posted by the racing secretary.

(27) No entry or transfer shall be considered complete until it is approved by the judges.

(28) There shall be at least seven greyhounds of different ownership entered in all purse races, unless otherwise authorized by the commission. No trainer or owner shall have more than two greyhounds in any race with the exception of stakes or feature races without the approval of the Commission. In all other purse races, the following conditions shall apply:

(a) no double entries shall be allowed until all single interests are used and double entries shall be uncoupled for wagering purposes; and

(b) the racing secretary may use a double entry without the permission of the trainer when no single entry is available.

(29) Entries for stakes races with previously published conditions shall close at the time advertised in such publication, and no entry shall be received after that time. However, additional time may be granted by the racing secretary and approved by the Commission in any such race which fails to fill as scheduled.

(30) The racing secretary shall determine the starters for a race if the number of entries to any stakes race is in excess of the number of greyhounds that may be permitted to start because of course limitations.

(31) The association shall have the right to withdraw or change the conditions of any unclosed race.

(32) Entrance and declarations for a stakes race which close during or on the eve of racing meets shall close at the office of the racing secretary who shall make provisions therefor unless other notice is given. Closing for stakes races at all other times shall be at the business office of the association.

(33) Entries and declarations for a stakes race cannot be received after the hour designated for closing. However, if an hour is not designated, they may be mailed, transmitted by facsimile machine or telephoned up to midnight of the day of closing, provided they are received in time for compliance with every other condition of the race.

(34) If an error pertaining to any entry or declaration in a stakes race is alleged, satisfactory proof of such must be presented prior to any qualifying races or the draw.

(35) Every greyhound entered in an official race must be started unless the greyhound is withdrawn or scratched.

(36) The entrance money, starting and subscription fees, in every race shall go to the winner unless otherwise provided in the conditions of the race. However, when a race is not run, all stakes or entrance money shall be refunded.

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

Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Amended ARCI-017-030(9) and ARCI-017-030(15) in relation to disqualified persons

ARCI-017-035 Withdrawals and Scratches

(1) The withdrawal of a greyhound is irrevocable and shall only be made by its trainer.

(2) A withdrawal shall be made to the racing secretary or his/her assistant at least one half hour before the time designated for the drawing of post positions, or at such time as the racing secretary may appoint.

(3) To scratch a greyhound entered in a race, sufficient cause must be given to satisfy the judges. All scratches and the cause must be reported immediately to the board of judge(s).

(4) Greyhounds that have been scratched from an official start may be required by the association or the judges to satisfactorily complete an official schooling race prior to being re-entered for an official race.

(5) If three or more greyhounds are withdrawn or scratched in any one race, the judges may cancel the race.

(6) The judges may scratch a greyhound entered in a race for not being present for weigh-in at the appointed time or for other sufficient cause(s).

(7) The judges may impose a penalty on the person responsible for causing the scratch if it could have been prevented by exercising reasonable care.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02 Version 4.5 to 4.6 ARCI Board 7/31/09; Amended

ARCI-017-040 Post Positions

The starting post positions for each race shall be assigned by lot or drawing, including computerized drawing, supervised by the Commission judge or his/her designee and the racing secretary, at a time and place properly posted in the paddock, at least one day prior to the running of the race, so that owners, trainers or authorized agents may be present.

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

ARCI-017-045 Weights and Weighing

(1) All greyhounds must be weighed not less than one hour and not more than two hours before the time of the first race of the performance unless a later time has been designated or approved by the Commission.

(2) The weigh-in time shall be limited to a 30-minute period unless an extension has been granted by the Commission judge or approved by the Commission.

(3) Before a greyhound is allowed to school or race at any racetrack, the owner or trainer must establish its racing weight with the clerk of scales. Greyhounds starting without schooling must use previous established weight.

(4) At weighing-in time, should there be a variation of more than one and one-half pounds either way from its established weight, the judges shall order said greyhound scratched.

(5) At weighing-out time, if a greyhound loses weight in excess of three pounds from its weighing-in weight while in the lock-out kennels, the judges shall order the

greyhound scratched unless the official veterinarian certifies that such loss of weight does not impair the racing condition of the greyhound.

(6) If at weighing-in time, there is more than two pounds variation between the weight for a greyhound's present race and the weight at weigh-in time of its last race, the judges shall order the greyhound scratched.

(7) The established racing weight may be changed from time to time on written request of the trainer and by written consent of the judges, providing the change is made four calendar days before the greyhound is allowed to race at the new weight.

(8) All greyhounds having an established weight change of more than one pound must be schooled at least once; or more at the discretion of the judges, at the new established weight before being eligible to start. Greyhounds that have not raced or schooled officially for a period of three weeks will be allowed to establish a new racing weight with the written consent of the judges and may be officially schooled immediately upon receipt of the written consent.

(9) The judges may order a greyhound to be weighed at any time from the time it is entered in a race until post time for that race.

(10) Immediately after being weighed-in, the greyhounds shall be placed in lock-out kennels.

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

ARCI-017-050 Running of the Race

(1) All greyhounds must be exhibited in the paddock before post time of the race in which they are entered.

(2) Muzzles and blankets must be examined in the paddock, during the post parade and before the greyhound is placed in the starting box.

(3) All persons shall be excluded from the race course when the greyhounds leave the paddock with the exception of racing officials and necessary attendants.

(4) All greyhounds must wear an approved muzzle and blanket while racing.

(5) Blinker muzzles must be approved by the judges.

(a) Trainers may seek permission from the judges to equip a greyhound with a blinker muzzle.

(b) All blinkers must be furnished by the trainer and must be firmly attached to the racing muzzle without the use of glue, tape or wire. Each blinker muzzle employed is subject to the approval of the judges.

(c) All blinkers must be black or brown in color and made of leather material or hard plastic.

(d) Greyhounds approved and outfitted with blinker muzzles must wear that equipment for every race they participate in.

(e) Trainers may seek the approval of the judges to withdraw use of a blinker muzzle.

(6) In case of mechanical failure with the starting box, the greyhounds shall be removed from the starting box. The judges shall determine whether the race will be declared a no race or will be run after the malfunction is repaired.

(7) If a greyhound is left in or refuses to leave the box when the doors of the starting box open at the start, it shall be considered a starter.

(8) The judges shall observe the operation of the lure to ensure consistency of its operation.

(9) If it appears that a greyhound may interfere with the running of the race because of failure to leave the box, because of an accident or for any other reason, any attendant stationed around the course may remove the greyhound from the course. The greyhound shall be considered a starter.

(10) If a greyhound leaves the course, it shall be disqualified. However, the greyhound shall be considered a starter.

(11) If a greyhound leaves the course, or runs in the opposite direction during the running of the race, and in so doing, the greyhound, in the opinion of the judges, interfered with any other greyhound in the race, the judges shall declare it no race, except when, in the opinion of the judges, said interference clearly did not interfere with the outcome of the race.

(12) No race shall be declared official unless the lure is in advance of the greyhounds at all times during the race. If at any time during the race, any greyhound catches or passes the lure, the judges shall declare it no race.

(13) If a race is marred by jams, spills or racing circumstances other than accident to the machinery while a race is being run, and three or more greyhounds finish, the judges shall declare the race finished; but if less than three greyhounds finish, the judges shall declare it no race and all monies shall be refunded.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 4.5 to 4.6 ARCI Board 7/31/09 Amended blinker language

ARCI-017-055 Dead Heats

(1) When greyhounds run a dead heat for first place, all monies and prizes for first and second place which such greyhounds would have been entitled shall be divided equally between them. Each greyhound shall be deemed a winner.

(2) Likewise, when greyhounds run a dead heat for second place, they shall divide the second and third monies.

(3) When greyhounds run a dead heat for third place, they shall divide the third and fourth monies.

(4) When greyhounds run a dead heat for fourth place or lower, for which a purse is paid, they shall divide the total purses due those finishing positions in the same manner as above.

(5) If the dividing owners cannot agree as to which of them is to receive the prize which cannot be divided, the question shall be determined by lot or drawing in the presence of one or more of the judges.

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

ARCI-017-060 Objections

(1) All objections must be made to the judges in writing, signed by the objector and a copy thereof sent immediately to the Commission. The right of due process of law shall be administered to all parties involved in objections.

(2) Permission of the judges is necessary before an objection can be withdrawn.

(3) It is a violation to file a frivolous objection or an objection without foundation.

(4) Objections shall be filed with the judges within 48 hours from the time the race is run in which the greyhound that occasioned the objection participated. From every decision an appeal in writing may be made to the Commission within 48 hours of the time the objector has been officially informed of said the decision.

(5) Objections pertaining to a greyhound engaged in a race may be made by the kennel operator or trainer of some other greyhound engaged in the same race.

(6) Objection to any decision of the clerk of scales shall be made before the greyhounds leave the paddock for the start of the race.

(7) Pending a decision on the objection, any prize or money shall be withheld until the objection is determined.

(8) In all cases of fraud or willful deception, the time limitation shall not apply; provided the judges are satisfied that the allegations are bona-fide.

(9) If an objection is declared valid, the judges shall determine the new order of finish and the redistribution of all purse monies. The judges' decision shall not affect the pari-mutuel payout.

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

ARCI-017-065 Purses

(1) None of the minimum purse shall be withheld for any purpose, other than amounts approved by the Commission.

(2) Purses shall be paid directly to the owner of a greyhound or, if a greyhound is leased, the purse shall be paid directly to the lessor and lessee as agreed to in a written lease agreement on file with the association. However, the Commission may approve an alternative method of purse payment.

(3) Purse payments shall include a report showing how the purse amount due for each greyhound was calculated, including weekly and meeting kennel standings (based on wins), along with a weekly calculation of money earned by the kennel.

(4) Purse payments shall be distributed on a point basis, unless an alternative method is approved by the Commission.

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

GREYHOUND WELFARE, HEALTH & MEDICATION - CHAPTER 18

ARCI-018-005 Purpose

The purpose of this chapter is to ensure that greyhounds participating in races in this jurisdiction shall be treated humanely.

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

ARCI-018-010 Female Greyhound Considerations

(1) Female greyhounds in season are not permitted on the race course.
(2) Females coming in season during the race meeting shall not be accepted for entry within 30 days from the date of coming in season.
(3) Females in milk are not eligible to school or to race.
(4) Females in season must be reported to the judges and the veterinarian. Owners and trainers failing to report this condition promptly shall be fined and/or suspended.

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

ARCI-018-015 General Care of Greyhounds

(1) All greyhounds shall be properly cared for on a daily basis. This includes physically inspecting the greyhounds for sores, cuts, abrasions, muzzle burns, fleas and ticks and providing adequate feed.
(2) Greyhounds shall be provided with clean, fresh water in runs/exercise areas and turn-out pens at all times.
(3) All food and water dishes shall be free of foreign substances.
(4) Greyhounds shall be reasonably free of fleas and ticks. Care shall be taken to ensure that the greyhounds do not ingest chemicals used to control fleas and ticks.
(5) Sick, diseased or injured greyhounds shall be provided with proper veterinary care.
(6) Dropping buckets shall have lids in place except while in use and shall be stored in an area removed from kennel housing and runs.
(7) Muzzles used shall be lightweight, plastic or padded wire type. Worn, broken or rusted muzzles are prohibited.
(8) All greyhounds shall be vaccinated annually against common canine diseases such as parvo, rabies, distemper, hepatitis, adenovirus type 2, parainfluenza and Leptospira. Current records shall be kept and available for review by the Commission or its designee.

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

ARCI-018-020 Medications and Drugs

(1) A person shall not administer or apply or cause to be administered or applied any unauthorized medication to any greyhound participating in a race.
(2) Urine, blood and other specimens from greyhounds shall be taken and tested as the judges of the race meeting or the Commission's representatives may designate. Such tests shall be under the supervision of the Commission. The specimens shall be

collected by the veterinarian or such other person as the Commission may designate.

(3) If the judges find that any foreign substance has been administered internally or externally, to a greyhound before a race, the judges shall impose a sanction they deem proper under any of the rules, including reference to the Commission, against every owner and/or lessee and/or trainer responsible for the proper care and protection of the greyhounds involved and against every person found by them to have administered or have attempted to administer or have caused an attempt to administer or to have conspired with another person to administer such foreign substance.

(4) Foreign substances which are shown to come through the food chain may have a tolerance level set for the substance by the Commission.

(5) The kennel operator, trainer, lead-out or any other person having charge, custody or care of the greyhound is obligated to protect the greyhound properly and guard it against such administration or attempted administration, and if the judges find that any person has failed to show proper protection and guarding of the greyhound, or if the judges find that any kennel operator and/or lessee and/or trainer is guilty of negligence with respect thereto, they shall impose a sanction they deem proper under any of the rules including reference to the Commission.

(6) The owner and/or lessee of the greyhound so found to have received administration shall be denied or shall promptly return any portion of the purse or stakes together with any trophy in such race and the same shall be distributed as in the case of a disqualification. If a greyhound is disqualified in a race because of this rule the eligibility of other greyhounds which ran in the race and which have started in a subsequent race before announcement of the disqualification shall not be affected.

(7) The kennel operator, trainer or authorized representative shall be present in the testing area when a post race urine or other specimen is taken from his/her greyhound and shall remain until the sample tag is signed by the kennel operator, trainer or authorized representative as witness to the taking of the specimen.

(8) The Commission may determine that pre-race testing or sampling is required. If this type of testing or sampling is instituted, the requirements of section 7 of this rule shall not be in effect.

(9) Refusal to allow the taking of any specimen or refusal to sign the specimen tag to the taking of a specimen, or any act or threat to impede, prevent or otherwise interfere with shall be reported to the judges.

(10) The representative of the Commission may take for analysis samples of any medicine or other materials suspected of containing improper medications or drugs which could affect the racing conditions of a greyhound in a race.

(11) Any portion of the purse shall be redistributed as ordered by the judges in accordance with the provisions of this section. This rule shall apply only to the amount payable to the owner or owners of the disqualified greyhound and shall not prevent payment due to other greyhounds in the race.

(12) Every kennel operator, trainer or authorized agent shall immediately, whenever requested by the judges, submit any greyhound under his/her authority to any veterinarian designated by the judges for such examination or tests as the veterinarian may deem advisable.

(13) Any test or examination made by the veterinarian designated by the judges may be witnessed by the judges or their representatives, the kennel operator, his/her authorized agent or the trainer of the greyhounds so examined or tested.

(14) No person except a licensed veterinarian shall have in his/her possession within any racetrack enclosures any hypodermic syringe or needle or any instrument capable of administering a medication, foreign substance or injectable. Persons in possession of hypodermic syringes and/or needles for personal medical use shall file written notification of their medical condition with the board of judges.

(15) The Commission may authorize a designee to enter into or upon the buildings, rooms or other places within the association grounds to examine the same and to inspect and examine the personal property and effects of any person. Licensees consent to the search and seizure of prohibited substances or articles.

(16) Any usage of anabolic steroids involving racing greyhounds is prohibited, except that the administration of oral, or as otherwise prescribed by a licensed veterinarian, testosterone shall be permitted for the control of estrus in female racing greyhounds provided it is validly prescribed and properly labeled.

(17) The Commission may conduct pre-race and post-race testing to determine whether a prohibited substance was present in a race animal.

(18) The Commission's rules further provide that the licensed trainer of an animal is:

(a) Considered by law to be the absolute insurer that no prohibited substance has been administered to the animal; and

(b) Is responsible for ensuring that no prohibited substance is administered to the animal.

(19) A prohibited drug, chemical, or other substance includes:

(a) Any stimulants, depressants, tranquilizers, local anesthetics, drugs, [or] other drug metabolites which could affect the health or performance of a race animal, however minimal, except as expressly permitted by this chapter;

(b) A drug permitted by this chapter in excess of the maximum or other restrictions in this chapter; and

(c) A drug or substance, regardless of how harmless or innocuous it might be, which interferes with the detection of stimulants, depressants, tranquilizers, local anesthetics, drugs, or drug metabolites which could affect the health or performance of a race animal, however minimal, or quantitation of drugs permitted by this chapter.

(20) **CLASSIFICATION SYSTEM**: (The classification of substances is based largely on the Uniform Classification Guidelines for Foreign Substances issued by the Association of Racing Commissioners International. The classification of a given

substance is based on several factors, including the substance's pharmacology, its ability to influence the outcome of a race, whether or not it has a legitimate therapeutic use, or other evidence that it may be used improperly.

a. **Pharmacology**. Substances that are known to be potent stimulants or depressants are placed in higher classes, while those that have or would be expected to have little effect on the outcome of a race are placed in lower classes.

b. **Use Patterns.** Consideration is given to placement of substances based on practical experience with their use and the nature of positive tests. For example, procaine positives have in the past been associated primarily with the administration of procaine penicillin, and this has been taken into consideration in the placement of procaine into Class 6 instead of Class 3 with other injectable local anesthetics.

c. **Appropriateness of Use**. Substances that clearly are intended for use in canine therapeutics are placed in lower classes. Substances that clearly are not intended for use in the greyhound are placed in higher classes, particularly if they might affect the outcome of a race. Substances that are recognized as legitimately useful in canine therapeutics but could affect the outcome of a race are placed in the middle or higher classes.)

(21) **Classification System Class 1**: *Class 1 substances have the highest pharmacologic potential to affect performance and have no generally accepted medical use in racing greyhounds.*

a. Opiates and opium derivatives, synthetic opioids, psychoactive drugs in DEA Schedules I and II, including: Alfentanil, Apomorphine, Carfentanil, Cocaine, Codeine, Etorphine, Fentanil ,Hydromorphone, Levorphanol, Methadone, Morphine, Oxycodone, Oxymorphone, PCP, Sufentanil, Methaqualone.

b. Amphetamines or amphetamine-like drugs in DEA Schedules I and II, including: Amphetamine, Methamphetamine, Methylphenidate

(22) **Class 2** Substances: *Class 2 substances are prominent central nervous system stimulants in the lesser DEA Schedules.*

a. Opiates and opium derivatives with accepted medical use but not listed solely as Schedule I or II drugs, including: Buprenorphine, Meperidine, Nalophine, Pentazocine, Racemorphan, Racemethorphan, Valium, Chloral hydrate, Droperidol, Meprobromate, Methohexital.

b. Stimulants in lesser DEA schedules, including: Benzphetamine, Diethylproprion Mazindol, Pemoline.

(23) **Class 3 Substances**: *Class 3 substances are non-scheduled drugs that have no generally accepted therapeutic use in racing greyhounds, drugs that could alter performance in a normal, healthy untreated racing greyhound, drugs that have a high potential for abuse as local anesthetics, and potent diuretics with potential for diluting a urine specimen.*

a. Non-scheduled opiates including: Nalbuphine
b. Narcotic analgesics in lesser DEA schedules, including: Butorphanol
c. Local anesthetics with high potential for abuse as nerve-blocking agents, including: Mepivicaine, Tetracaine, Xylocaine.
d. Sympathomimetics and other central nervous system stimulants unlikely to be picked up through the food chain, including: Aminophylline, Dopram, Ephedrine, Metaraminol, Phenylpropanolamine, Theophylline, Wyamine sulfate.
e. Non-scheduled central nervous system depressants and tranquilizers including: Acepromazine, Azaparone, Chlorpromazine, Detomidine, Fluphenazine, Ketamine, Promazine, Propiopromazine, Reserpine.
f. Diuretics likely to significantly dilute a urine specimen including: Bumetanid, Ethacrynic acid, Furosemide.

(24) **Class 4**: *Class 4 substances are non-scheduled drugs with cardiac or respiratory effects, mild sedatives, steroidal anti-inflammatory drugs with short withdrawal times indicating race day administration.*

a. Autonomic nervous system drugs with primarily cardiac or respiratory systems, including: Albuterol, Atropine, Epinephrine, Metaproteranol, Norepinephrine, Phenoxybenzamine, Phenylphrine, Propranolol, Terbutaline.
b. Local anesthetics with less potential for use as nerve blocking agents, including: Ethylaminobenzoate.
c. Antihistamines with mild sedative properties, including: Diphenhydramine, Doxylamine, Promethazine.
d. Corticosteroids with short withdrawal times indicating race day administration, including: Betamethasone, Dexamethasone, Prednisolone.
e. Sympathomimetics and other central nervous system stimulants with some likelihood of appearing through the food chain, including: Caffeine, Theobromine.
f. Depressants with some likelihood of appearing through the food chain, including: Barbiturates.

(25) **Class 5**: *Class 5 substances are therapeutic medications routinely used to restore the health of an ailing greyhound.*

a. Anti-inflammatory drugs, including: Salicylate, Phenylbutazone, Flunixin, Ibuprofen, Naproxen, Tiaprofenic acid, Zomepriac, Feldene, Dipyrone.
b. Mild diuretics not traditionally used as diluting agents which are likely to be found in combination with other medication in an anti-inflammatory product, including: Trichloromethiazide.
c. Autonomic nervous system drugs without central nervous system, cardiac, or respiratory effects, including: Bethanecol, Ergonovine, Ergotamine, Glycopyrrolate, Propantheline

d. Antihistamines without central nervous system depressant effects, including: Chlorpheniramine, Cimetidine, Pyrilamine ,Tripelannamine.

e. Skeletal muscle relaxants, including: Dantrolene, Guaifenasin, Methocarbamol, Nefopam, Orphenadine.

f. Expectorants or stomachics, including: Camphor, Dextromethorphan, Metoclopramide.

g. Peroxide scavengers or mild anti-inflammatory carry agents, including: DMSO, Cardiac glycosides or antiarrhythmics, including: Digoxin, Procainamide, Quinidine, Verapamill.

(26) **Class 6**: *Class 6 substances are local anesthetics likely to produce urinary levels due to factors other than use as a nerve blocking agent.*

a. Procaine

b. Substances are likely to interfere with testing procedures, including: Sulfa drugs, Polyethylene glycol, Mebendazole, Fenbendazole.

(27) **PENALTY DETERMINATIONS**

a. When determining the amount of a penalty, the judges should consider what penalty would best punish the violator for the harm caused by the violation and deter future similar violations by the violator and other licensees.

b. The judges should avoid blindly assessing "consistent" penalties without regard to the specifics of each case. Each violation must be reviewed according to the individual circumstances of the case. The Commission intends for the Board of Judges to use the qualifications, experience, and collective wisdom of its members to act as an adjudicatory body when considering violations of the Rules. To ensure due process for the affected licensees, every violation must be judged on the evidence presented to the judges, with the judges weighing the evidence and the credibility of the witnesses.

(28) **Mitigating/Aggravating Circumstances**

a. Because the facts of each case will vary, an exhaustive list of mitigating or aggravating circumstances is not practical. Generally, mitigating or aggravating circumstances must be shown by persuasive, credible evidence that the circumstances were actually present in the instant case, not mere speculation that the circumstances could have been present. An example of mitigating circumstances is when the trainer presents credible evidence that another individual actually caused the greyhound to race with a prohibited substance in its system. An example of aggravating circumstances is when the staff or other party to the proceeding presents credible evidence that the trainer administered a prohibited substance or

permitted a prohibited substance to be administered despite warnings that the administration of the substance would likely result in a positive test.

b. The amount of the substance in a sample should not be considered a mitigating or aggravating factor. The definition of a prohibited substance adopted by the Commission establishes a zero-tolerance standard. In other words, the presence in a post-race sample of any amount of a prohibited drug, chemical, or other substance is a per se violation of the Commission's rules.

(29) **PENALTY RECOMMENDATIONS**

a. The following recommended penalties should be followed in all cases in the absence of persuasive, credible evidence of mitigating circumstances justifying a lesser penalty or aggravating circumstances justifying an enhanced penalty.

b. The recommended penalties for medication violations offer a range of penalties, including fines, suspension, and loss of purse. By offering a range of penalty, it is the intent of the Commission that for a first violation involving a particular substance, the penalty would be at the lower end of the range, absent mitigating or aggravating circumstances.

c. Conversely, for a subsequent violation for a particular substance, the penalty would be at the higher end of the range. The penalty should be enhanced for subsequent violations regardless of when the subsequent violations occur with respect to the first violation.

d. Because a licensee's compliance history with respect to a particular substance is incorporated into the recommended penalties, the licensee's overall compliance history should not be considered a mitigating circumstance.

(30) In all cases, however, the judges have the discretion to impose the penalty that best accomplishes the Commission's enforcement goals:

a. To protect the health and safety of the participants in racing, including licensees, patrons, and race animals.

b. To ensure pari-mutuel racing is conducted honestly and fairly.

(31) **VIOLATIONS INVOLVING POSITIVE TESTS**

(a) **Recommended Penalty for any drug or medication that:**

- Is not approved for veterinary use in the United States by the Food and Drug Administration;
- Cannot be detected by the Commission laboratory in a urine or blood sample unless the medication was administered within 24 hours of the race; or
- Is detected in urine or blood concentrations that include a level of dosage that would constitute a threat to the health and safety of the greyhound.

i. First Violation: $1,000 to $2,500 fine and/or up to one year suspension or revocation of license.

ii. Any Subsequent Violations: $2,500 to $5,000 fine and revocation of license. iii. Additionally, the Judges shall order a redistribution of the purse money.

b. **Class I impermissible substances:**

i. First violation $500 to $1,000 fine and/or up to one-year suspension or revocation of license.

ii. Any subsequent violation: $1,000 to $5,000 fine and Minimum one-year suspension or revocation of license.

iii. Absent mitigating circumstances, the Judges shall order a redistribution of the purse money.

c. **Class II impermissible substances:**

i. First violation: $100 to $1,000 fine and/or Up to 30 days suspension;

ii. Second violation within 36 months of a previous violation: $250 to $1,000 fine and minimum 30 days suspension or revocation of license;

iii. Third violation within 36 months of a second violation, or a fourth or any subsequent violation without regard of the time passed since a third violation: $500 to $1,000 fine and minimum of 60 days suspension; Or revocation of license. iv. Absent mitigating circumstances, the Judges shall order a redistribution of the purse money.

d. **Class III impermissible substances:**

i. First violation: $50 to $100 fine; ii. Second violation within 12 months: $100 to $750 fine, up to 30day suspension; iii. Third violation within 24 months of a second violation or a fourth or any subsequent violation without regard of the time passed since a third violation: $250 to $1,000 fine, up to 60-day suspension.

iv. Absent mitigating circumstances, the Judges shall order a redistribution of the purse money.

e. **Class IV or V impermissible substances:**

i. First violation: $50 to $250 fine ii. Second violation in a 12-month period: $100 to $500 fine iii. Third or subsequent violation in a 12-month period: $200 to $1,000 fine and up to 30-days suspension

f. **Class VI impermissible substances:**

i. First violation: $25 fine ii. Second violation in a 12-month period: $50 fine iii. Third or subsequent violation in a 12-month period: $50 to $100 fine

(32) **Violations Involving Contraband**

a. **Unauthorized possession of substance in Class I, II, or III:** One-half of the recommended penalty for medication violation for the applicable class of substance
b. **Unauthorized possession of substance in other class found in a location indicating high probability of intended use on association grounds (i.e. kennel, loaded syringe):** One-half of the recommended penalty above for the applicable class of substance
c. **Unauthorized possession of substance in other class found in a location indicating low probability of intended use on association grounds (i.e. inadvertently left in vehicle when entering kennel area):** Written warning or a fine, at the discretion of the Judges.
d. **Unauthorized possession of controlled substance not included in classification primarily used by humans:** Fine or suspension, at the discretion of the Judges
e. **Possession of unloaded syringe with needle capable of giving injections:** Fine or suspension, at the discretion of the Judges.
f. **Possession of syringe loaded with prohibited substance:** One-half of the recommended penalty for a medication violation for the applicable class of substance.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 4.5 to 4.6 ARCI Board 7/31/09: amended added anabolic steroid language
Version 8.1 to 8.2, ARCI Board of Directors, 12/8/2017 amended ARCI-018-020 (16) (added "estrus control language")

ARCI-018-025 Euthanasia

(1) Licensed veterinarians subject to the jurisdiction of the Commission shall only use a lethal injection of barbiturates to euthanize a greyhound. This action will only be permitted in the event of a catastrophic injury or medical condition/illness.
(2) Only a licensed veterinarian shall administer such barbiturates.
(3) Such barbiturates shall be administered in a manner sufficient to ensure that the animal feels no pain or discomfort.
(4) Violation of this rule shall subject the violator to the penalties prescribed by the Commission.
(5) The commission veterinarian should conduct a postmortem examination on every greyhound to determine the injury or sickness which resulted in the euthanasia or death if:
   (a) A greyhound suffers a breakdown on the racetrack; or
   (b) A greyhound expires while kenneled on facility premises

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

4.5 to 4.6 ARCI Board 7/31/09 Amended

ARCI-018-039 Transportation of Greyhounds

(1) When transported within the state or jurisdiction, all greyhounds shall be hauled in crates designated for the sole purpose of transporting greyhounds. These crates shall be a minimum of two feet wide, three feet long and 34 inches high.

(2) When transporting racing greyhounds to and from the racetrack, there shall be allowed a maximum of two greyhounds per crate, provided that there is enough space for each greyhound to comfortably turn about, sit, lie and stand erect. When otherwise transporting greyhounds within the state or jurisdiction, there shall be allowed only two greyhounds per crate, provided that there is enough space for each greyhound to comfortably turn about, sit, lie and stand erect.

(3) The crates shall be of sound construction and maintained in good repair to ensure that the health and safety of the greyhounds are not endangered.

(4) Floors and lower sides of the crates shall be constructed or shall be covered on the inner surfaces to contain excreta and bedding materials.

(5) The crates shall be cleaned and sanitized at least daily, or more frequently as may be necessary in order to maintain a sanitary environment for the greyhounds.

(6) Hauling vehicles shall provide ventilation that reaches each greyhound by means of windows, vents, air conditioner or evaporative cooling system. Air conditioning, or evaporative cooling devices in good working order shall be provided when the atmospheric temperature is above _____ degrees Fahrenheit to provide comfort to the greyhounds during transport. Heat, insulation or bedding adequate to provide warmth shall be provided when the atmospheric temperature is below _____ degrees Fahrenheit.

(7) Greyhounds in hauling vehicles shall be inspected at least once in each four-hour period and their needs attended to immediately. Water shall be provided at each four-hour interval check.

(8) Racing kennels, breeding farms or other operations that receive greyhounds transported from out-of-state locations shall maintain a log. The log shall include:

(a) Greyhound names, if applicable;

(b) Left and right ear tattoo numbers;

(c) Name of owner/lessees;

(d) Date of shipping/receiving;

(e) Purpose (breeding, racing, training);

(f) Name of hauling company and driver.

(9) Newly arriving greyhounds shall be immediately given a physical evaluation by the owner or trainer of the kennel. Included in this evaluation shall be:

(a) Checking for ticks and fleas;

(b) The greyhounds general health;

(c) The greyhound's health certificate and vaccination record.

If necessary, the administration of any proper treatment shall be carried out within a reasonable period to ensure the health and safety of the greyhound.

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

HARNESS DEFINITIONS – CHAPTER 19

ARCI-019-005 Purpose

To provide definition for commonly used terms in the rules. These definitions are used throughout the harness racing rules adopted by the Commission.

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

ARCI-019-010 Terms

(1) **Added Money Event** includes stakes, futurities, early closing races, and late closing races as further defined in these rules.

(2) **Advertised Purse** is that amount offered for an event by the track member, sponsor, or presenter and does not include nomination, sustaining, or starting fees.

(3) **Age** of a horse shall be reckoned from the first day of January of the year of foaling.

(4) **Also Eligible** pertains to a horse, properly declared, which was not drawn for inclusion in a race, but which became eligible according to preference or lot if an entry is scratched prior to the release time.

(5) **Appeal** is a request for the Commission or its designee to review a decision or ruling of the judges.

(6) **Association Grounds** is all real property utilized by the association in the conduct of its race meeting, including the racetrack, grandstand, concession stands, offices, barns, stable area, employee housing facilities and parking lots and any other areas under the jurisdiction of the Commission.

(7) **Authorized Agent** is a person licensed by the Commission and appointed by a written instrument, signed and acknowledged before a notary public or commissioner for oath by the owner on whose behalf the agent will act.

(8) **Betting Interest** is one or more horses in a pari-mutuel contest which are identified by a separate program number for wagering purposes.

(9) **Break** is the racing of a horse at other than the gait designated by the conditions of and the declaration to a race.

(10) **Bleeder** is a horse which has demonstrated external evidence of exercise induced pulmonary hemorrhage.

(11) **Bleeder List** is a tabulation of all bleeders to be maintained by the Commission.

(12) **Breeder** is the owner or lessee of the horse's dam at the time of breeding.

(13) **Claiming Race** is a race in which a horse may be claimed in conformance with the rules.

(14) **Classified Race** is a race in which entries are selected by the racing secretary on the basis of ability and/or past performance.

(15) **Conditioned Race** is an overnight race to which eligibility is determined according to specified conditions which include age, sex, earnings, number of starts, and position of finishes.

(16) **Conditions** are qualifications which determine a horse's eligibility to be declared in a race.

(17) **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").

(18) **Dead Heat** is the finish of a race in which the noses of two or more horses reach the finish line at the same time.

(19) **Declaration** is the naming of a particular horse as a starter in a particular race.

(20) **Distanced** means that a horse finishes more than 25 lengths behind the winning horse.

(21) **Draw** is 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.

(22) **Driver** is a person who is licensed by the Commission to drive in a race.

(23) **Early Closing Event** is a race to which nominations close at least six weeks preceding the date of the race. All monies offered for the race by a track or sponsor shall be in addition to all nomination, sustaining, and starting payments to determine the purse. All payments are forfeits.

(24) **Elimination Heats** are the individual heats of a race in which the contestants must qualify for a final heat.

(25) **Entry** includes:

(a) a horse eligible for and declared in a race; or

(b) two or more horses, declared in the same, race, which have common ties of ownership, lease, training, or driving (see **Coupled Entry**).

(26) **Exhibition Race** is a race on which no wagering is permitted.

(27) **Exercise Driver** is a person who is licensed by the Commission to exercise horses.

(28) **Foreign Substance** is any substance, except those which exist naturally in the untreated horse at normal physiological concentration, and shall include all narcotics, stimulants, depressants or other drugs or medications of any type.

(29) **Forfeit** is:

(a) money paid into a race which is non-refundable: or,

(b) due from a licensee because of error, fault, neglect of duty, breach of contract or a penalty imposed by the judges or Commission.

(30) **Furosemide List** means a tabulation of all horses eligible to participate in a race with furosemide in its system.

(31) **Handicap** is a race in which performance, claiming price, sex or distance allowance is made. Post positions for a handicap may be assigned by the racing secretary. Post positions in handicap claiming races shall be determined by claiming price prior to application of allowances.

(32) **Horse** is any equine (including and designated as a mare, filly, stallion, colt, spayed mare, ridgling or gelding) registered for racing; specifically, an entire male 5 years of age and older.

(33) **In Harness** when a race is made to go "in harness" it shall be construed to mean that the performance while hooked to a sulky as described in these definitions.

(34) **Inquiry** is an investigation by the judges in a contest prior to declaring the result of the contest official.

(35) **Judge** is a duly appointed racing official with powers and duties specified by the Act and the rules.

(36) **Late Closing Event** means a race to which nominations close less than six weeks and not less than 3 days or more than five days before the date on which the race is to be contested. All monies offered for the race by a track or sponsor shall be in addition to all nomination, sustaining, and starting payments to determine the purse. All payments are forfeits. Time bars or track qualifying standards shall not be used as conditions for late closing races.

(37) **Length** is equal to one-fifth second as determined by the photo-finish.

(38) **Maiden** is a horse which at the time of starting has never won a heat or a race at the gate at which it is declared to start for which a purse is offered excluding schooling races.

(39) **Maiden Race** is a contest restricted to non-winners at the time of declaration.

(40) **Matinee Race** is a race in which an entrance fee may be charged and where the premiums, if any, are other than money.

(41) **Nerving** means to use drugs, surgery, alcohol, cryogenic techniques, laser therapy, or any other means to affect a temporary or permanent blocking of the nerve(s).

(42) **No Contest** is a race voided for any reason by the judges.

(43) **Nomination** is the naming of a horse to a certain race or series of races generally accompanied by payment of a prescribed fee.

(44) **Nominator** is the person or entity in whose name a horse is nominated for a race or series of races.

(45) **Objection** is a verbal claim of foul in a race lodged by the horse's driver, trainer, owner, or the owner's authorized agent before the race is declared official.

(46) **Off Time** is the moment at which, on the signal of the official starter, the horses are officially dispatched in each contest.

(47) **Official Starter** is the official responsible for dispatching the horses for a race.

(48) **Official Time** is the elapsed time from the moment the first horse crosses the starting point until the first horse crosses the finish line.

(49) **Optional Claiming Race** is a contest restricted to horses entered to be claimed for a stated claiming price and to which have started previously for that 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 in such a race, the race shall be considered a conditioned race.

(50) **Overnight Race** is a contest for which declarations close not more than five days before the date on which it will be contested.

(51) **Owner** is a person who holds any title, right or interest, whole or partial in a horse, including the lessee and lessor of a horse.

(52) **Paddock** is an enclosure in which horses scheduled to compete in a contest are confined prior to racing.

(53) **Pari-Mutuel Wagering** is a form of wagering on the outcome of an event in which all wagers are pooled and held by an association for distribution of the total amount, less the deductions authorized by law, to holders of tickets on the winning horses.

(54) **Post Position** is the pre-assigned position from which a horse starts a race.

(55) **Post Time** is the scheduled starting time for a contest.

(56) **Protest** is a written complaint filed with the judges prior to the running of a race alleging a breach of the rules or conditions that a horse is ineligible to race.

(57) **Purse** is the total dollar amount for which a race is contested.

(58) **Race** is a contest between horses at a licensed race meeting.

(59) **Race meeting** is the specified period and dates each year during which an association is authorized to conduct racing and/or pari-mutuel wagering by approval of the Commission.

(60) **Record** is the fastest time at a mile by a horse in a heat or dash which it won

(61) **Standardbred Canada (SC)** is Canada's national racing body incorporated under the Animal Pedigree Act of Canada responsible to the Federal Ministry of Agriculture Canada. It is the official breed registry for standardbreds which governs registration and identification. As well, Standardbred Canada is the official Canadian central regulatory body for maintaining racing, driver, and training statistics. Licensing of owners, trainers, drivers, grooms, and officials is part of its standard setting mandate.

(62) **Sample** is any body substance including but not limited to blood or urine taken from a horse under the supervision of the regulatory body(ies) for the purpose of analysis.

(63) **Satisfactory Charted Line** is one that meets the qualifying standards at the track at which a horse participates.

(64) **Scoring** is the preliminary practice given to horses after the post parade and prior to being called to line up for the start of a race by the official starter.

(65) **Scratch** is the act of withdrawing a declared horse from a contest after the closing of declarations.

(66) **Stable Name** is a name used other than the actual legal name of an owner or lessee and registered with the United States Trotting Association (USTA), or Standardbred Canada (SC), and the Commission.

(67) **Stake or Stakes Race** is a race which will be contested in a year subsequent to its closing in which all monies given by the sponsor and/or track member conducting

same is added to all nomination, sustaining, and starting payments to determine the purse.

(68) **Starter** is a horse which becomes an actual contestant in a race when the horse has passed the fair start pole and the official starter has started the race, unless otherwise determined by the judges.

(69) **Sulky** is a dual wheel racing vehicle with dual shafts not exceeding the height of the horse's withers. Shafts must be hooked separately on each side.

(70) **Sweepstakes** means a stakes race.

(71) **Two in Three Race** is a race in which a horse must win two heats to be entitled to first place money.

(72) **United States Trotting Association (USTA)** is the recognized breed registry in the United States of Standardbred Horses.

(73) **Walkover** is 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.

(74) **Winner** is the horse whose nose reaches the finish line first or is placed first through disqualification by the judges.

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: Amended new rule language Version
2.0 to 3.1: Amended and modified rule language

Harness Racing Officials - Chapter 20

ARCI-020-005 Purpose

To define the duties and responsibilities of harness racing officials

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

ARCI-020-010 General Provisions

A. Racing Officials

Officials at a race meeting include the following:

(1) board of judges;

(2) racing secretary;

(3) paddock judge;

(4) horse identifier;

(5) clerk of the course;

(6) starter;

(7) charter;

(8) timer;

(9) patrol judge;

(10) official veterinarian;

(11) racing veterinarian; and

(12) any other person designated by the Commission.

B. Eligibility

To qualify as a racing official the appointee must be licensed by the Commission after a determination that the person:

(1) is of good moral character and reputation;

(2) is experienced in and/or knowledgeable of harness racing;

(3) is familiar with the duties to which the person is appointed and with the Commission's rules of harness racing;

(4) possesses the mental and physical capacity to perform that person’s duties; and is not under suspension or ejection by the USTA, the SC, or any racing jurisdiction.

C. Approval and Licensing

The Commission, 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

Racing officials and their assistants shall not engage in any of the following activities while serving in an official capacity at a race meeting:

(1) participate in the sale or purchase, or own any horse at the race meeting;

(2) sell or solicit horse insurance on any horse racing at the race meeting;

(3) be licensed in any other capacity without permission of the Commission;

(4) wager on the outcome of any live or simulcast race; or

(5) refuse to take a breath analyzer test or submit to a blood or urine sample when directed by the Commission or its designee.

E. Report of Violations

Racing official and their assistants shall report immediately to the judges every observed perceived 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 judges 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 judges, they shall conduct an immediate investigation.

G. Complaints Against Officials

Any complaint against a racing official other than a judge shall be made to the judges in writing and signed by the complainant. All such complaints shall be reported to the Commission by the judges, together with a report of the action taken or the recommendation of the judges. Complaints against any judge shall be made in writing to the Commission and signed by the complainant.

H. Appointment

(1) A person shall not be appointed to more than one racing official position at a race meeting unless specifically approved by the Commission.

(2) The Commission shall appoint or approve the judges at each harness race meeting.

I. Appointment of Substitute Officials

Where a vacancy exists among racing officials, the judges shall appoint a person to fill the vacancy immediately. Such appointment shall be effective until the vacancy is filled in accordance with these rules. In addition, the judges have the authority to approve temporary, emergency appointments.

J. Appointment of Substitute Judge

Should any judge be absent at race time, the remaining judge(s) shall appoint a deputy for the absent judge(s). If a deputy judge is appointed, the Commission shall be notified immediately by the judges.

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

Version 4.9 to 5.0 ARCI Board 12/9/11: Added language Observations and Notifications

ARCI-020-015 JUDGES

A. Accreditation

To qualify for appointment as a judge, the appointee shall meet the experience, education and examination requirements necessary to be accredited by an entity designated by the Association of Racing Commissioners International, or licensed by the USTA as a judge.

B. General Authority

(1) The judges for each race meeting shall be responsible to the Commission for the conduct of the race meeting in accordance with the laws of this jurisdiction and these rules.

(2) The judges shall enforce these rules and the racing laws of this jurisdiction.

(3) The judges' authority includes supervision of all racing officials, track management, licensed personnel, other persons responsible for the conduct of racing and patrons, as necessary to ensure compliance with these rules.

(4) The judges 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 judges have the authority to interpret the rules and to decide all questions of racing not specifically covered by the rules.

(6) The judges may postpone or cancel races in the event of unfavorable weather or other unavoidable cause.

C. Period of Authority

The judges' period of authority shall commence ___ days prior to the beginning of each race meeting and shall terminate with completion of their official business.

D. Disciplinary Action

(1) The judges shall take notice of alleged misconduct or rule violations and initiate investigations into the matters.

(2) The judges 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 judges may compel the attendance of witnesses and the submission of documents or potential evidence related to any investigation or hearing.

(4) The judges may at any time inspect license documents, registration papers and other documents related to racing.

(5) The judges have the power to administer oaths and examine witnesses.

(6) The judges shall consult with the official veterinarian to determine the nature and seriousness of a laboratory finding or an alleged medication violation.

(7) The judges may impose, but are not limited to, any of the following penalties on a licensee for an attempt to violate or a violation of these rules:
   (a) issue a reprimand;
   (b) assess a fine;
   (c) require forfeiture or redistribution of purse or award, when specified by applicable rules;
   (d) place a licensee on probation;
   (e) suspend a license or racing privileges;
   (f) revoke or cancel a license;
   (g) exclude from grounds under the jurisdiction of the Commission; or any relief deemed appropriate.

(8) The judges may suspend a horse from participation in racing.

(9) The judges may suspend a license for not more than (___) per violation; or they may impose a fine in accordance with the applicable statute for each violation; or they may suspend and fine; or they may order that a person be ineligible for licensing.

(10) The judges shall submit a written report to the Commission of every inquiry and hearing.

(11) A judges' ruling shall not prevent the Commission from imposing a lesser or more severe penalty.

(12) The judges may refer any matter to the Commission and may include recommendations for disposition. The absence of a judges' referral shall not preclude Commission action in any matter.

(13) Purses, prizes, awards, and trophies shall be redistributed if the judges or Commission order a change in the official order of finish.

(14) All fines imposed by the judges shall be paid to the Commission within ___after the ruling is issued, unless otherwise ordered.

E. Protests, Objections and Complaints

The judges 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 judges shall file daily with the Commission a copy of each protest, objection or complaint and any related ruling.

F. Judges' Presence

A board of judges shall be present in the judges' stand 15 minutes before the first race and remain in the stand at all times when the on-site medical team is on premises, in place, and ready to provide medical assistance.

G. Order of Finish for Pari-Mutuel Wagering

(1) The judges shall determine the official order of finish for each race in accordance with the rules of the race (Chapter 24).

(2) The decision of the judges as to the official order of finish, including the disqualification of a horse or horses as a result of any event occurring during the contesting of the race, shall be final for purposes of distribution of the pari-mutuel wagering pool.

H. Records and Reports

(1) The judges shall prepare a daily report, on a form approved by the Commission, 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, claims, inquiries, and objections and any unusual circumstances or conditions. The report shall be signed by each judge and be filed with the Commission not later than ___ hours after the end of each race day.

(2) The presiding judge shall maintain a detailed log of the judges' official activities. The log shall describe all questions, disputes, protests, complaints or objections brought to the attention of the judges and all interviews, investigations and rulings made by the judges. The log shall be available at all times for inspection by the Commission or its designee.

(3) Not later than seven days after the last day of a race meeting, the presiding judge shall submit to the Commission a written report regarding the race meeting. The report shall contain:

(a) the judges' 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 improvement by the association or action by the Commission.

(4) The judges shall conduct an investigation of any accidents or incidents to determine the cause thereof, and the judges shall completely fill out an accident/incident report and transmit it to the USTA. Judges shall report to the USTA the details of the incident for each horse involved. In connection with the investigation of an accident, the judges shall have the authority to require any driver or other person involved in the accident to submit to testing for the personal use of alcohol and/or drugs.

Version 13.1 to 14 May 7, 2025 added Subsection 4

I. Judges' List

(1) The judges shall maintain a Judges' List of the horses which are ineligible to be declared in a race.

(2) A horse that is unfit to race because it is dangerous, unmanageable or unable to show a performance to qualify for races at the race meeting, or otherwise unfit to race at the race meeting may be placed on the Judges' List by the presiding judge and declarations and/or entries on the horse shall be refused. The owner or trainer shall be notified of such action and the reason shall be clearly stated. The judges shall post and maintain a current Judges' List in the racing office. When any horse

is placed on the Judges' List, the clerk of the course/field representative shall make an entry on the eligibility certificate of such horse, showing the date the horse was put on the Judges' List, the reason, and the date of removal, if the horse has been removed.

(3) No presiding judge or other official at a fair race meeting shall have the power to remove from the Judges' List and accept as an entry any horse which has been placed on a Judges' List and not subsequently removed therefrom for the reason that the horse is dangerous or an unmanageable horse. Such race meetings may refuse declarations and/or entries on any horse that has been placed on the Judges' List and has not been removed therefrom.

(4) Any horse put on the Judges' List as unmanageable or dangerous must qualify in a satisfactory manner for the judges at least two times.

(5) The judges may put any horse on the Judges' List for performance when such horse shows a reversal of form or does not race near its own capabilities. Such horse shall qualify in a time comparable to its known capabilities from one to three times, at the discretion of the judges, before being declared.

(6) The judges may put any horse on the Judges' List for being noncompetitive or unfit to race at the race meeting.

(7) The judges may place a horse on the Judges' List when there exists a question as to the exact identification, ownership or management of said horse.

(8) A horse which has been placed on the Judges' List because of questions as to the exact identification or ownership of said horse, may be removed from the Judges' List when, in the opinion of the judges, proof of exact identification and/or ownership has been established.

(9) A horse placed on the Judges' List can only be removed from the Judges' List by the judges.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 3.2 to 3.3 ARCI 12/7/05: Amended new rule language
Version 12.1.3 to 13.0 03/14/2024; Amended A Removed ROAP
Version 13.0 to 13.1 08/12/2024 Amended F Added language …15 minutes…

ARCI-020-020 RACING SECRETARY

A. General Authority

The racing secretary is responsible for setting the conditions for each race of the race meeting, supervise the nomination of entries and determining the amounts of purses, and to whom they are due. The racing secretary shall check and verify the eligibility of all horses entered.

B. Eligibility

The racing secretary is responsible for verifying the eligibility of all horses competing at the track or stabled on association grounds.

C. Claiming Authorizations

The racing secretary is responsible for maintaining the claiming authorizations of all declared horses.

D. List of Nerved Horses

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

E. Race Information

The racing secretary shall be familiar with the age, class and competitive ability of all horses racing at the race meeting.

F. Classifications

The racing secretary shall classify horses in accordance with these rules and list horses in the categories in which they qualify.

G. Listing of Horses

The racing secretary shall:

(1) examine all entry forms 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.

(3) provide the listing of horses in the daily program.

H. 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.

I. Conditions

The racing secretary shall establish the conditions and eligibility for entering races and cause them to be published to owners, trainers and the Commission and be posted in the racing secretary's office.

J. Posting of Entries

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

K. Stakes and Added Money Records

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

L. Winnings

(1) 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.

(2) Winnings during the year shall be calculated by the racing secretary from the preceding January 1.

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

ARCI-020-025 PADDOCK JUDGE

A. General Authority

The paddock judge shall be responsible for and not limited to:

(1) ensuring that the horses are on the racetrack for post parades in accordance with the schedule issued by the judges;

(2) inspection of horses for changes of equipment, broken or faulty equipment, proper saddle pads, and head numbers;

(3) supervision of paddock gate operators;

(4) proper check-in and check-out of horses and drivers; direction of the activities of the paddock horseshoer; and

(5) ensuring that only properly authorized persons are permitted in the paddock.

B. Report to the Judges

The paddock judge shall:

(1) notify the judges of anything that could in any way change, delay or otherwise

(2) affect the racing program; and report to the judges any observed cruelty to a horse; and

(3) any other perceived violations of these rules.

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

ARCI-020-028 HORSE IDENTIFIER

A. General Authority

The horse identifier shall be present for each race. The horse identifier shall inspect each horse prior to its departure from the paddock to the post to confirm the horse's proper identity by checking the horse's tattoo number, color and markings, and freeze brand if applicable.

B. Report Violations

The horse identifier shall report to the judges any horse not properly identified in conformity with these rules.

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

ARCI-020-030 CLERK OF THE COURSE/FIELD REPRESENTATIVE

General Authority

The clerk of the course/field representative shall be responsible for verifying the eligibility records provided by the USTA/SC and recording therein all required information and:

(1) names and addresses of owners, trainers, and drivers;

(2) the standard symbols for medications, where applicable;

(3) notations of placings, disqualifications and claimed horses;

(4) notations of scratched or barred horses;

(5) provide an eligibility record to the horse's owner or the owner's representative when requested.

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

ARCI-020-035 OFFICIAL STARTER

A. General Authority

(1) No person shall be licensed as a Starter until he/she has successfully completed a written examination and satisfied the Commission that he/she has the necessary qualifications to perform the required duties.

(2) Notwithstanding the provisions of paragraph 1. Of this rule, the Commission may grant Starter licenses restricted to starting horses in matinee races, time performances or meetings not exceeding ten days in duration within a calendar year.

(3) The Starter shall:

(a) Be subject to the supervision of the judges;

(b) Be present in the starting gate at least fifteen minutes before the first race;

(c) Have control over the horses from the formation of the post parade until the field is released at the starting point;

(d) Notify the judges of all violations of the rules, giving detailed information thereof;

(e) Notify drivers charged with violations of starting rules and grant a hearing before any penalties are assessed;

(f) Act as a patrol judge when requested by the judges; and

(g) Submit to a physical and/or eye examination when requested by the Commission.

B. Starter's List

The official starter shall school horses as may be necessary and shall prepare a list of horses not qualified to start, which shall be delivered to the judges and the racing secretary and entered on the Starter’s List. The Starter’s List shall be posted in the racing secretary's office. No horse on the Starter’s List shall be eligible to declare until removed from the List.

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

ARCI-020-040 OFFICIAL CHARTER

General Authority

The official charter is responsible for providing a complete and accurate chart of each race. An accurate chart shall include the following:

(1) horse's name;

(2) driver's name;

(3) date and place of the race;

(4) track size, if other than a half-mile track;

(5) track condition and temperature;

(6) type of race (trot or pace);

(7) classification of race;

(8) distance;

(9) fractional times of the leading horse, including the race time;

(10) post position, position at the 1/4-mile, the1/2-mile and the 3/4-mile poles and at the head of the stretch with lengths behind the leader and finish position with lengths behind the winner;

(11) official order of finish;

(12) individual time of each horse;

(13) closing dollar odds (with favorite designated by an asterisk);

(14) the standard symbols for breaks, interference breaks, interference, broken equipment, park outs, and free legged pacers, where applicable;

(15) the standard symbols for medications, where applicable; in claiming races, the price for which the horse is entered to be claimed less allowances for age and sex;

(16) names of the horses placed first, second and third by the judges; and notations of placings, disqualifications and claimed horses.

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

ARCI-020-045 OFFICIAL TIMER

A. General Authority

The official timer shall accurately record the time elapsed between the start and finish of each race.

B. Timing Procedure

The time shall be recorded from the instant that the first horse crosses the starting point until the first horse reaches the finish line and each quarter mile shall also be recorded on the leading horse.

C. Timing Races

(1) In every race, the time of each heat shall be accurately recorded by two timers or an approved electrical timing device, in which case, there shall be one timer.
(2) Times of heats shall be recorded in minutes, seconds and fifths of a second.
(3) Immediately following each heat, the elapsed time of the heat shall be publicly announced and/or posted on the totalisator board.
(4) No unofficial time shall be announced, posted or entered into the official record.

D. Error in Reported Time

(1) In circumstances involving an error in timing, no time shall be announced, posted or recorded for that heat.
(2) In any case of alleged error regarding a horse's official time, the time in question shall not be changed to favor the horse or its owner, except upon the sworn statement of the judges and official timers who officiated in the race.

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

ARCI-020-050 PATROL JUDGE

General Authority

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

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

ARCI-020-055 PROGRAM DIRECTOR

General Authority

The program director is responsible for furnishing the public complete and accurate past performance information.

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

ARCI-020-060 OFFICIAL VETERINARIAN

A. General Authority

The official veterinarian shall:

(1) be employed by the Commission;
(2) be a graduate veterinarian and be licensed to practice in this jurisdiction;
(3) recommend to the judges any horse deemed unsafe to be raced, or a horse that it would be inhumane to allow to race;
(4) place horses on the Veterinarian's List, when necessary, and remove horses from the Veterinarian's List;
(5) place horses on the Bleeder List and remove horses from the Bleeder List;
(6) maintain a continuing health and racing soundness record of each horse given a racing soundness inspection;

(7) have the authority to supervise and control the Test Barn;

(8) supervise the taking of all specimens for testing according to procedures approved by the Commission;

(9) provide proper safeguards in the handling of all laboratory specimens to prevent tampering, confusion or contamination;

(10) have authority and jurisdiction over the racing veterinarian and the practicing licensed veterinarians on the association grounds for the purpose of these rules;

(11) report to the Commission the names of all horses humanely destroyed or which otherwise expire at the race meeting and the reasons therefore;

(12) maintain all required records of postmortem necropsy examinations performed on horses which have died on association grounds;

(13) refrain from directly treating or prescribing for any horse scheduled to participate during the official veterinarian's term of appointment at any recognized race meeting except in cases of emergency, accident or injury;

(14) refuse employment or payment, directly or indirectly, from any owner or trainer of a horse racing or intending to race in this jurisdiction while employed as the official veterinarian for the Commission;

(15) review and make recommendations regarding Commission license applications of practicing veterinarians;

(16) cooperate with practicing veterinarians and other regulatory agencies regarding medication issues and to take measures to control communicable and/or reportable equine diseases;

(17) periodically review all horse papers under the jurisdiction of the Commission to ensure that all required test and health certificates are current and properly filed in accordance with these rules;

(18) 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

(19) provide the judges with a written statement regarding the nature and seriousness of all laboratory reports of prohibited substances in equine samples.

B. Veterinarian's List

A horse scratched by a recommendation of a veterinarian for either lameness or sickness will be put on the Veterinarian's List and shall not be removed for _____ days. No entries will be accepted on these horses until the ____-day period has expired.

C. Starting and Finishing Inspection

The official veterinarian shall inspect all of the horses in a race prior to their starting and after the finish of a race shall observe the horses upon their leaving the track.

D. Equine Infectious Anemia

No horse shall be admitted to any racetrack facilities in this jurisdiction without having had a negative official test for equine infectious anemia within 12 months.

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

ARCI-020-065 RACING VETERINARIAN

General Authority

The racing veterinarian shall:

(1) be directly responsible to the official veterinarian;

(2) be a graduate veterinarian and be licensed to practice in this jurisdiction;

(3) be available to the racing secretary and/or judges each racing day at a time designated by the judges, to inspect any horses and report on their condition as may be requested by the judges;

(4) inspect any horse when there is a question as to the physical condition of such horse;

(5) recommend scratching a horse to the judges if, in the opinion of the racing veterinarian, the horse is physically incapable of exerting its best effort to win;

(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 the racing veterinarian's opinion as to the cause of the distress to the judges and to the official veterinarian;

(7) refrain from directly treating or prescribing for any horse scheduled to participate during racing veterinarian's term of appointment at any recognized race meeting except in cases of emergency, accident or injury;

(8) refuse employment or payment, directly or indirectly, from any owner or trainer of a horse racing or intending to race in this jurisdiction while employed as the racing veterinarian;

(9) 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;

(10) conduct soundness inspections on horses participating in races at the race meeting;

(11) with approval of the official veterinarian, place horses on the Bleeder List; with approval of the official veterinarian, place horses on or remove them from the Veterinarian's List.

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

ARCI-020-070 ANY OTHER PERSON DESIGNATED BY THE COMMISSION

The Commission 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 020-010 B of this chapter.

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

Duties and Requirements of Associations (Race Meet Licensees) - Chapter 21

ARCI-021-005 Purpose

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

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

ARCI-021-010 General Duty

(1) An association, its officers, directors, officials and employees shall abide by the Act and enforce the rules and orders of the Commission and judges.

(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 racehorses, the racing industry and the citizens of this jurisdiction.

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

ARCI-021-015 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

(3) 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.

(4) 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. An association shall file a copy of all tax returns, a balance sheet and a profit and loss statement.

(2) 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.

(3) 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.

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

ARCI-021-020 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 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.

(6) An association shall provide a properly equipped for transport ambulance, staffed with at least one certified paramedic during training and one state certified paramedic and one emergency medical technician, or the equivalent, that are equipped with, at a minimum, a basic life support system, during racing. At no time shall the ambulance be left unmanned. The ambulance shall be licensed to operate on public highways and ready for immediate transportation to a medical facility.

(7) If the ambulance is being used to transport an individual, the association must not allow any horses on the racetrack or conduct a race until the ambulance is replaced.

(8) Unless otherwise approved by the Commission or the judges, an ambulance shall follow the field at a safe distance during the running of races.

(9) The ambulance must be parked with direct proximity, clear visibility, and immediate access to the racetrack during the period beginning thirty (30) minutes prior to post time for the first race of the program 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 provide adequate office space for the use of the judges and other Commission personnel as required by the Commission.

(11) 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.

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) judges' stand;

(b) racing office;

(c) tote room;

(d) paddock; (e) test barn;

(f) starting gate;

(g) video camera locations;

(h) veterinarian;

(i) track announcer;

(j) location of the ambulances (equine and human); and (k) Commission track office.

(l) 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 an electronic photo finish device with mirror image to photograph the finish of each race and record the time of each horse in at least fifths of a second. The location and operation of the photo finish devices must be approved by the Commission before its first use in a race. The association shall promptly post a photograph of each photo finish for win, place or show in an area accessible to the public. The association shall ensure that the photo finish 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 from a negative of a photo finish to the Commission. Photo finish negatives 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 judges or the Commission.

(4) An association shall provide a videotaping system approved by the Commission.

(5) 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 judges' stand. The location and construction of video towers must be approved by the Commission.

(6) The judges may, at their discretion, direct the video camera operators to videotape the activities of any horse or person handling horses prior to, during, or following a race.

(7) Races must be recorded by at least three video cameras.

(8) An association shall, upon request, provide to the Commission, without cost, a copy of a videotape of a race.

(9) 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 judges or the Commission.

(10) An association shall provide a viewing area in which, on approval by the judges, an owner, trainer, driver or other interested individual may view a videotape recording of a race.

(11) 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 judges in making their decision.

D. Racetrack

(1) The surface of a racetrack must be designed, constructed and maintained to provide for the safety of the drivers 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 or other fixed marker.

(4) The surveyor's report must be approved by the Commission prior to the first race day of the race meeting.

(5) An extended pari-mutuel racetracks shall be responsible for executing proper racetrack maintenance. The regulation should consist of the following:

(a) Standardbred Racetrack Surfaces

1. Staff: Each racetrack will dedicate a minimum of two staff for the sole purpose of maintaining the racing surface during live events
2. Track grading: All racetracks will fully grade the racing surface at least two weeks prior to the commencement of the racing season. In addition to this, racetracks that race 55 dates or fewer will fully grade the racing surface every 30 days or as necessary.
3. Material: An adequate supply of surface material must be available throughout the racing season. The minimum standard racetrack surface is to be ½ to 1 inch thick. The cushion will be from the bottom of a jogging horse toe imprint to the top of the material.
4. Conditioning: After every race, weather permitting, maintenance staff must groom the racetrack surface. Grooming will include one or more of the following tasks: watering, screening, harrowing or conditioning.

(b) Racetrack Operators

1. Racetrack operators will ensure the minimum standards are maintained. In addition, each racetrack will have available by request of the state racing authority the reports on daily maintenance of the track racing surface.
2. If requested, all Racetrack Operators will make available to the state racing authority daily log books which contain the following:
   (a) daily maintenance of track racing surface
   (b) staffing schedules
   (c) dates and times the racing surface was groomed
   (d) employee assigned to conduct work
   (e) amount of water utilized
   (f) amount of aggregate material utilized and,
   (g) weather conditions

3. Racetrack Operators will provide equipment to ensure track is maintained properly. Equipment shall consist of but not be limited to: harrow/conditioner, screen and water truck. In addition, Racetrack Operators will be responsible for equipment and maintenance logs to the state racing authority at their request.

4. Prior to a race card, a representative from the Horsemen’s Committee will communicate with the judges and the Track Operator or their designee regarding the current conditions of the racing surface.

E. Rails

The design and construction of rails, where used, must be approved by the Commission prior to the first race meeting at the track.

F. Starting Gates

During racing hours, an association shall provide at least two operable starting gates, which have been approved by the Commission.

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 judges' stand.

(2) All poles and markers shall be positioned at least ten feet off the inside rail.

(3) The starting point markers and distance poles must be marked as follows:

(a) 3/4 pole - Red and white horizontal stripes

(b) 1/2 pole - Red and white horizontal stripes

(c) 1/4 pole - Red and white horizontal stripes

(d) 1/8 poles - Green and white horizontal stripes

(e) 1/16 poles - Black and white horizontal stripes

(f) Fair Start Pole - Yellow

(4) The fair start pole shall be erected at a point before the start that is clearly identifiable. If a horse has not reached the fair start pole when the horses are released at the starting point by the starter, the judges shall cause the inquiry sign to be displayed immediately and shall order that all wagers on the horse be refunded.

Adopted in version 9.1 ARCI 08/09/2019 Saratoga: added rule language.
D (5) (6) Amended in Version 9.5 ARCI 10/30/2020 Expanded (5) with subsections (a) and (b) and removed section (6) as it was no longer necessary with the expansion of (5)
Version 13.0 to 13.1 08/12/2024 Amended A, (6), (7), (8) and (9)

H. Saddle Pad Colors

(1) All pari-mutuel racetracks shall adopt the following color format for saddle pad colors for post positions in each race:

(a) Post Position One - Red

(b) Post Position Two - Blue

(c) Post Position Three - White

(d) Post Position Four - Green

(e) Post Position Five - Black

(f) Post Position Six - Yellow

(g) Post Position Seven - Pink

(h) Post Position Eight - Gray

(i) Post Position Nine - Purple

(j) Post Position Ten - Blue/Red

(k) Post Position Eleven - Light Blue

(l) Post Position Twelve - Red/White

(2) All saddle pad numbers, with the exception of post positions three and five, shall be white with a black border. The saddle pad numbers for post positions three and five shall be solid black and solid white, respectively.

I. 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.

(2) Lighting to ensure the proper operation of the videotape and photo finish equipment must be approved by the Commission.

(3) An association shall provide adequate additional lighting in the stable area as required by the Commission.

(4) 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.

J. 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 pari-mutuel and qualifying 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.

K. 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 well-ventilated, 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.

(5) The association shall ensure that refuse from the stalls and other refuse are kept separate.

L. 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 area 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 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.

M. 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.

N. Warning Light System

Every extended pari-mutuel track member shall be equipped with a three-light system of green, yellow and red beacon style lights and sirens for use in the event of an accident. It shall be the duties of the judges to monitor, control and trigger the accident-warning lights. From the time medical assistance is available, the judges will activate the green "all clear" light to signal no known problems on the racetrack.

(1) If at any point during the card the judges determine there is a condition on the racetrack requiring the drivers to proceed with caution, the judges will activate the yellow "caution" warning light.

(2) The judges shall activate the red light and siren to declare a race a "no contest" due to safety issues. Upon the activation of the red light and siren, all drivers in a race will immediately cease racing and follow any instructions of the judges, starter, track announcer, or racing officials to get off the track as quickly and safely as they can. Drivers refusing to stop racing may be subject to a monetary penalty or suspension.

(3) When the red "no contest" light is turned off, the judges will activate the green "all clear" light as a signal for warm-ups and live racing to resume.

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
Amended 021-20 Facilities and Equipment (D)(5)(6) to add subsections (a)(b) on racetrack management
Version 13.0 to 13.1 08/12/2024 Added Section N

ARCI-021-025 OPERATIONS

A. Security

(1) An association conducting a race meeting shall maintain security controls over its premises. 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. 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 judges regarding occurrences on association grounds on the previous day.

(7) Not later than 24 hours after an incident occurs requiring the attention of security personnel, the chief of security shall deliver to the judges 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.

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 fire marshal's certification regarding the association's compliance with fire safety regulations or the fire marshal's plan of correction. 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, or 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. Race Card

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.

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 judges 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 judges and the Commission in writing of any person ejected or excluded by the association.

G. Biosecurity Protocols

The racetrack is required to have biosecurity protocols in place based on the Biosecurity Protocols established by the American Association of Equine Practitioners. (See Appendix A)

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Adopted in Version 12.1 ARCI 6/27/23 Indianapolis: Added Subsection G

HARNESS RACING LICENSING AND DUTIES OF LICENSEES – CHAPTER 22

ARCI-022-005 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-022-010 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, driver, veterinarian, veterinary assistant, horseshoer, and stable employees);

(b) racing officials (including a board of judges, racing secretary, paddock judge, horse identifier, clerk of the course/field representative, official starter, charter, timer, photo finish technician, patrol judge, official veterinarian, and racing veterinarian);

(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 where applicable.

(2) Persons required to be licensed shall submit a completed application on forms furnished by the Commission and accompanied by the required fee.

(3) 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 a valid permanent (not temporary) licenses issued by racing jurisdictions in North America. A fingerprint check within the previous 36 months, or such other period as is required by this jurisdiction.

(1) The Commission may recognize the issuance of racing licenses from jurisdictions in North America for the purpose 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 Federal Bureau of Investigation (FBI) or Royal Canadian Mounted Police (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 be constructed of an approved tamper-resistant 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-State Licensing Information

In lieu of a license application from this jurisdiction, the Commission may accept a North American Pari-Mutuel Regulators Association (NAPRA) or an Association of Racing Commissioners International (RCI) Multi-State License Application.

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 the applicant’s 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 and Distribution of Information

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

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. Any drugs, medication or other materials seized may be forwarded by the Commission to the official chemist for analysis. Any seized material may be forfeited.

G. Protection of Horses

Each person licensed by the Commission shall do all that is reasonable and within the licensee's 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 declared or to be declared in a qualifying race or race, as prohibited by these rules.

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 Judges

The Commission may designate categories of licenses which shall require judges' 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. If an applicant is refused, the applicant may reapply for a license and as may be provided by the Commission.

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.

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 or indictable offense;

(b) has been convicted of violating any law regarding gambling, a controlled dangerous substance, moral turpitude, or cruelty to animals;

(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 jurisdiction or other jurisdictions;

(g) has racing disciplinary charges pending in this jurisdiction 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 law because of age or citizenship;

(m) has violated any of the alcohol or substance abuse provisions outlined in these rules; or

(n) has been associated or consorted with an individual who has been convicted of a crime in any jurisdiction;

(o) has solicited or aided and abetted any other person in any act or conduct prohibited by law or the commission; or

(p) participated in any illegal meeting where racing occurred.

(2) A license suspension or revocation shall be reported in writing to the applicant, the USTA/SC and the RCI, whereby other racing jurisdictions shall be advised.

Q. License Restrictions, Limitations and Conditions

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

R. 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.

S. 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, pending criminal charges, criminal convictions, license suspensions of ____ days or more or license revocations or fines of $_____ or more in other jurisdictions.

T. Temporary Licenses

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

U. More Than One License

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

V. Conflict of Interest

(1) The Commission or its designee may refuse, deny, suspend or revoke the license of a person whose spouse holds a license and which the Commission or judges find to be a conflict of interest.

(2) A commissioner or Commission employee or racing official shall not be an owner of a horse at a race meeting 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 declared 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 racing official; racetrack director, officer or managing employee; track maintenance supervisor or employee; racetrack security employee; horseshoer; veterinarian; photo finish operator; horsemen's bookkeeper; racing chemist, or testing laboratory employee.

W. License Presentation

(1) A person shall present an appropriate license to enter a restricted area.

(2) The judges 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.

X. Visitor's Pass

(1) Licensed owners and trainers participating at that track may sign in guests, unless such are unacceptable to the Commission or association.

(2) Track security may allow authorized unlicensed persons temporary access to restricted areas provided 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.

Y. Safety Helmets

A protective helmet, race meeting the 1984 Standard for Protective Headgear (Snell Memorial Foundation), Laboratory Procedure for Motorcycle Helmut Testing (Federal Motor Vehicle Safety Standard No. 218, U.S. Department of Transportation) or Specification for Headgear Used in Horse Sports and Horse Back Riding (ASTM Standard F085.53, Draft #4, 1986) standards for protective harness racing headwear, securely fastened under the chin, must be worn at all times on association grounds when:

(1) racing, parading, or warming up a horse prior to racing; or

(2) jogging, training, or exercising a horse at any time.

Z. Safety Vests

(1) A safety vest shall be worn when:

(a) racing, parading or warming up a horse prior to racing; or (b) jogging, training or exercising a horse at any time.

(2) A safety vest shall:

(a) Cover the torso, front and back, from the collar bone to the hip bone;

(b) Be of uniform material and thickness over the whole of the vest except for localized:

(A) Variation due to pattern, for example, quilting.

(B) Thinner areas to aid fit, for example, under the arms, at fastenings and at edges, and

(C) Thicker areas in regard to particularly sensitive areas of the body, for example, the spine; and

(c) Equal or exceed a minimum shock absorbance rating of 5 according to the specifications established by the British Equestrian Trade Association (BETA) which are as follows:

(A) Use a critical height apparatus to measure the maximum deceleration on impact of a striker consisting of a spherical idententer weighing 5.9 (+/- 0.05) Kilograms with a diameter of 215 (+/- 2) millimeters,

(B) Condition the vest and the striker for a minimum of 3 hours at 23˚ (+/- 2˚) Centigrade.

(C) With the vest lying on a smooth, flat massive concrete base with the inside of the vest facing the striker and positioned so that the striker will impact on an area of typical thickness, not reinforced by additional material, raise and release the striker starting at a height of 0.2 meter and increasing the height by increments of 0.2 meter to a height which will result in a deceleration of over 300 gravity units ($1G=9.81\ ms^{-1}$) as measured by recording the signal from an accelerometer through the impact from the time before the striker impacts the vest until the accelerometer returns to the same level as before the impact.

(D) Record the gravity units measured at each height increment on a line graph which has the gravity unites in ascending order as the vertical axis and the release height in meters in ascending meters as the horizontal access.

(E) Plot the height in meters at which the deceleration reached 300 gravity units, and

(F) Multiply the height obtained in Section 3 Subsection (e) by 10 to calculate the shock absorbance rating.

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 judges any knowledge the licensee has that a perceived violation of these rules has occurred, is occurring, or may occur.

BB. Distribution of Rulings and Orders

All judges' rulings and orders of the Commission shall be distributed to NAPRA or RCI and made available to SC/USTA, and other regulatory bodies.

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: Deleted rule language
Version 17 12/21/23 Added P (1) (o) & (p) subject to future resolution; changed P(1) (o) to P (2) and removed NAPRA.

ARCI-022-015 - 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. Beneficial interest includes: the owner; in the case of multiple ownership, all co-owners; all shareholders owning 5% or more of any class of stock and all officers and directors of any corporation, all general partners and those limited partners owning a 5% or more interest in such general or limited partnership, all stallion syndicate shareholders owning 5% or more interest in the stallion syndicate, all lessees, and all corresponding officers.

(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 judges of a change in trainer. A horse shall not be transferred to a new trainer after entry.

(3) The provisions of Rule 022-010, Sub-Title D not withstanding, a horse owner of any age may apply for an owner's license. If younger than age of majority, 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) Horses not under lease must race in the name of the bona fide owner. 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 Sub-Title A, Section 1 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 Commission.

(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 USTA/SC and the Commission.

C. Lease Agreements

A horse may be raced under lease provided the lease is in a form acceptable to the Commission and the lease is filed with the Commission and the USTA or SC. 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 approval of the Commission.

(1) The applicant shall identify all persons using the stable name. Changes shall be reported immediately to the Commission and a copy sent to the USTA/SC.

(2) A person who has registered a stable name may cancel it upon written notice to the Commission.

(3) The stable name shall be published in the program.

(4) If there are more than four owners of a horse, the licensed owners must register as a stable name.

E. Racing Colors

Drivers must wear distinguishing colors, and shall not be permitted to drive in a race or other public performance unless, in the opinion of the judges/judges, they are properly dressed, their driving outfits are clean and they are well groomed. During inclement weather conditions, drivers must wear rain suits in either of their colors or made of a transparent material through which their colors can be distinguished.

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.

G. Standards of Conduct

Any person who, as the registered owner(s) of a horse that is currently racing, is found to be paying, either directly or indirectly, for training service on that horse an individual (i.e. payee) who is ineligible to be programmed as a trainer and is not stayed or under appeal shall be suspended for a minimum of sixty (60) days.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 5.9 to 6.0 ARCI Board of Directors 7/16/2015 Added ARCI-022-015(F) Transfer of Ownership
Version 8.5 to 9.0 ARCI Board of Directors 04/04/2019 Added ARCI-022-015 (G) Standards of Conduct
Version 13.0 to 13.1 ARCI Board of Directors 08/12/2024 Added last sentence to ARCI-022-015 (A)(1)

ARCI-022-020 TRAINERS

A. Eligibility

A person shall not train horses, or be programmed as trainer of record at race meetings, without being licensed by the Commission.

B. Trainer Responsibility

(1) The trainer is responsible for the condition of horses declared in an official 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 Trainer Responsibilities

A trainer is responsible for:

(1) the condition and contents of stalls, tack rooms, feed rooms, sleeping rooms and other areas which have been assigned by the association;

(2) maintaining the assigned stable area in a clean, neat and sanitary condition at all times;

(3) ensuring that fire prevention rules are strictly observed in the assigned stable area;

(4) providing a list to the Commission of the trainer's employees on association grounds and any other area under the jurisdiction of the Commission. The list shall include each employee's name, occupation, social security number and occupational license

number. The Commission shall be notified by the trainer, in writing, within _____ 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 the trainer's care, custody or control;

(7) training all horses owned wholly or in part by the trainer which are participating at the race meeting;

(8) registering with the racing secretary each horse in the trainer's 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 thee trainer's care is accompanied by a valid health certificate which shall be filed with the racing secretary;

(10) having each horse in the trainer's 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 the trainer's 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;

(14) promptly notifying the official veterinarian of any reportable disease and any unusual incidence of a communicable illness of any horse in the trainer's charge;

(15) promptly reporting the death of any horse in the trainer's care on association grounds to the judges and the official veterinarian and compliance with the rules in chapter 25 governing post-mortem examinations;

(16) maintaining a record to be available to the commission or its designee for at least 6 months of all medication(s) administered to the horse under their care, custody, and control. Records should include, at a minimum, all of the following:

(a) the name of the horse

(b) the date of each medication administered

(c) the name, the dosage, and the route of medication administered

(d) the name of the Veterinarian, the Licensed Trainer, and/or any designee responsible for administering and prescribing the medication;

(17) immediately reporting to the judges and the official veterinarian if the trainer knows, or has cause to believe, that a horse in the trainer's custody, care or control has received any prohibited drugs or medication;

(18) representing an owner in making entries and scratches and in all other matters pertaining to racing;

(19) horses declared as to eligibility;

(20) ensuring the fitness of a horse to perform creditably at the distance declared;

(21) ensuring that the trainer's horses are properly prepared and equipped. It shall be the responsibility of the trainer to see that each horse under his supervision is safely equipped for each race and if it is determined by the judges that a horse has been raced with unsafe or faulty equipment, the judges may impose a fine, suspension or both. The definition of "equipment" is what a horse wears to race. The definition does not include the saddle pads that are required to be attached to the harness prior to the respective race.

(22) ensuring that all horses entered to compete are present on association property no less than five (5) hour prior to the scheduled post time of the race for which the horse is entered to compete. Horses not arriving on racing 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 the judges to consider extenuating circumstances.

(23) presenting the horse in the paddock at least ___ minutes before post time or at a time otherwise appointed before the race in which the horse has been declared;

(24) personally attending to the horse in the paddock and supervising the preparation thereof, unless excused by the judges;

(25) attending the collection of a urine or blood sample from the horse or delegating a licensed employee or the owner of the horse to do so; and

(26) notifying horse owners upon the revocation or suspension of the trainer's license. Upon application by the owner, the judges may approve the transfer of such horses to the care of another licensed trainer, and upon such approved transfer, such horses may be declared to race.

D. Restrictions on Wagering

A trainer shall only be allowed to wager on the trainer's horse or entries to win or finish first in combination with other horses.

E. Substitute Trainers

If any licensed trainer is to be absent from the association grounds where the trainer's horse is programmed to race the judges shall be immediately notified and at that time a licensed substitute trainer, acceptable to the judges, shall be appointed to assume responsibility for the horse(s) racing during the absence of the regular trainer. The name of the substitute trainer shall appear on the program if possible. The original trainer shall be responsible for all horses declared by that trainer and the substitute trainer shall be responsible for all horses declared by the substitute trainer.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 5.2 to 5.3 ARCI Board 12/7/12 Expanded Other Trainer Responsibilities

Version 13.1 to 14 May 7, 2025 added language to section B (21).

ARCI-022-025 OWNERS' AUTHORIZED AGENTS

A. Licenses Required

(1) An authorized agent shall obtain a license from the Commission.

(2) Application for license may be required 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 or Commissioner for Oath.

(4) If the written instrument is a power of attorney it shall be filed with the Commission and attached to the 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 or authorized agent, in writing, and filed with the Commission.

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 at a race meeting. Any change in ownership shall be reported immediately to, and approved by, the judges and recorded by the USTA/SC.

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

ARCI-022-030 DRIVERS

(1) A person shall not drive a horse in any race or performance against time, other than an exhibition race, without being licensed by the Commission.

(2) The judges may review the performance of a driver at any time and may take the following actions:

- (a) amend the license category in accordance with USTA/SC license classifications;
- (b) revoke the license;
- (c) apply conditions to the license; or
- (d) require the driver to re-qualify for the driver’s license.

(3) Drivers must report to the paddock judge at least one hour prior to post time of any race in which they are programmed to drive, unless excused by the judges.

(4) A driver cannot decline to be substituted by the judges.

(5) Once a driver reports to the paddock the driver shall not enter the public stands or the betting area until the driver's driving duties for the day have been completed. A driver shall not enter the public stands or betting area while wearing colors.

(6) The judges may remove a driver at any time and substitute an alternate driver.

(7) A driver shall not drive for any other person in a race in which one of the horses the driver trains or owns has been declared into race, except where such horses are coupled as an entry.

(8) Drivers shall fulfill all engagements, unless excused by the judges.

(9) In the event a driver is involved in an traumatic incident on or off the track that requires medical attention and that may affect the ability or fitness to perform, the driver must provide medical clearance from a medical professional stating that he/she can resume his/her duties.

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

Adopted in Version 9.1 ARCI 8/09/19, Amended with the addition of ARCI 022-030(9)

ARCI-022-033 EXERCISE DRIVERS

(repealed at Spring 2003 meetings) 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: Deleted rule

ARCI-022-035 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 and approved by the official veterinarian.

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 these rules.

(2) All practicing veterinarians shall promptly notify the official veterinarian of any reportable disease and any unusual incidence of a communicable illness of any horse on association grounds in the practicing veterinarian's care.

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

ARCI-022-040 HORSESHOERS

Eligibility

An applicant for a license as horseshoer shall:

(1) be at least 18 years of age;

(2) be qualified by reason of experience, background and knowledge of horseshoeing, as determined by the judges after consulting with a veterinarian, a licensed trainer and a horseshoer who is currently licensed by the Commission. A horseshoer's license from another jurisdiction, having been issued within _____ years, 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 horseshoeing.

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

TYPES OF RACES - CHAPTER 23

ARCI-023-005 PURPOSE

To describe the various type of races that may be run in harness racing.

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

ARCI-023-010 TYPES OF RACES PERMITTED

In presenting a program of racing, the racing secretary shall use exclusively the following types of races:

A. Overnight Races

Overnight events include:

(1) Conditioned races;

(2) Claiming races;

(3) Preferred, invitational, handicap, open or free-for-all races;

(4) Schooling races; and

(5) Matinee races

B. Added Money

Added money events include:

(1) Stakes;

(2) Futurities;

(3) Early closing events; and

(4) Late closing events

(5) Sweepstakes

C. Match Races

D. Qualifying Races

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

ARCI-023-015 OVERNIGHT EVENTS

A. General Provisions

(1) For the purpose of this rule, overnight events shall include conditioned, claiming, preferred, invitational, handicap, open, free-for-all, schooling or matinee races or a combination thereof.

(2) At extended race meetings, condition sheets must be available to participants at least ___ hours prior to closing declarations to any race program contained therein. At other race meetings, conditions must be posted and available to participants at least ___ hours prior to closing declarations.

(3) A fair and reasonable racing opportunity shall be afforded both trotters and pacers in reasonable proportion from those available and qualified to race.

(4) Substitute races may be provided for each race program and shall be so designated in condition books sheets. A substitute race may be used when a regularly scheduled race fails to fill.

(5) Regularly scheduled races or substitute races may be divided where necessary to fill a program of racing, or may be divided and carried over to a subsequent racing program, subject to the following:

(a) No such divisions shall be used in the place of regularly scheduled races which fill.

(b) Where races are divided in order to fill a program starters for each division must be determined by lot after preference has been applied, unless the conditions provide for divisions based upon age, performance, earnings or sex.

(c) A race may be divided into two or more divisions at the discretion of the racing secretary, whenever circumstances warrant.

(d) When a race is divided, the starting horses for each division are to be determined

(A) Firstly, by preference,

(B) Secondly, by owners, then trainers, for each division,

(C) Then, by lot, unless the conditions for the race otherwise specify.

(e) The conditions for the race are not to deprive a horse of an opportunity to race in a normal preference cycle.

B. Conditions

(1) Conditions shall be based only on:
   (a) horses' money winnings in a specified number of previous races or during a specified previous time;
   (b) horses' finishing positions in a specified number of previous races or during a specified period of time;
   (c) age;
   (d) sex;
   (e) number of starts during a specified period of time;
   (f) special qualifications for foreign horses that do not have a representative number of starts in the United States or Canada;
   (g) the exclusion of schooling races; or
   (h) any one or more combinations of the qualifications herein listed.

(2) Conditions shall not be written in such a way that any horse is deprived of an opportunity to race in a normal preference cycle. Where the word preference is used in a condition, it shall not supersede date preference as provided in the rules. Not more than _____ also eligible conditions shall be used in writing the conditions for overnight events.

(3) The Commission may, upon application from the racing secretary, approve conditions other than those listed above.

(4) In the event there are conflicting published conditions and neither one nor the other is withdrawn by the association, the one more favorable to the declarer shall govern.

(5) For the purpose of eligibility, a racing season or racing year shall be the calendar year. When recording winnings, gross winnings shall be used and cents shall be disregarded.

(6) Records and time bars shall not be used as a condition of eligibility.

(7) Horses must be eligible when declarations close subject to the provision that:
   (a) wins and winnings on or after the closing date of declarations shall not be considered;
   (b) age allowances shall be given according to the age of the horse on the date the race is contested.
   (c) in mixed races, trotting and pacing, a horse must be eligible under the conditions for the gait at which it is stated in the declaration the horse.

(8) When conditions refer to previous performances, those performances shall only include those in a purse race. Each dash or heat shall be considered as a separate performance for the purpose of condition races.

(9) In overnight events, not more than one trailer shall be permitted, regardless of the size of the track except with the approval of the Commission. At least eight feet per horse must be provided the starters in the front tier.

(10) The racing secretary or judges may reject the declaration to an overnight event of any horse whose past performance indicates that it would be below the competitive level of other horses declared to that particular event.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 13.0 to 13.1 08/12/2024 Amended (A)(5)(d)

ARCI-023-020 CLAIMING RACES

A. General Provisions

(1) No horse will be eligible to start in a claiming race unless the owner has provided written authorization, which must include the minimum price for which the horse may be claimed, to the racing secretary prior to declaration. If the horse is owned by more than one party, all parties or the authorized agent must sign the authorization. Any question relating to the validity of a claiming authorization shall be referred to the judges who shall have the authority to disallow a declaration or scratch the horse if they deem the authorization to be improper.

(2) The designated racing official shall cause to be transferred all changes in ownership of claimed horses as soon as practical.

(3) The price allowances that govern for claiming races must be approved by the Commission. Claiming prices recorded on past performance lines in the daily race program and on eligibility certificates shall not include allowances.

(4) The claiming price, including any allowances, of each horse shall be printed on the official program adjacent to the horse's program number and claims shall be for the amount designated, subject to correction if printed in error.

(5) In handicap claiming races, in the event of an also eligible horse moving into the race, the also eligible horse shall take the place of the horse that it replaces provided that the handicap is the same. In the event the handicap is different, the also eligible horse shall take the position on the outside of horses with a similar handicap, except when the horse that is scratched is a trailing horse, in which case the also eligible horse shall take the trailing position, regardless of its handicap. In handicap claiming races with one trailer, the trailer shall be determined as the fourth best post position.

(6) To be eligible to be claimed a horse must start in the event in which it has been declared to race. For the purposes of this rule, a horse shall be deemed to have started if it is behind the gate when the field is released at the starting point by the starter.

OR

(7) The successful claimant of a horse programmed to start may, at the claimant's option, acquire ownership of a claimed horse, even though such claimed horse was scratched and did not start in the claiming race from which it was scratched. The

successful claimant must exercise their option by ____ of the next day following the claiming race to which the horse was programmed and scratched. No horse may be claimed from a claiming race unless the race is contested.

(8) If a horse that has been drawn in to start in a claiming race is scratched for reason other than being ineligible to the race, the horse shall be subject to claim in its next start in this jurisdiction, provided such start occurs within ____ of the date of the scratch, regardless of type and condition of the race, at the claiming price it was subject to in the race in which it was scratched. Where a horse drawn in to start in a claiming race has been declared to start in a subsequent race, the successful claimant of the horse in the first race shall have the option of scratching the horse from the subsequent race and the above time frame provision of this section will not apply.

(9) Any licensed owner or the authorized agent of such person who holds a current valid Commission license may claim any horse or any person who has properly applied for and been granted a claiming certificate shall be permitted to claim any horse. Any person or authorized agent eligible to claim a horse shall be allowed access to the grounds of the association, excluding the paddock, in order to effect a claim at the designated place of making claims and to take possession of the horse claimed.

(10) Claiming certificates are valid on day of issue and expire _____. These certificates may be applied for at the Commission's licensing office prior to post time on any day of racing.

(11) A claim shall be voided if a horse is a starter and the horse:
(1) Dies on the racetrack; or
(2) Suffers an injury which requires the euthanasia of the horse, as determined by a State veterinarian, while the horse is on the racetrack.

(12) A claim is voidable at the sole discretion of the new owner, for a period of up to 1 hour after the race is made official, for any horse that:

(1) Is vanned off the track after the race at the discretion of the State or racetrack Veterinarian; or

(2) Is sent to the detention barn and observed to be lame by the State Veterinarian.

B. Prohibitions on Claims

(1) A person shall not claim directly or indirectly the person's own horse or a horse trained or driven by him/her or cause such horse to be claimed directly or indirectly for his/her own account.

(2) A person shall not directly or indirectly offer, or directly or indirectly enter into an agreement, to claim or not to claim or directly or indirectly attempt to prevent another person from claiming any horse in a claiming race.

(3) An owner or prospective owner shall not have more than one claim on any one horse in any claiming race.

(4) A person shall not directly or indirectly conspire to protect a horse from being claimed by arranging another person to lodge claims, a procedure known as protection claims.

C. Claiming Procedure

(1) A person desiring to claim a horse must have the required amount of money on deposit with the horsemen's bookkeeper at the time the completed claim form is deposited.

(2) The claimant shall provide all information required on the claim form provided by the association.

(3) The claim form shall be completed and signed by the claimant prior to placing it in an envelope provided for this purpose by the association and approved by the Commission. The claimant shall seal the envelope and identify on the outside the date, race number and track name only.

(4) The envelope shall be delivered to the designated area, or licensed delegate, at least 30 minutes before post time of the race from which the claim is being made. That person shall certify on the outside of the envelope the time it was received, the current license status of the claimant and whether credit in the required amount has been established.

(5) It shall be the responsibility of the association to ensure that all such claim envelopes are delivered unopened or otherwise undisturbed to the judges prior to the race from which the claim is being made.

(6) The claim box shall be opened and the claims, if any, examined by the judges prior to the start of the race. The judges shall verify with the horsemen's bookkeeper, that the claimant has on deposit in their account the amount equivalent to the specified claiming price and any other required fees and taxes. No official shall give any information on claims filed until after the race.

(7) The judges shall disallow any claim made on a form or in a manner which fails to comply with all requirements of this rule.

(8) When a claim has been lodged it is irrevocable, unless otherwise provided for in these rules.

(9) In the event more than one claim is submitted for the same horse, the successful claimant shall be determined by lot by the judges, and all unsuccessful claims involved in the decision by lot shall, at that time, become null and void, notwithstanding any future disposition of such claim.

(10) Upon determining that a claim is valid, the judges shall notify the paddock judge of the name of the horse claimed, the name of the claimant and the name of the person to whom the horse is to be delivered. Also, the judges shall cause a public announcement to be made.

(11) Every horse entered in a claiming race shall race for the account of the owner who declared it in the event, but title to a claimed horse shall be vested in the successful claimant from the time the horse is deemed to have started, and the successful claimant shall become the owner of the horse, whether it be alive or dead, or sound or unsound, or injured during or after the race.

(12) A post-race urinalysis test may be taken from any horse claimed out of a claiming race. The trainer of the horse at the time of entry for the race from which the horse was claimed shall be responsible for the claimed horse until the post-race urine sample is collected.

(13) Altering or removing a claimed horse's shoes shall not be permitted.

(14) The license of a person who refuses to deliver a horse legally claimed out of a claiming race shall be suspended and the horse is not permitted to race until delivery is made.

(15) A claimed horse shall not be eligible to start in any race in the name or interest of the owner of the horse at the time of entry for the race from which the horse was claimed for ___ days, unless reclaimed out of another claiming race. Nor shall such horse remain in or be returned to the same stable or care or management of the first owner or trainer for the same period, unless reclaimed out of another claiming race.

(16) The claiming price shall be paid to the owner of the horse at the time entry for the race from which the horse was claimed only when the judges are satisfied that the successful claim is proper and the documentation has been received by the presiding judge for transfer to the new owner.

(17) The judges, at the option of the claimant, shall rule a claim invalid if the horse has been found ineligible for the event from which it was claimed.

(18) Mares and fillies who are in foal are ineligible for claiming races. Upon receipt of the horse, if a claimant determines within 48 hours that a claimed filly or mare is in foal, he/she may, at their option, return the horse to the owner of the horse at the time of entry for the race from which the horse was claimed.

(19) When the judges rule that a claim is invalid and the horse is returned to the owner of the horse at the time of entry for the race in which the invalid claim was made:

(a) the amount of the claiming price and any other required fees and/or taxes shall be repaid to the claimant;

(b) any purse monies earned subsequent to the date of the claim and before the date on which the claim is ruled invalid shall be the property of the claimant; and

(c) the claimant shall be responsible for any reasonable costs incurred through the care, training or racing of the horse while it was in claimant's possession.

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: Modify rule language

ARCI-023-025 ADDED MONEY EVENTS

A. General Provisions

(1) All sponsors and presenters of added money events must comply with the rules and must submit to the Commission the conditions and other information pertaining to such events.

(2) Any conditions contrary to the provisions of any of these rules are prohibited.

B. Conditions

Conditions for added money events must specify:

(1) which horses are eligible to be nominated;

(2) the amount to be added to the purse by the sponsor or presenter, should the amount be known at the time;

(3) the dates and amounts of nomination, sustaining and starting payments;

(4) whether the event will be raced in divisions or conducted in elimination heats, and;

(5) the distribution of the purse, in percent, to the money winners in each heat or dash, and the distribution should the number of starters be less than the number of premiums advertised;

(6) whether also eligible horses may be carded prior to the running heats or legs of added money events.

C. Requirements of Sponsors/Presenters

(1) Sponsors or presenters of stakes, futurities or early closing events shall provide a list of nominations to each nominator or owner and to the associations concerned within ____ days after the date on which nominations close, other than for nominations payable prior to January 1st of a horse's two-year-old year.

(2) In the case of nominations for futurities payable during the foaling year, such lists must be forwarded out prior to _____ of that year and, in the case of nominations payable in the yearling year, such lists must be forwarded out not later than _____ of that year.

(3) Sponsors or presenters of stakes, futurities or early closing events shall also provide a list of horses remaining eligible to each owner of an eligible within _____ days after the date on which sustaining payments are payable. All lists shall include a resume of the current financial status of the event.

(4) The Commission may require the sponsor or presenter to file with the Commission a surety bond in the amount of the fund to ensure faithful performance of the conditions, including a guarantee that the event will be raced as advertised and all funds will be segregated and all premiums paid. Commission consent must be obtained to transfer or change the date of the event, or to alter the conditions. In any instance where a sponsor or presenter furnishes the Commission with substantial evidence of financial responsibility satisfactory to the Commission, such evidence may be accepted in lieu of a surety bond.

D. Nominations, Fees and Purses

(1) All nominations to added money events must be made in accordance with the conditions.

(2) Dates for added money event nominations payments are:

(a) Stakes: The date for closing of nominations on yearlings shall be_____. The date foreclosing of nominations to all other stakes shall fall on the fifteenth day of a month.

(b) Futurity: The date for closing of nominations shall be _____ of the year of foaling.

(c) Early Closing Events: The date for closing of nominations shall fall on the first or fifteenth day of a month. Nominations on two-year-olds shall not be taken prior to _____.

(d) Late Closing Events: The date for closing of nominations shall be at the discretion of the sponsor or presenter.

(e) Dates for added money event sustaining payments are:

(f) Stakes and Futurities: Sustaining payments shall fall on the fifteenth day of a month. No stake or futurity sustaining fee shall become due prior to (Month) 15th of the year in which the horses nominated become two years of age.

(g) Early and Late Closing Events: Sustaining payments shall fall on the _____ or _____ day of a month.

(3) The starting fee shall become due when a horse is properly declared to start and shall be payable in accordance with the conditions of the added money event. Once a horse has been properly declared to start, the starting fee shall be forfeited, whether or not the horse starts. Should payment not be made ___ minutes before the post time of the event, the horse may be scratched and the payment shall become a liability of the owner who shall, together with the horse or horses, be suspended until payment is made in full, providing the association notifies the Commission within _____ days after the starting date.

(4) Failure to make any payment as required by the conditions constitutes an automatic withdrawal from the event.

(5) Conditions that will eliminate horses nominated to an event, or add horses that have not been nominated to an event by reason of performance of such horses at an earlier race meeting, are invalid.

(6) Early and late closing events shall have not more than _____ also eligible conditions.

(7) The date and place where early and late closing events will be raced must be announced before nominations are taken. The date and place where stakes and futurities will be raced must be announced as soon as determined but, in any event, such announcement must be made no later than _____ of the year in which the event is to be raced.

(8) Deductions may not be made from nomination, sustaining and starting payments or from the advertised purse for clerical or any other expenses.

(9) Every nomination shall constitute an agreement by the person making the nomination and the horse shall be subject to these rules. All disputes and questions arising out of such nomination shall be submitted to the Judges.

(10) Nominations and sustaining payments must be received by the sponsor or presenter not later than the hour of closing, except those made by mail must bear a postmark placed thereon not later than the hour of closing. The hour of closing shall be _____ o'clock of the due date.

(11) If conditions require a minimum number of nominations and the event does not fill, the Commission and each nominator shall be notified within ___ days of the closing of nominations and a refund of nomination fees shall accompany such notice to nominators.

(12) If conditions for early or late closing events allow transfer for change of gait, such transfer shall be to the lowest class the horse is eligible to at the adopted gait, eligibility to be determined at the time of closing nominations. The race to which the transfer may be made must be the one nearest the date of the event originally nominated to. Two-year-olds, three-year-olds, or four-year-olds, nominated in classes for their age, may only transfer to classes for the same age group at the adopted gait to the race nearest the date of the event they were originally nominated to, and entry fees to be adjusted.

(13) A nominator is required to guarantee the identity and eligibility of nominations, and if this information is given incorrectly nominator may be fined, suspended, or expelled and the horse declared ineligible. If any purse money was obtained by an ineligible horse, the monies shall be forfeited and redistributed among those justly entitled to the same.

(14) Early or late closing events must be contested if _____ or more betting interests are declared to start. If less horses are declared to start than required, the race may be declared off, in which case the total of nominations, sustaining and starting payments received shall be divided equally to the horses declared to start. Such distribution shall not be credited as purse winnings.

(15) Stakes or futurities must be contested if one or more horses are declared to start. In the event only one horse, or only horses in the same interest start, it constitutes a walk-over. In the event no declarations are made, the total of nomination and sustaining payments shall be divided equally to the horses remaining eligible after payment to the last sustaining payment, but such distribution shall not be credited as purse winnings.

(16) Associations shall provide stable space for each horse declared on the day before, the day of and the day following the race.

(17) The maximum size of fields permitted in any added money event shall be no more than one trailer unless otherwise approved by the Commission.

(18) An association may elect to go with less than the number of trailers specified in 17 above.

(19) In the event more horses are declared to start than allowed in one field, the race will be conducted in divisions or eliminations, as specified in the conditions.

(20) In early closing races, late closing races and overnight races requiring entry fees, all monies paid in by the nominators in excess of ___ percent of the advertised purse shall be added to the advertised purse and the total shall then be considered to be the minimum purse. If the race is split and raced in divisions, the provisions of 22

below shall apply. Provided further that where overnight races are split and raced in eliminations rather than divisions, all starting fees payable under the provisions of this rule shall be added to the advertised purse.

(21) Where a race other than a stake or futurity is divided, each division must race for at least ___ percent of the advertised purse.

(22) In added money events conducted in eliminations, starters shall be divided by lot. Unless conditions provide otherwise, _____ percent of the total purse will be divided equally among the elimination heats. The final heat will be contested for ___ percent of the total purse. Unless the conditions provide otherwise, all elimination heats and the final heat must be raced on the same day. If the conditions provide otherwise, elimination heats must be contested not more than ____ days, prior to the date of the final heat. The winner of the final heat shall be the winner of the race.

(23) The number of horses allowed to qualify for the final heat of an event conducted in elimination heats shall not exceed the maximum number permitted to start in accordance with the rules.

(24) The judges' decisions in arriving at the official order of finish of elimination heats on the same program shall be final and irrevocable and not subject to appeal or protest.

(25) Unless the conditions for the added money event provide otherwise the judges shall draw by lot the post positions for the final heat in elimination events, i.e. they shall draw positions to determine which of the two elimination heat winners shall have the pole, and which the second position; which of the two horses that were second shall start in the third position, and which in the fourth, etc.

(26) In a two-in-three race, a horse must win two heats to win a race and there shall be ____ percent set aside for the race winner. Unless conditions state otherwise, the purse shall be divided and awarded according to the finish in each of the first two or three heats, as the case may be. If the number of advertised premiums exceeds the number of finishers, the excess premiums shall go to the winner of the heat. The fourth heat, when required, shall be raced for ___ percent of the purse set aside for the race winner. In the event there are three separate heat or dash winners and they alone come back in order to determine the race winner, they will take post positions according to the order of their finish in the previous heat. In a two-year-old race, if there are two heat winners and they have made a dead heat in the third heat, the race

shall be declared finished and the one standing best in the summary shall be awarded the ___ percent. If the two heat winners make a dead heat and stand the same in the summary, the ___ percent shall be divided equally among them.

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

ARCI-023-030 CANCELLATION OF A RACE

In case of cancellation of races, see ARCI-024-020 "POSTPONEMENT AND CANCELLATION."

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

HARNESS RACING RULES OF THE RACE - CHAPTER 24

ARCI-024-005 PURPOSE

To describe the requirements and the procedures for the running of a race.

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

ARCI-024-010 DECLARATIONS AND DRAWING

A. Declarations

(1) Unless otherwise specified in the conditions, the declaration time shall be as follows:

(a) Extended pari-mutuel race meetings, _____ a.m.

(b) All other race meetings, ____ a.m.

(2) The time when declarations close will be considered to be local time at the track where the race is being contested.

(3) No horse shall be permitted to start in more than one race on any one racing day. Races decided by more than one heat are considered a single race.

(4) The association shall provide a locked box with an aperture through which declarations shall be deposited.

(5) The presiding judge shall be in charge of the declaration box.

(6) Just prior to opening of the box at extended pari-mutuel race meetings where futurities, stakes, early closing or late closing events are on the program, the presiding judge shall check with the racing secretary to ascertain if any declarations by mail, telegraph, facsimile machine or otherwise, are in the office and not deposited in the entry box, and shall see that they are declared and drawn in the proper event. At other race meetings, the presiding judge shall ascertain if any such declarations have been received by the racing secretary and shall see that they are properly declared and drawn.

B. Drawing

(1) The entry box shall be opened at the advertised time by the presiding judge, who shall ensure that at least one horseman or an official representative of the horsemen is present. No owner or agent for a horse with a declaration in the entry box shall be denied the privilege of being present. Under the supervision of the presiding judge, all entries shall be listed, the eligibility verified, preference ascertained, starters selected and post positions drawn. If it is necessary to reopen any race, public announcement shall be made at least twice and the box reopened to a definite time.

(2) Subject to Commission approval, at non-extended race meetings in the event of the absence or incapacity of the presiding judge, the functions enumerated above may be performed by a person designated by said judge, for whose acts and conduct said judge shall be wholly responsible. If a substitution is made as herein provided, the name and address of the person so substituting shall be entered in the Judges' Book.

(3) At extended race meetings in the event of the absence or incapacity of the presiding judge, the functions enumerated above may be performed by one or more associate judges who all have been designated by the presiding judge, prior to the start of the race meeting, in the form of a written notice to the Commission and to the association conducting the race meeting. A record shall be kept in the Judges' Book showing the name of the individual who performed such functions on each day of the race meeting.

(4) In races of a duration of more than one dash or heat at pari-mutuel race meetings, the judges may draw post positions from the stand for succeeding dashes or heats.

(5) Declarations by mail, telegraph, facsimile machine or telephone actually received and evidence of which is deposited in the box before the time specified to declare in, shall be drawn in the same manner as the others. Such drawings shall be final. Mail, telegraph, facsimile machine and telephone declarations must state the name and address of the owner or lessee; the name, color, sex, sire and dam of the horse; the driver's name and racing colors; the date of last start.

(6) The racing secretary shall check the eligibility of the declaration including the number of starts, firsts, seconds, thirds, earnings and best winning time for the current year; and the event or events in which the horse is to be entered.

(7) Failure to declare as required shall be considered a withdrawal from the event.

(8) After declaration to start has been made no horse shall be withdrawn except by permission of the judges. A fine, not to exceed ___, or suspension may be imposed on the party for withdrawing a horse without permission. The horse may be suspended.

(9) Where the person making the declaration fails to honor it and there is no opportunity for a hearing by the judges, this penalty may be imposed by a Commission representative after a hearing.

(10) Drawings shall be final unless there is conclusive evidence that a horse properly declared was omitted from the race through the error of the association or its agent or employee in which event the horse shall be added and the race shall be re-drawn, provided the error is discovered prior to scratch time or the printing of the program, whichever is sooner.

(11) In the event there are two tiers of horses, the withdrawing of a horse that has drawn or earned a position in the front tier shall not affect the position of the horses that have drawn or earned positions in the second tier, except as provided for in handicap claiming races. Whenever a horse is drawn from any tier, horses on the outside move in to fill up the vacancy. When there is only one trailer, it may start from any position in the second tier. When there is more than one trailer, they must start from inside any horse with a higher post position.

C. Qualifying Races

(1) Qualifying races shall be held according to the demand as determined by the Commission.

(2) Qualifying standards shall be set at each track by the racing secretary and the judges. Standards for trotters will be two seconds slower than pacers.

(3) At all extended pari-mutuel race meetings declarations for overnight events shall be governed by the following:

(a) Before racing at a chosen gait, a horse must go a qualifying race at that gait under the supervision of a licensed judge and acquire at least one clean charted line by a licensed charter. In order to provide complete and accurate chart information on time and beaten lengths, a standard photo finish shall be in use.

(b) Any horse that fails to race within ___ days of its last start must go a qualifying race as set forth in a) above. However, at any race meeting this period can be extended up to ___ days upon receiving approval of the Commission. The time period allowed shall be calculated from the date of the last race to and including the date of declaration.

(c) When a horse has raced at a charted race meeting and then gone on to race meetings where the races are not charted the information from the uncharted lines may be summarized including each start and consolidated in favor of charted lines to include a charted line within the last ___ days before the horse is permitted to race. The consolidated line shall carry date, place, time, driver, finish, track condition and distance.

(d) The judges may permit a horse to qualify by means of a timed workout consistent with the time of the races in which the horse will compete in the event adequate competition is not available for a qualifying race.

(e) When, for the purpose of qualifying the driver, a horse is declared in to race in a qualifying race, its performance shall be applicable to the horse's eligibility to race and the chart line shall be marked to indicate driver qualifying.

(f) If a horse takes a win race record in either a qualifying race or a matinee race, such record must be prefaced with the letter "Q" wherever it appears.

(4) The use of hopples from race to track shall be at the sole discretion of the trainer and not precipitate qualifying a horse. In addition to the foregoing, any horse regularly wearing hopples and which is not on a qualifying list or Judges' List, is allowed one start without hopples in a qualifying race; and this single performance shall not affect its eligibility to race with hopples in a subsequent event to which it is declared.

(5) A horse making a break in each of two consecutive races must qualify unless the breaks were equipment breaks or caused by interference.

(6) A horse must qualify if:

(a) it is distanced for reasons other than interference, broken equipment or breaking stride; or

(b) it does not finish for reasons other than interference or broken equipment.

(7) A charted line containing only a break or breaks caused by interference or an equipment break shall be considered a satisfactory charted line.

(8) The judges shall use the interference break mark only when they have reason to believe that the horse was interfered with by another horse or the equipment of another horse.

D. Coupled Entries

When the starters in a race include _____ or more horses owned by the same person they shall be coupled as an "entry" and a wager on one horse in the entry shall be a wager on all horses in the entry. If the race is split in two or more divisions, horses in an entry shall be seeded. The above provisions shall also apply to elimination heats. The person making the declaration of a horse that qualifies as a coupled entry with another horse entered in the same event shall be responsible to designate the word "entry" on the declaration blank. The presiding judge shall be responsible for coupling horses. In addition to the foregoing, horses separately owned or trained may be coupled as an entry where it is necessary to do so to protect the public interest for the purpose of pari-mutuel wagering only. However, where this is done entries may not be rejected.

E. Also Eligibles

Not more than two horses may be drawn as also eligibles for a race and their positions shall be drawn along with the starters in the race. In the event one or more horses are excused by the judges, the also eligible horse or horses shall race and take the post position drawn by the horse that it replaces, except in handicap races. In handicap races the also eligible horses shall take the place of the horse that it replaces in the event that the handicap is the same. In the event the handicap is different, the also eligible horse shall take the position on the outside of horses with a similar handicap. No horse may be added to a race as an also eligible unless the horse was drawn as such at the time declarations closed. No horse may be barred from a race to which it is otherwise eligible by reason of its preference due to the fact that it has been drawn as an also eligible. The owner or trainer of such a horse shall be notified that the horse is to race and it shall be posted at the racing secretary's office. A horse moved into the race from the also eligible list cannot be withdrawn except by permission of the judges. All horses on the also eligible list and not moved in to race by (Time) on the day of the race shall be released.

F. Preference Dates

Preference dates shall be given to horses in all overnight events at extended pari-mutuel tracks in accordance with the following based on the date of the horse's last previous start in a purse race during the current year is its preference date with the following exceptions:

(1) The preference date on a horse that has drawn to race and has been scratched is the date of the race from which scratched.

(2) When a horse is racing for the first time in the current year, the date of the first declaration into a purse race shall be considered its preference date.

(3) Wherever horses have equal preference in a race, the actual preference of said horses in relation to one another shall be determined from the most recent previous starts which do not result in equal preference.

(4) When an overnight race has been re-opened because it did not fill, all eligible horses declared into the race prior to the re-opening shall receive preference over other horses subsequently declared, irrespective of the actual preference dates.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Section C (4) Amended in Version 9.5 on October 30, 2020 to add language qualifying with hopples was at the trainer's discretion for each race

ARCI-024-015 TIMING AND RECORDS

A. Timing

(1) Time trial performances are permitted subject to the following:
   (a) Test samples may be required for all horses starting for a time performance.
   (b) An approved electric timer is required for all time performances. In the event of a failure of a timer during the progress of a time performance, no time trial performance record will be obtained.
   (c) Time trial performances are permitted only during the course of a regular race meeting with the regular officials in the judges' stand.
   (d) Time trial performances are limited for two-year-olds who go to equal or beat 2.10, and three-year-olds and over who go to equal or beat 2.05.
   (e) Time trial performances shall be designated by preceding the time with two capital "T"s.
   (f) When a horse performs against time, it shall be proper to allow other horses to accompany it in the performance but not to precede it, or be harnessed with it, or in any way attached to it.
   (g) A break during a time trial is a losing effort and a losing performance shall not constitute a record.

(2) The time of each heat or dash shall be accurately taken by two timers or an approved electric timing device, in which case there shall be one timer, and placed in the record in minutes, seconds and fifths of seconds, and upon the decision of each heat the time thereof shall be publicly announced or admitted to the record. When the timers fail to act, no time shall be announced or recorded.

(3) The time shall be taken from the first horse leaving the point from which the distance of the race is measured until the winner reaches the wire.

(4) The leading horse shall be timed and its time only shall be announced. No horse shall obtain a win race record by reason of the disqualification of another horse unless the horse's actual race time can be determined by photo finish or electronic timing.

(5) In the case of a dead heat, the time shall constitute a record for the horses making the dead heat and both shall be considered winners.

B. Records

(1) In order that performances thereon may be recognized or published as official, every association shall have filed with the Commission the certificate of a duly licensed civil engineer or land surveyor that the track has been measured from wire to wire three feet out from the inside hub rail or other fixed marker and certifying exactly the result of such measurement. Each track shall be measured and re-certified in the event of any changes or relocation of the hub rail or other fixed marker.

(2) A record will be the fastest time made by a horse in a heat or dash which it won, or in a performance against time.

(3) No time record shall be recognized as a world record if obtained on a track without an inside hub rail or other fixed marker.

(4) In any case of alleged error in the record, announcement or publication of the time made by a horse, the time so questioned shall not be changed to favor said horse or owner, except upon the sworn statement of the judges and timers who officiated in the race.

(5) If a horse takes a win-race record in a qualifying race such record must be prefaced with the letter "Q" wherever it appears.

(6) For racing purposes, horses with foreign earnings shall such earnings converted to U.S. dollars at the rate as of January 1st of the year of the earnings and credited to the horse's official records. A winning performance at a mile or greater distance, expressed at a mile rate, shall receive recognition as the horse's record.

(7) Any person found guilty of fraudulent misrepresentation of time or the alteration of the record thereof, in any race, shall be fined, suspended, expelled or a combination thereof and time declared not a record.

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: Amended new rule language

ARCI-024-020 POSTPONEMENT AND CANCELLATION

In case of unfavorable weather or other unavoidable cause, associations with the consent of the Judges shall postpone or cancel races in accordance with the following rules.

(1) Added money events shall be postponed and rescheduled.

(2) An early closing event or a late closing event that cannot be raced during the scheduled race meeting shall be declared off and the total of nomination, sustaining and starting payments divided equally among the owners of eligibles in proportion to the number of horses declared to start.

(3) An early closing event or late closing event that has been started, but remains unfinished on the last day of the scheduled race meeting shall be declared ended and the full purse divided according to the summary.

(4) Stakes and futurities should be raced where advertised and the race meeting may be extended to accomplish this. Any stake or futurity that has been started, but which remains unfinished on the last day of the scheduled race meeting shall be declared ended and the full purse divided according to the summary, except where the association elects to extend the race meeting to complete the race. Horses that are

scratched after a heat and before the race is declared finished shall not participate in purse distributions for subsequent heats in the event the race is called off and declared finished.

(5) Unless otherwise provided in the conditions, in order to transfer stakes and futurities to another race meeting, unanimous consent must be obtained from the association and all those having eligibles in the event.

(6) Overnight events may be postponed and rescheduled within two days, or may be cancelled if circumstances or weather conditions warrant. Postponed overnight events not raced within two days shall then be cancelled.

(7) If the track conditions are questionable for the warming up or racing of horses, the judges shall convene a race meeting with the representative of the drivers and trainers and a representative of management. If required by the judges and the representative of the drivers and trainers shall conduct a secret ballot of the drivers and trainers of horses participating in that program of racing to determine whether racing should be conducted. If the vote of the drivers and trainers determines that more than ___ percent vote against racing, the card shall be cancelled. If more than ___ percent and less than ___ percent vote to race, trainers will be allowed to withdraw horses without penalty. If more than ____ percent vote to race, the regular rules of withdrawal and scratching of horses will apply.

(8) Where a race is postponed pursuant to any of the foregoing provisions only those horses originally declared in to the postponed event shall to be eligible to race. Where a race is postponed and moved to another location, horses previously declared may withdraw without penalty.

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

ARCI-024-025 HORSES PERMITTED TO RACE

(1) A horse shall be eligible to be declared in to race provided the following conditions have been met:

(a) the eligibility fee, which shall become due and payable when a horse makes its first start in any type of race in a calendar year, has been paid to the United States Trotting Association/Standardbred Canada, or a valid eligibility certificate has been granted for the horse by the United States Trotting Association and its Standardbred Canada eligibility fee has been paid.

(b) the horse has been registered in the current ownership with the Canadian Standardbred Horse Society or the United States Trotting Association;

(c) if leased, a copy of the lease which is acceptable to the commission is on file with United States Trotting Association/Standardbred Canada;

(d) the horse has qualified in accordance with the rules prior to the time of closing of;

(e) not more than ____ days prior to the time of closing of declarations, the horse was credited with a satisfactory charted past performance line obtained in a purse, qualifying race conducted at a charted race meeting;

(f) the horse is at least two years of age to race at any race meeting but not older than ___ years of age;

(g) the horse has been denerved by any method other then posterior digetal neurectomy. The decision at any given time whether the horse has been denerved shall be the Commission veterinarian's.

(h) if a horse is a spayed mare, that fact is noted on the program, registration certificate, eligibility certificate and the list of those horses posted on the horsemen's bulletin board, and the United States Trotting Association/Standardbred Canada has been notified in writing by the owner, trainer or veterinarian;

(i) the horse does not have a trachea tube or a hole in its throat for a trachea tube;

(j) the horse has unimpaired vision in at least one eye;

(k) the horse has been lip tattooed, freeze branded or identified by other approved methods in accordance with the constitution and by-laws and regulations of the United States Trotting Association/Canadian Standardbred Horse Society.

(2) If a horse participates in a race or event after having been declared into a subsequent race or event it shall be ruled ineligible to the subsequent race or event and scratched if its performance in the initial race or event makes it ineligible under the rules. If the race or event from which the horse is scratched is an added money event, any starting fee paid or payable shall be forfeited.

(3) Any participant who declares, or causes to be declared, an ineligible horse to start shall be guilty of a violation of the rules and subject to disciplinary action by the judges. If after declarations close, and prior to the race, the judges become aware that an ineligible horse has been declared, they shall immediately scratch the horse and starting fees, if applicable, shall be forfeited.

(4) If the ownership of a horse changes, such horse may start under the new ownership not more than (Number of Times) without reasonable evidence being given to the judges that the registration certificate has been forwarded to the Canadian Standardbred Horse Society or the United States Trotting Association.

(5) Any participant skipping or omitting transfers of ownership of any horse shall be guilty of a violation and subject to disciplinary action.

(6) For the purposes of these rules, the term eligibility certificate shall refer to a printed document or its electronically produced equivalent.

(7) Horses not under lease must race in the name of the bona fide owner unless the horse is leased in which case they must race under the name of the lessee.

(8) Two-Year Olds – Two-year-olds must have at least two (2) days in between race days. No two-year-olds shall be permitted to start in a heat or race exceeding one (1) mile in distance and no two-year-old shall be permitted to race in more than one (1) heat or dash in any single day. Starting any two-year-old in violation of this Rule shall result in the horse being disqualified from the second start.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 13.1 to 14 May 7, 2025 added subsection (8)

ARCI-024-030 EQUIPMENT

A. Sulkies

(1) All racing sulkies must meet the standards as approved by the United States Trotting Association prior to being used in any sanctioned races.

(2) It shall be the responsibility of the owner, trainer or driver to provide every sulky used in a race with solid one-color or colorless wheel discs on the inside and outside of the wheel. In his or her discretion the presiding judge may order the use properly affixed mud fenders and mud aprons.

Adopted in version 9.1 ARCI 08/09/19: added ARCI 024-030(2) language on wheel discs

B. Other Equipment

Any change in equipment must be approved by the judges and be shown on the program

(1) Any owner or trainer who wishes to change any equipment or hopples on a horse from one race to another shall apply in writing no later then at the time of declaration to the judges.

(2) No horse will be permitted in a race to wear any type of equipment that covers, protrudes, or extends beyond its nose or that in any way could interfere with the true placing of the horse.

(3) All buckles on front hobble hangers and driving line buckles attached to the bit are required to be taped.

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: Modify rule language
Version 13.0 to 13.1 08/12/2024 Added (3) to Section B – Other Equipment

ARCI-024-035 RACING RULES

A. Under Supervision of Starter

(1) Horses shall be under supervision of the starter from the time they arrive on the track until the start of the race.

(2) All horses shall parade from the paddock to the starting post, and no driver shall dismount without the permission of the starter. Attendants may not care for the horses during the parade except by permission of the starter.

(3) After entering the track not more than ___ minutes shall be consumed in the parade of the horses to the post except in cases of unavoidable delay.

(4) Horses awaiting post time may not be held on the backstretch in excess of ___ minutes, except when delayed by an emergency.

B. Fair Start

The starter shall give such orders and take such measures that do not conflict with the rules of racing, as are necessary to secure a fair start.

C. Starting

(1) The starter shall have control of the formation of the parade until giving the word "go."

(2) After one or two preliminary warming up scores, the starter shall notify the drivers to come to the starting gate. During or before the parade the drivers must be informed as to the number of scores permitted.

(3) The horses shall be brought to the starting gate as near one-quarter of a mile before the start as the track will permit.

(4) Allowing sufficient time so that the speed of the gate can be increased gradually to ensure a fair and safe start.

(5) The starting point will be a point marked at a designated spot not less than 200 feet from the first turn. The starter shall give the word "go" at the starting point.

(6) When a speed has been reached in the course of a start there shall be no decrease except in the case of a recall.

(7) Subject to the age, experience and post position of the horse and the condition of the racetrack, each horse in the first tier shall approach the starting gate reasonably in concert with the other horses in the field and shall be on the gate at the start. If the judges deem that a driver has laid off the gate and then charged it near the start in order to gain an advantage at the start, the driver shall be fined or suspended or both.

Adopted in version 9.1 ARCI 08/09/19; added ARCI 024-035 (7) language

D. Recall Rules

(1) In case of a recall, a light plainly visible to the drivers shall be flashed and a recall sounded. In the case of a recall, whenever possible, the starter shall leave the wings of the gate extended and gradually slow the speed of the gate to assist in stopping the field of horses. In an emergency, however, the starter shall use his/her discretion to close the wings of the gate.

(2) There shall be no recall after the word "go" has been give unless there is a mechanical failure of the starting gate.

(3) Any horse, regardless of its position or an accident, shall be deemed a starter from the time it entered into the starter's control unless dismissed by the starter.

(4) The starter shall attempt to dispatch all horses away in position and on gait but there shall be no recall for a breaking horse after the recall point is passed.

(5) In the event a horse causes two recalls, it shall be an automatic ruling of the judges that the offending horse be scratched.

(6) The starter may sound a recall for the following reasons:

(a) a horse scores ahead of the gate;

(b) there is interference before the word "go" is given;

(c) a horse has broken equipment;

(d) a horse falls before the word "go" is given; (e) a mechanical failure of the starting gate; or

(f) a horse comes to the starting gate out of position.

(7) There shall be a recall pole placed one-eighth of a mile before the starting point, before or at which point, at the discretion of the starter, there may be a recall for a breaking horse or horses not up to the gate. When the recall pole is passed, there shall be no recall for a breaking horse or a horse not up to the gate except as provided in 5 a)-f) above.

(8) A fine and/or suspension may be applied to any driver by the starter and/or judges for:

(a) delaying the start;

(b) failure to obey the starter's instructions;

(c) rushing ahead of the inside or outside wing of the gate;

(d) coming to the starting gate out of position;

(e) crossing over before reaching the starting point;

(f) interference with another horse or driver during the start; or (g) failure to come up into position and remain in position.

(h) after coming to the gate, failure to keep one line in each hand until the word “go,” except for the purpose of adjusting equipment.

(i) Aggravating factors for the penalty include advertised purse amount, or if the violation is deemed to have been committed in order to aid another horse with common ownership or a common trainer

Adopted in version 9.1 ARCI 08/09/19, Amended by adding ARCI 024-035(8) language

E. Starting Gate

(1) No persons shall be allowed to ride in the starting gate except the starter and the driver or operator and a patrol judge, unless permission has been granted by the Judges.

(2) Use of the loudspeaker for any purpose other than to give instructions to the drivers is prohibited. The volume shall be no higher than necessary to carry the voice of the starter to the drivers.

(3) The arms of all starting gates shall be provided with a screen or shield in front of the position for each horse, and such arms shall be perpendicular to the rail.

(4) The official starter must ensure that the starting gate is in good working order prior to the beginning of each race program.

(5) The official starter and starting gate driver shall operate the starting gate in a manner consistent with the safe conduct of the race, the safety of the race participants and the safety of the patrons.

F. Two-Tiered Races

(1) In the event there are two tiers of horses, the withdrawing of a horse that has drawn or earned a position in the front tier shall not affect the positions of horses that have drawn or entered positions in the second tier.

(2) Whenever a horse is drawn from any tier, horses on the outside move in to fill the vacancy. Where a horse has drawn a post position in the second tier, the driver of such horse may elect to score out behind any horse in the front tier so long as it does not interfere with another trailing horse or deprive another trailing horse of a drawn position.

(3) When there is only one trailer, it may start from any position in the second tier. When there is more than one trailer, they must start from inside any horse with a higher post position.

(4) In a race with multiple trailers, the driver of the first horse in the second tier may elect to score out behind the first or second horse in the first tier. The horse drawing the second post in the second tier shall score behind the third or fourth horse in the first tier. The horse drawing the third post in the second tier shall score behind the fifth or sixth horse. Any horse drawing a post position outside those already referenced shall be placed in a consistent manner behind the appropriate horses from the first tier. If there are more trailers than designated post positions in the second tier as described above, the judges shall determine proper starting positions for the second tier horses.

Adopted in version 9.1 ARCI 08/09/2019 at Saratoga; added additional language for trailers

G. Horse Deemed a Starter

Horses shall be deemed to have started when the word "go" is given by the starter and all horses must go the course except in the case of an accident or injury in which it is the opinion of the judges that it is impossible to go the course.

H. Unmanageable/Bad Acting Horses

If, in the opinion of the judges and/or the starter, a horse is unmanageable or liable to cause accidents or injury to any other horse or to any driver, it shall be scratched and placed on the judges' list.

I. Post Positions, Heat Racing

(1) The horse winning a heat shall take the inside position in the succeeding heat, unless otherwise specified in the published conditions of the race, and all others shall take their positions in the order they were placed in the prior heat.

(2) When two or more horses dead heat, their positions shall be determined by lot.

J. Conduct of the Race

(1) A leading horse is not to be more than four feet from the inside rail/pylons except after selecting his position in the home stretch. Neither the driver of the first horse nor any other driver in the race shall not commit any of the following acts which are considered violations of driving rules:

(a) Change course or position, or swerve in or out, or bear in or out during any part of the race in such a manner as to compel a horse to shorten its stride or cause another driver to change course, take his or her horse back, or pull his/her horse out of its stride.

(b) Impede the progress of another horse or cause it to break from its gait.

(c) Cross over too sharply in front of another horse or in front of a field horses in a reckless manner endangering other drivers

(d) Crowd another horse or driver by 'putting a wheel under it.'

(e) Allow another horse to pass needlessly on the inside, or otherwise commit any other act that helps another horse to improve its position in the race by opening up a hole without then promptly pulling to re-pass the horse, unless the failure to re-pass is necessitated by safety reasons.

(f) Carry another horse out.

(g) Take up or slow up abruptly in front of other horses so as to cause confusion or interference among the trailing horses.

(h) Maintain an outside position without making the necessary effort to improve his/her overall position.

(i) Jostle, strike or hook wheels or physically interfere with another horse or driver, or otherwise drive in a careless manner or fail to maintain reasonable control of the horse at all times during the race. For any violation that results in contact with another horse, driver or bike, the driver shall receive a minimum driving suspension of three days.

(j) Lay off a normal pace and leave a hole when it is well within the horse's capacity to keep the hole closed.

(k) Swerve in and out or pull up quickly, unless such action is taken for the safety or welfare of the horse or driver.

(l) Change course after selecting a position in the home stretch or swerve in and out or bear in and out in such a manner as to interfere with another horse or cause him to change course or take back.

(m) Kicking shall be defined as a blow or thrust with the foot against any part of the horse’s body or to impel by striking with the foot at any time on the racetrack, including before, during or after the race. Removal of a foot from the stirrups or any foot supports in and of itself is a violation. The penalty for kicking as defined herein shall not be less than nine days suspension.

(n) Cross the inside limits of the course.

(o) Turn the horse abruptly after the finish line of the race in order to return to the paddock or barn area.

(p) Fail to set, maintain or properly contest a pace comparable to the class in which the driver is racing considering the horse's ability, track conditions, weather and circumstances confronted in the race.

(q) If any violation of the above occurs during a meeting and results in a suspension from driving, the suspension must be served by the driver during that meeting unless the appeal process carries beyond the end of the meeting, in which event the suspension must be served during the same time of year that a subsequent meeting is being conducted at that race track.

(2) A complaint by a driver of any foul, violation of the rules or other misconduct during a race shall be made immediately after the race to which it relates, unless the driver is prevented from doing so by an accident or injury or other reasonable excuse. A driver desiring to enter a claim of foul, or other complaint of violation of the rules, shall make this known to the nearest patrol judge and shall proceed immediately to the paddock telephone to communicate immediately with the judges. The judges shall not cause the official sign to be posted until the matter has been dealt with.

(3) A driver unless incapacitated shall be guilty of a violation for failure to report any infraction by another driver against him/her that occurred during a race, or for lodging a complaint which the judges deem to be frivolous.

(4) If a violation is committed by a person driving a horse coupled as an entry the judges may set both horses back if, in their opinion, the violation may have affected the finish of the race, otherwise penalties may be applied individually.

(5) In the case of interference, collision, or violation of any rules, the offending horse may be placed back one or more positions in that heat or dash, and in the event of such collisions, interference or violation preventing any horse from finishing the heat or dash, the offending horse may be disqualified from receiving any winnings and the driver may be fined or suspended. If a horse is set back, it must be placed behind the horse with which it interfered. If an offending horse has interfered with a horse involved in a dead heat and the offending horse is set back, it must be placed behind the horses in the dead heat.

(6) If the judges believe that a horse is, or has been driven with design to prevent it winning a race or races, they shall consider it a violation by the driver.

(7) If the judges believe that a horse has been driven in an inconsistent manner, they shall consider it a violation.

(8) If the judges believe that a horse has been driven in an unsatisfactory manner due to lack of effort or a horse has been driven in an unsatisfactory manner for any other reason, they shall consider it a violation.

(9) If a horse is suspected to have choked or bled during a race, the driver and/or trainer of that horse is required to report this to the judges immediately after the race. This information shall be contained in the official past performance line of that horse.

(10) If, in the opinion of the judges, a driver is for any reason unfit or incompetent to drive, or is reckless in his/her conduct and endangers the safety of horses or other drivers in a race, after the positions have been assigned in the race he/she shall be removed and another driver substituted at any time and the offending driver may be subject to disciplinary action. The substitute driver shall be properly compensated.

(11) A driver must be mounted in the sulky at all times during the race or the horse shall be placed as a non-finisher.

(12) Shouting or other improper conduct in a race is forbidden.

(13) Drivers shall keep both feet in the stirrups during the post parade and from the time the horses are brought to the starting gate until the race has been completed. Drivers shall be permitted to remove a foot from the stirrups or any foot supports temporarily during the course of the race solely for the purpose of pulling ear plugs or to adjust equipment and once same have been pulled the foot must be placed back into the stirrup. Drivers who violate this rule may be subject to disciplinary action.

Adopted in version 9.1 ARCI 8/09/19

(14) The use of any goading device, chain, spur, mechanical or electrical device or any other device other than a whip as allowed in the rules, upon any horse, shall constitute a violation.

(15) The possession of any mechanical or electrical goading device on the grounds of an association shall constitute a violation.

(16) The judges/ judges shall have the authority to disallow the use of any equipment or harness that they feel is unsafe or not in the best interests of racing.

(17) Whipping a horse by using the whip below the level of the shafts or the seat of the sulky or between the legs of the horse shall be a violation.

(18) When a horse breaks from its gait, it shall be considered a violation on the part of the driver for:

(a) Failure to take the horse to the outside of other horses when clearance exists.

(b) Failure to properly attempt to pull the horse to its gait.

(c) Failure to lose ground while on a break.

(d) If no violation has been committed, the horse shall not be set back unless a contending horse on his/her gait is lapped on the hindquarter of the breaking horse at the finish. The judges may set any horse back one or more places if in their judgment, any of the above violations have been committed, and the driver may be penalized.

(19) If, in the opinion of the judges, a driver allows a horse to break for the purpose of losing a race, the driver shall be subject to disciplinary action.

(20) The horse whose nose reaches the finish line first is the winner. If there is a dead heat for first, both horses shall be considered winners. In races having more than one heat or dash, where two horses are tied in the summary, the winner of the longer dash or heat shall be entitled to the trophy. Where the dashes or heats are of the same distance and the horses are tied in the summary, the winner of the faster dash

or heat shall be entitled to the trophy. Where the dashes or heats are of the same time, both horses shall be considered winners and the entitlement of the trophy will be decided by lot.

(21) If, during the preliminary scores or during a race a driver is unseated in such a manner that he or she falls to the ground, the judges may direct the driver to report to the infirmary or to the emergency department of the nearest hospital for examination and receive written clearance to continue with driving assignments on that day of racing.

(22) If a horse is to warm up it must go its last warm-up on the same racing strip as it will compete on unless excused by the judges.

(23) If for any cause other than being interfered with, or broken equipment, a horse fails to finish after starting a race, that horse shall be ruled out of any subsequent heat of the same event. If it is alleged that a horse failed to finish a race because of broken equipment, this fact must be reported to the paddock judge who shall make an examination to verify the allegation and report the findings to the judges.

(24) Multiple Disqualifications. Should the judges determine more than one incident of interference is warranted in a race, they shall proceed as follows: (a) Resolve any/all incidents involving "lapped on breaks" at the finish,

(b) Initiate placings (where warranted) in the order in which they occur during the actual live race from the start to the finish of the race,

(c) Make a conscious effort to place and maintain as placed, every and all horse(s) placed behind others for interference. Adopted in version 9.1 ARCI 08/09/19 modified language

K. Use of the Whip

(1) In any/all Standardbred races, drivers will be allowed only black whips not to exceed four (4) feet in total length, plus a snapper not longer than six (6) inches.

(2) Under the authority of the Presiding Judge, all whips are subject to inspection and measurement. Alteration of whips, in any manner, shall be considered a prohibited practice.

(3) Drivers must control their horses at all times when on the racetrack. All drivers shall keep one (1) line in each separate hand. Bothe hands shall stay in front of the driver's body with a line in each separate hand. The handholds must be adjusted so as to be taut, at all times, from the starter's call to the gate through the word "GO" until the finish of the race.

(4) The whip shall be used in a conventional manner be holding the handle area at all times. Whipping is limited to wrist action with minimal elbow and/or shoulder movement.

(5) Whipping below the shaft(s), including but not limited to the stifle area, is prohibited.

(6) The following actions shall be considered as excessive and/or indiscriminate:

(a) Whipping a horse during post parade, scoring down or after the finish of the race;

(b) Abusive use of the whip;
(c) Striking any part of the horse under the tail and/or between the legs;
(d) Whipping a horse that is exhausted and/or not advancing through the field;
(e) Causing visible injury, or;
(f)Use of any object or stimulating device and/or application.

(7) Violations of any of these provisions may result in:
(a) Fines;
(b) Suspensions- including minor and/or major;
(c) Referral to the Commission or Regulatory Agency;
(d) Disqualification from a race for both purse and pari-mutuel purposes.

Adopted in version 9.1 ARCI 08/09/19; modified and added language in items (1) and (13)

L. Hub rail

If at a racetrack which does not have a continuous solid inside hub rail, a horse or part of the horse's sulky leaves the course by going inside the hub rail or other demarcation which constitutes the inside limits of the course, the offending horse shall be placed one or more positions where, in the opinion of the judges, the action gave the horse an unfair advantage over other horses in the race, or the action helped the horse improve its position in the race. In addition, when an act of interference causes a horse or part of the horse's sulky to cross the inside limits of the course, and the horse is placed by the judges, the offending horse shall be placed behind the horse with which it interfered.

M. Passing Lane

(1) With the approval of the commission, an association may extend the width of its homestretch up to ten feet inward in relation to the width of the rest of the track.
(2) Horses using the passing lane must first have complete clearance of the pylons. Any horse or sulky running over the pylons and/or going to the inside of the pylons to clear shall be disqualified.
(3) When a passing lane exists, a horse may not enter the passing lane except under the following conditions.
(a) When entering the final homestretch run.
(b) For the purpose of attempting to improve the horse's position.

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: Modify rule format
Version 4.1 to 4.2 ARCI 3/26/2008 Added language regarding multiple disqualifications
Version 4.4 to 4.5 ARCI 4/23/09 Amended language: whip rule

N. Disorderly Conduct

The following shall constitute disorderly conduct and be reason for a fine, suspension or revocation of a driver’s or trainer’s license:

(1) Failure to obey judge’s orders that are expressly authorized by the rules

(2) Failure to drive when programmed unless excused by the judges
(3) Appearing in the paddock in an unfit condition to drive (4) Fighting
(5) Assaults
(6) Offensive and profane language
(7) Smoking on the racetrack in driving colors during actual racing hours
(8) Warming up a horse prior to a race without driving colors
(9) Disturbing the peace
(10) Refusal to take a breath analyzer test and/or any recognized test relative that shall produce immediate results or upon probable cause submit a body fluid sample when directed by the presiding judge
(11) Failure to participate in the post parade at the prescribed time unless excused by the judges.

Adopted in version 9.1 ARCI 08/09/19 Saratoga
Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 2.1 to3.0 ARCI 4/3/04 NAPRA 4/3/04: Rule topic change from Harness Racing Veterinary Practices, Equipment, Health and Medication

O. No Contest

1. Should an accident or malfunction of the starting gate, or other unforeseeable event compromise the fairness of the race or the safety of the race participants, the Judges 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. Any race designated as "For Purse Money Only" shall also be treated as a "No Contest" for Pick (n) wagering purposes, with all runners considered winners.
2. The following items shall be considered before the Judge can declare a heat or a race a "no contest":
   a. In the event an accident occurs on the track during a heat or race and the field must pass the spot of the accident before the finish;
   b. If one or more driver or horse is down;
   c. If, in the opinion of the Judges, the safety of the drivers and horses are in jeopardy due to an incident;
   d. If a horse is traveling clockwise; OR
   e. In the event the racetrack is thrown into darkness during the progress of a race by failure of electricity.

Adopted in Version 12.1 ARCI 6/27/23 Indianapolis
Version 13.1 to Version 14 ARCI Board of Directors 5/7/25 added language to Section O, subsection 1 as to Pick (n) wagers

EQUINE VETERINARY PRACTICES, HEALTH AND MEDICATION - CHAPTER 25

ARCI-025-005 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
Version 2.1 to3.0 ARCI 4/3/04 NAPRA 4/3/04: Deleted and modified rule language

ARCI-025-010 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 judges. The official veterinarian shall recommend to the judges 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 commission.

(2) Prescriptions for horses at locations under the jurisdiction of the commission should be written and/or dispensed only by duly licensed veterinarians in the context of a valid veterinarian-client-patient relationship and based upon a specific medical diagnosis.

(3) 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.

(4) Subsection C (3) does not apply to the administration of the following substances:

(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.

(5) Subsections 4(a) through 4(c) do not waive the requirement to meet quantitative levels as required by the Controlled Therapeutic Medication Schedule, Version 2.2.

(6) Any drug or medication for horses which is used or kept on association grounds and which, by federal law, state or provincial law, or racing commission regulation requires a prescription must be prescribed in compliance with applicable state or provincial statutes and regulations by a veterinarian who is duly licensed by either:

(a) the commission in which the association grounds are located;

(b) the veterinary board in the state or province in which the association grounds are located; or

(c) the state or province in which the horse was located at the time of the examination, diagnosis, and prescription.

(7) 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 judges

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 judges and/or the Commission.

(8) 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-025-020 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 judges.

(9) Any horse entered for racing must be present on the association grounds [4]* 5 horse prior to the post time of the race they are enter in.

*(The RMTC recommended 4 hours the Joint Model Rules Committee after discussion changed it to 5 hours in order to allow the legal administration of Salix)

D. Veterinarians' Reports

(1) Every veterinarian who treats a racehorse at any location under the jurisdiction of the Commission shall, in writing on the Medication Report From prescribed by the Commission, report to the official veterinarian or other commission designee at the racetrack where the horse is entered to run or as otherwise specified by the commission, the name of the horse treated, any medication, drug, substance, or procedure administered or prescribed, the name of the trainer of the horse, the date and time of treatment and any other information requested by the official veterinarian.

(2) The Medication Report Form shall be signed by the practicing veterinarian.

(3) The Medication Report Form must be filed by the treating veterinarian not later than post time of the race for which the horse is entered. Any such report is confidential and its content shall not be disclosed except in the course of an investigation of a possible violation of these rules or in a proceeding before the judges or the Commission, or to the trainer or owner of record at the time of treatment.

(4) A timely and accurate filing of a 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 rule.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 2.1 to3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended and modified 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 on who can authorized veterinary treatment and limits when veterinarians have access to horses scheduled to race.
Version 6.1 to 6.2 ARCI Meeting of the Members 3/24/2016 Amended ARCI-025-010, Language pertaining to Medical Labeling
Version 7.0 to 8.0, adopted ARCI-025-010(B), ARCI Board of Directors, 4/20/2017; remainder of section re-numbered accordingly

ARCI-025-015 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 Trispyprophosphate (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.

Annexed Materials
For ARCI-025-015

- **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 ARCI-025-015. 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 (5α-androst-1-ene-3β,17β-diol); 1androstenedione (5α- androst-1-ene-3,17-dione); bolandiol (estr-4-ene-3β,17β-diol); bolasterone; boldenone; boldione (androsta-1,4-diene-3,17dione); calusterone; clostebol; danazol ([1,2]oxazolo[4',5':2,3]pregna-4-en-20-yn17αol);dehydrochlormethyltestosterone (4-chloro17βhydroxy-17α-methylandrosta- 1,4-dien-3-one); desoxymethyltestosterone (17α-methyl-5α-androst-2-en- 17β-ol); drostanolone; ethylestrenol (19-norpregna-4en17α-ol); fluoxymesterone; formebolone; furazabol (17α-methyl[1,2,5]oxadiazolo[3',4':2,3]-5α-androstan-17β-ol); gestrinone; 4- hydroxytestosterone (4,17βdihydroxyandrost-4-en-3-one); mestanolone; mesterolone; metandienone (17β-hydroxy17αmethylandrosta-1,4-dien-3- one); metenolone; methandriol; methasterone (17β-hydroxy-2α,17α-dimethyl-5α-androstan-3-one); methyldienolone (17βhydroxy-17α- methylestra-4,9-dien-3-one); methyl1testosterone (17β-hydroxy-17α-methyl-5α-androst-1en3-one); methylnortestosterone (17β-hydroxy17αmethylestr-4-en-3-one); methyltestosterone; metribolone (methyltrienolone, 17β- hydroxy-17αmethylestra-4,9,11trien-3-one); mibolerone; nandrolone;
19-

norandrostenedione (estr-4-ene-3,17-dione); norboletone; norclostebol; norethandrolone; oxabolone; oxandrolone; oxymesterone; oxymetholone; prostanozol (17β[(tetrahydropyran-2-yl)oxy]-1'H-pyrazolo[3,4:2,3]-5α-androstane); quinbolone; stanozolol; stenbolone; 1testosterone (17β- hydroxy-5α-androst-1-en-3-one); tetrahydrogestrinone (17-hydroxy-18a- homo-19-nor17αpregna-4,9,11-trien-3-one); trenbolone (17βhydroxyestr- 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-3β,17β-diol); androstenedione (androst-4-ene-3,17-dione); dihydrotestosterone (17β-hydroxy-5α-androstan-3-one); prasterone (dehydroepiandrosterone, DHEA, 3βhydroxyandrost-5-en-17-one); testosterone;
and their metabolites and isomers, including but not limited to: 5α-androstane-3α,17α-diol; 5α-androstane-3α,17β-diol; 5αandrostane-3β,17α-diol; 5α-androstane-3β,17β-diol; 5βandrostane-3 α, 17β-diol, androst-4-ene-3α,17α-diol; androst-4-ene-3α,17β-diol; androst-4-ene-3β,17α-diol; androst-5-ene-3α,17α-diol; androst-5-ene-3α,17β-diol; androst-5-ene-3β,17α-diol; 4-androstenediol (androst4ene-3β,17β-diol); 5-androstenedione (androst-5-ene3,17dione); androsterone (3 β-hydroxy-5 α –androstan-17one); epi-dihydrotestosterone; epitestosterone; etiocholanolone; 7α-hydroxy-DHEA ; 7β-hydroxy-DHEA; 7keto-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:

8. Erythropoietin-Receptor agonists:

    1.3 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

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

9. 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);

10. Chorionic Gonadotropin (CG) and Luteinizing Hormone (LH) and their releasing factors, in males;

11. Corticotrophins and their releasing factors;
12. 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);

13. 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.

14. 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 (PPARδ) 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, desmorpressin, 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:

2. The transfer of polymers of nucleic acids or nucleic acid analogues.

2. The use of normal or genetically modified hematopoietic cells.

Annex II

Restricted Therapeutic Use Requirements

Prohibited Substance	Required Conditions for Therapeutic Use Exemption						
	Report When Sampled	Pre-file Treatment Plan	Written Approval from Commission	Emergency Use (Report)	Prescribed by Veterinarian	Veterinary Record	Other Limitations
Adrenocorticotropic Hormone (ACTH)		X			X	X	
Albuterol					X	X	
Altrenogest					X	X	Fillies/Mares only
Autologous Conditioned Plasma							
Bisphosphonates (clohdrorothers tiludronate only; all prohib all times					X	X	Four years of age 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 List
Chorionic Gonadotropin		X	X_1		X	X	60-day Vet List
Furosemide	X				X	X	

Luteinizing Hormone		**X**	**X**[1]		**X**	**X**	**60-day Vet List**
Nandrolone		**X**			**X**	**X**	**6-month Vet List**
Nucleic Polymer Transfers		**X**	**X**				
Platelet Rich Plasma (PRP)	**X**				**X**	**X**	

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 condition.
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 results of a Thyrotropin Releasing Hormone (TRH) Response Test establishing a diagnosis of hypothyroidism, 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.

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: Shockwave to 10 days
Version 5.6 to 5.7 ARCI Board 4/9/2014 Amended language in ARCI-025-015 (4) pertaining to Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy
Version 7.0 to 8.0, ARCI Board, Amended ARCI-025-011, 4/20/2017
Version 7.0 to 8.0, ARCI Board, Added *Annex I: Prohibited List,* and *Annex II: Restricted Therapeutic Use Requirements,* 4/20/2017

ARCI-025-020 Medications and Prohibited Substances

Upon a finding of a violation of these medications and prohibited substances rules, the judges 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 judges 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 judges 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 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, United States Drug Enforcement Agency (DEA) Schedule I drugs and many Schedule II. Also found in this class are drugs that are potent stimulants of the Central Nervous System (CNS). 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 are placed 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 (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:

(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; and

(e) Potent diuretics affecting renal function and body fluid composition; (f) Anabolic and/or androgenic steroids or other drugs.

(4) Class 4

Drugs placed in this class 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 cardiotonic drugs.

(i) Topical Anesthetics--agents not available in injectable formulations; (j) Antidiarrheal drugs;

(k) Miscellaneous drugs including:

(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 judges 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 ARCI *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;

(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.

The following are recommended penalties for violations due to the presence of a drug carrying a Category "A" penalty and for violations of ARCI-025-015: Prohibited Practices:

LICENSED TRAINER:		
1st offense	**2nd LIFETIME offense in any jurisdiction**	**3rd LIFETIME offense in any jurisdiction**
◦ Minimum one-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a three-year suspension. **AND** ◦ 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). **AND** ◦ May be referred to the Commission for any further action deemed necessary by the Commission.	◦ 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. **AND** ◦ 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). AND ◦ May be referred to the Commission for any further action deemed necessary by the Commission.	◦ 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. **AND** ◦ 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). AND ◦ 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**
◦ Disqualification and loss of purse. **AND**	◦ Disqualification and loss of purse. **AND**	◦ Disqualification, loss of purse and $50,000 fine. **AND**

◦ 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.	◦ 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.	◦ 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. **AND** ◦ 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 presence of more than one NSAID in a plasma/serum sample, subject to the provisions set forth in ARCI-025-020(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**
◦ 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.	◦ Minimum 30-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 180-day suspension. **AND** ◦ Minimum fine of $1,000 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of $2,500.	◦ 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.
LICENSED OWNER:		

1st offense	**2nd offense in stable (365-day period) in any jurisdiction**	**3rd offense in stable (365-day period) in any jurisdiction**
◦ Disqualification and loss of purse [in the absence of mitigating circumstances]*. **AND** ◦ Horse must pass a commission-approved examination before becoming eligible to be entered.	◦ Disqualification and loss of purse [in the absence of mitigating circumstances]*. **AND** ◦ Horse must pass a commission-approved examination before becoming eligible to be entered.	◦ Disqualification and loss of purse, and in the absence of mitigating circumstances a $5,000 fine.* **AND** ◦ 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 RMTC recommendation called for loss of purse to happen in absence of mitigating circumstances the Joint Model Rules Committee has made loss of purse mandatory in their proposal)

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) Flunixin (>5.0 ng/ml) Ketoprofen (>2.0 ng/ml) and CLASS C Violations**
1st Offense (365-day period) in any jurisdiction	Minimum fine of a written warning to a maximum fine of $500	Minimum fine of $1,000 absent mitigating circumstances

2nd Offense (365-day period) in any jurisdiction	Minimum fine of a written warning to a maximum fine of $750	Minimum fine of $1,500 and 15-day suspension absent mitigating circumstances
3rd Offense (365-day period) in any jurisdiction	Minimum fine of $500 and 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**
1st 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
2nd 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
3rd 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.

(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 judges or the commission.

(11) Any person who the judges 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 judges or the commission in no way prohibits a prosecution for criminal acts committed, nor does a potential criminal prosecution stall administrative action by the judges 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-D, as provided in the most recent version of the ARCI Uniform Classification Guidelines for Foreign Substances, 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 each additional violation within 365 days[5]	1 for first violation with an additional ½ point for each additional violation within 365 days
Class D	0	0

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

If the Judges 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 Judges or Commission ruling shall be included in the ARCI official database and the ARCI shall assign points consistent with Section 13(b) for advisory purposes for medication violations where points have not been assigned by regulatory action. Points assigned by such regulatory action or by the ARCI shall reflect, in the case of multiple positive tests as described in paragraph (d), whether they shall thereafter constitute a single violation. The Judges' 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 Association of Racing Commissioners International. 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 Judges 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 Judges may treat each substance found as an individual violation for which points will be assigned.

(e) The official ARCI record shall be used to advise the Judges 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 Judges 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 more than one violation for the relevant time period, and (ii) Exceeds the permissible number of points.

The Judges 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.

(i) The Judges' or Commission Ruling shall distinguish between the penalty for the underlying offense and any enhancement based upon a Judges or Commission review of a 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;

(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) prescription number when dispensed by a pharmacy if required by law;

(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 ARCI011-020(D). A surrender shall not be deemed voluntary after a licensee has been advised or it is apparent that an investigatory search has commenced.

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

(1) The use of NSAIDs shall be governed by the following conditions:

(a) NSAIDs included in the ARCI Controlled Therapeutic Medication Schedule, Version 2.2, are not be used in a manner inconsistent with the restrictions contained therein. (A)

(b) NSAIDs not included on the ARCI Controlled Therapeutic Medication Schedule, Version 2.2, are not to be present in a racing horse biological sample at the laboratory concentration of detection.

(d) The presence of more than one NSAID may constitute a NSAID stacking violation consistent with the following restrictions:

A. Class 1 NSAID Stacking Violation (Penalty Class B) occurs when:

i. Two non-steroidal anti-inflammatory drugs are found at individual levels determined to exceed the following restrictions:

g. Diclofenac – 5 nanograms per milliliter of plasma or serum;
h. Firocoxib - 20 nanograms per milliliter of plasma or serum;
i. Flunixin – 20 nanograms per milliliter of plasma or serum;
j. Ketoprofen – 2 nanograms per milliliter of plasma or serum;
k. Phenylbutazone – 2 micrograms per milliliter of plasma or serum; or
l. all other non-steroidal anti-inflammatory drugs – laboratory concentration of detection

ii. Three or more non-steroidal anti-inflammatory drugs are found at individual levels determined to exceed the following restrictions:

a. Diclofenac – 5 nanograms per milliliter of plasma or serum;
b. Firocoxib - 20 nanograms per milliliter of plasma or serum;
c. Flunixin – 3 nanograms per milliliter of plasma or serum;
d. Ketoprofen – 1 nanograms per milliliter of plasma or serum;
e. Phenylbutazone – 0.3 micrograms per milliliter of plasma or serum; or
f. all other non-steroidal anti-inflammatory drugs – laboratory concentration of detection.

B. A Class 2 NSAID Stacking Violation (Penalty Class C) occurs when:

i. Any one substance noted in Subsection (A)(i) above is found in excess of the restrictions contained therein in combination with any one of the following substances at levels below the restrictions so noted but in excess of the following levels:

a. Flunixin – 3.0 nanograms per milliliter of plasma or serum;
b. Ketoprofen – 1 nanogram per milliliter of plasma or serum; or
c. Phenylbutazone – 0.3 micrograms per milliliter of plasma or serum;

C. A Class 3 NSAID Stacking Violation (Penalty Class C, fines only) occurs when:

i. Any combination of two of the following non-steroidal anti inflammatory drugs are found at or below the restrictions in Subsection (A)(i)(a through e) above but in excess of the noted restrictions:

a. Flunixin – 3 nanograms per milliliter of plasma or serum;
b. Ketoprofen – 1 nanogram per milliliter of plasma or serum; or
c. Phenylbutazone – 0.3 micrograms per milliliter of plasma or serum.

(2) Any horse to which a NSAID has been administered shall be subject to having a blood and/or urine sample(s) taken at the direction of the official veterinarian to determine the quantitative NSAID level(s) and/or the presence of other drugs which may be present in the blood or urine sample(s).

F. 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.

(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:

(c) 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.

(d) 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.

(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.

G. 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 judges 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.

H. Environmental Contaminants and Substances of Human Use

COMMITTEE NOTE: Consortium says that potential substances identified in this section will be put through the same scientific review process in order to determine whether a threshold concentration can be established.

(1) Environmental contaminants in that they are endogenous to the horse or that they 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) The following drugs are recognized as substances of human use and addiction and which could be found in the horse due to its close association with humans: (a)

(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.

I. Androgenic-Anabolic Steroids

(1) No AAS shall be permitted in test samples collected from racing horses except for endrogenous 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; male 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 5α-estrane-3β,17α-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 less 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 post-race 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.

J. 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:

(3) The regulatory threshold for TCO2 is 37.0 millimoles per liter of plasma/serum or a base excess level of 10.0 millimoles, and;

(4) 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.

K. Compounded Medications on Association Grounds

(8) 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.

(9) 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.

(10) 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.

(11) 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.

(12) 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

(13) Labels on compounded veterinary drugs. All compounded medications must be labeled in accordance with section ARCI-011-020(D) : Medical Labeling

(14) Possession of an improperly labeled product by any person on Association Grounds is considered a violation of this section.

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 to3.0 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 12/9/2013 Amended Androgenic-Anabolic Steroid language
Version 5.6 to 5.7 ARCI Board 4/9/2014 Amended language in ARCI-025-020 (B)(13) pertaining to Multiple Medication Violation (MMV)
Version 5.6 to 5.7 ARCI Board 4/9/2014 Amended language in ARCI-025-020 (B)(13) pertaining to Multiple Medication Violation (MMV)
Version 5.6 to 5.7 ARCI Board 4/9/2014 Deleted language in ARCI-025-020 (H) pertaining to Anti-Ulcer Medications
Version 5.6 to 5.7 ARCI Board 4/9/2014 Amended language in ARCI-025-020 (I) pertaining to Androgenic Anabolic Steroids Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Reconciled ARCI-025-020(A) with Uniform Classification Guidelines language.
Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Updated ARCI-025-020(B) to reflect amended levels of Ketoprofen Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Amended ARCI-025-020(E) to reflect Class 1-3 NSAID Stacking
Penalties
Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Amended ARCI-025-020(H) in relation to Environmental Contaminants and Substances of Human Abuse
Version 5.8 to 5.9 ARCI Board 12/12/2014 Amended ARCI-025-020(E)(1(c)(C)(i) Class 3 Anti-Stacking Violations
Version 5.8 to 5.9 ARCI Board 12/12/2014 Added ARCI-025-020(K) Compounded Medications on Association Grounds Version 5.9 to 6.0 ARCI Board of Directors 7/16/2015 Amended ARCI-025-020(B) Penalties
Version 6.1 to 6.2 ARCI Meeting of the Members 3/24/2016 Amended ARCI-025-020 (D) Medical Labeling
Version 6.3 to 7.0, ARCI Board 12/09/2016; Amended ARCI-025-020(B)(13) Multiple Medication Violations; MMV 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 8.4.1 to 8.5 ARCI Board 12/03/2018 Amended ARCI-025-020 I (2) (c) to 100 picograms/ml
Version 9.5 to 10.0 ARCI Board 07/13/2021 Made furosemide usage in a furosemide restricted contest a Penalty Class B violation
Version 10.0 to 10.1 ARCI Board 11/29/2021 Amended ARCI-010-020(D)(1) Scale of Weights
Version 10.1 to 11.0 ARCI Board 12/10/2021 Amended Annex II, Restricted Use Therapeutic Requirements "Restricted Therapeutic Use Requirements," Footnote for Thyroxine
Version 11.0 to 11.1 ARCI Board 7/28/2022 Added ARCI-023-020 (11) and (12) Standardbred Voided Claim Rule

ARCI-025-022 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 member commission to enforce its medication and anti-doping 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 out-of- competition 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.

Adopted Version 4.1 ARCI 4/26/07
ARCI-025-022 Amended (Version 8.0), ARCI Board of Directors, 4/20/2017

ARCI-025-023 Testing

A. Reporting to the Test Barn

(1) The official winning horse and any other horse ordered by the Commission and/or the judges 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 judges or the Commission at any time on any horse on association grounds.

(3) Unless otherwise directed by the judges 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) Blood samples must be collected at consistent time, preferably not later than one hour post-race.

C. 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 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.

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.

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.

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.

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) 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 judges 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.

(3) 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.

(4) 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.

(5) 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.

(6) 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.

(7) 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.

(8) 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.

(9) 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.

D. Frozen Samples

The commission has the authority to direct the official laboratory to retain and preserve by freezing samples for future analysis. 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.

E. 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 2.1 to3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended and modified rule language; Rule topic was renumbered from ARCI025-025
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 5.9 to 6.0 ARCI Board of Directors 7/16/2015 Amended ARCI-025-023(E) Laboratory Minimum Standards

ARCI-025-025 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 ARCI-011-010(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:

(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 judges and the official veterinarian and compliance with the rules in this chapter governing post-mortem examinations;

(i) Maintaining a knowledge of the medication record and status;

(j) Immediately reporting to the judges 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 judges; 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 to3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended and modified rule language; Rule topic was renumbered from ARCI025-030
Version 6.1 to 6.2 ARCI Meeting of the Members 3/24/2016 Amended ARCI-025-025, Language pertaining to Medical Labeling

ARCI-025-030 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, or if necessary the association veterinarian.

(3) The assessment of a horse's racing condition shall include:

(a) Proper identification of each horse inspected;

(b) Clinical observation of each horse in motion during a warm-up mile, during the post parade, during the running of the race, and following the race until the horse has exited the race track;

(c) Visual inspection of the entire horse and assessment of overall condition; and, (d)

(e) Any other inspection deemed necessary by the official veterinarian and/or the racing veterinarian including but not limited to manual palpation and/or manipulation of the limbs.

(4) The official veterinarian and/or the racing veterinarian shall maintain a permanent, continuing health and racing soundness record of each horse inspected.

(5) The official veterinarian and/or the racing veterinarian are authorized access to any and all horses housed on the association grounds regardless of entry status.

(6) If, prior to starting, a horse is determined to be unfit for competition, the veterinarian will recommend to the judges the horse be scratched.

(7) Horses scratched upon the recommendation of the official veterinarian and/or the racing veterinarian are to be placed on the Veterinarians' List

B. Veterinarian's List

(1) The official veterinarian shall maintain the Veterinarians' List of all horses which are determined to be unfit to compete in a race due to illness, physical distress, unsoundness, infirmity or any other medical condition. Horses so listed are ineligible to enter to race in any jurisdiction until released by an official veterinarian or racing veterinarian.

(2) A horse may be removed from the Veterinarian's List when, in the opinion of the official veterinarian, the condition which resulted in the horse's placement on the Veterinarians' List is resolved and the horse's status is returned to racing soundness.

(3) Horses participating in a qualifying race or working to be released from the Veterinarians' List are to be in compliance with ARCI-025-020 and are to be subjected to post-exercise biologic sample collection for laboratory confirmation of compliance.

(4) Horses may be released from the Veterinarians' List only by authorization of an official veterinarian or the racing regulatory veterinarian.

(5) Horses having generated of a "positive" post-race test for a RCI Class I, II, III or IV substance shall be required to generate a negative test at the expense of the current owner prior to being entered for the first start following the positive test.

C. Postmortem Examination

(1) The Commission may conduct a postmortem examination of any horse that is injured in this jurisdiction while in training or in competition and that subsequently expires or is destroyed. In proceeding with a

postmortem examination the Commission or its designee shall coordinate with the trainer and/or owner to determine and address any insurance requirements.

(2) The Commission may conduct a postmortem examination of any horse that expires while housed on association grounds or at recognized training facilities within this jurisdiction. Trainers and owners shall be required to comply with such action as a condition of licensure.

(3) The Commission may take possession of the horse upon death for postmortem examination. The Commission may submit blood, urine, other bodily fluid specimens or other tissue specimens collected during a postmortem examination for analysis. Upon completion of the postmortem examination, the carcass may be returned to the owner or disposed of at the owner's option.

(4) The presence of a prohibited substance in a specimen collected during the postmortem examination may constitute a violation.

(5) The cost of Commission-ordered postmortem examinations, testing and disposal shall be borne by the Commission.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 2.1to 3.0: Amended and modified rule language; Rule topic was renumbered from ARCI-025-035
Version 2.1to 3.0: Deleted Rule; Rule topic was renumbered from ARCI-025-030
Version 4.4 to 4.5: Amended language

APPENDIX A

AAEP Healthy Horse Protocol: Biosecurity Guidelines for Racetrack Entry and Stabling (2020)

The following guidelines were developed by the AAEP Infectious Disease Committee in order to establish uniform health protocols regarding the entrance of horses to a racing venue as well as the ongoing monitoring of health status while at the facility.

Prior to Departure to Racing Venue:

- Temperatures should be taken and recorded twice daily at least three days prior to movement to the racing venue.
- Horses should be observed by a licensed veterinarian in consultation with the horse's caretaker for clinical signs including, but not limited to, discharge from the eyes or nose; cough; diarrhea or abnormal manure; erratic or unusual behavior; abnormal stance; abnormal movement such as wobbly gait or incoordination; inability to move the tail; or straining to urinate.
- Any horse with a temperature over 101.5°F or any signs of illness must not be shipped to a racetrack or training center. A veterinarian should examine the horse and then implement the appropriate biosecurity measures in accordance with AAEP biosecurity guidelines.
- Horses stabled where there are sick horses—cases of infectious, contagious or communicable disease such as described above in bullet 2—should not be moved unless veterinary examination and clinical history determine that it is safe to do so.
- Horses moving interstate must meet the entry requirements of the destination state, racing commission, and individual racetrack or training center. Requirements for interstate movement can be found by contacting the office of the state veterinarian in the state of destination or by visiting https://www.interstatelivestock.com. Entry requirements can change and should be checked prior to scheduling shipment to another state.
- Horses should be observed for any signs of disease prior to loading on the trailer. Only healthy horses shall be loaded onto the trailer.
- Racetrack operators and veterinarians should routinely consult the Equine Disease Communication Center (EDCC) website or EDCC app to see the current status and location of disease outbreaks. This tool assists with making informed decisions on whether to ship, accept or exclude horses from other locations.

Entry to Racing Venue: Recommended Facility Requirements:

- Only horses deemed to be healthy will be permitted to enter a racing venue. At the time of offloading,

a designated individual shall inspect the animal. Animals that can't be inspected at the time of arrival and offloading should be placed in isolation stabling until such inspection can be performed.

- Any horse displaying an obvious sign of illness, including but not limited to, discharge from the eyes or nose; cough; diarrhea or abnormal manure; change in behavior; abnormal stance; abnormal movement such as wobbly gait or incoordination; loss of tail tone; or straining to urinate should not enter the general stabling area until examined by a veterinarian. A clinically abnormal horse should be diverted to a veterinary hospital, approved isolation facility or back to its origin, depending on the circumstances and severity of signs.

- Following arrival at a racetrack or training center, horses should be promptly examined by an attending veterinarian for signs of illness. Horses with a temperature over 101.5°F must be reported immediately to the official veterinarian.

- In the event that ambient temperature or stress of transport may have contributed to an elevated temperature, the attending veterinarian should request re-evaluation of any horse with a temperature over 101.5F (e.g. retaking the horse's temperature) within two hours of arrival.

- Within 24 hours of entry at a racing or training facility, the attending veterinarian is responsible for observing the horse for clinical signs of disease and reviewing temperature recordings.

- Horses must show proof of vaccination by a licensed veterinarian within the prior 12 months for EEE/WEE/WNV and tetanus. In addition, Rabies vaccination is strongly recommended pursuant to the AAEP's vaccination guidelines.

- Horses must show proof of vaccination by a licensed veterinarian within the prior 6 months for equine influenza and equine herpesvirus (EHV1 and EHV4).

- All horses entering must present a valid negative Equine Infectious Anemia Test (AKA Coggins test) dated within the last 12 months unless otherwise mandated by the local racing jurisdiction or state laws. A more recent Equine Infectious Anemia test (AKA Coggins test) may be required if the horse originates from an area of high risk.

- All horses must present, at arrival, a valid Certificate of Veterinary Inspection (health certificate) issued by a licensed accredited veterinarian within 14 days of arrival. (When necessary due to health risk concerns, the time frame for issuance may be shortened to require an examination within 72 hours of shipment).

    - Racetrack management should issue notifications when arrival health requirements are changed.
    - Equine Infectious Anemia test (AKA Coggins test) should be available to state animal health officials upon request.

- A horse failing to meet entry health requirements or not accompanied by the necessary documents as outlined above will be refused entry to the racing venue.

While Stabled at the Racing Venue:

- All horses should be observed daily, and temperatures taken and recorded twice daily by the trainer or a member of the trainer's staff.
- Temperatures shall be taken prior to any medications or exercise in the morning and in the afternoon.
- Any temperature above 101.5°F will be reported immediately to the attending veterinarian who should perform an appropriate exam.
- Horses displaying clinical signs should be evaluated by a veterinarian. Any horse deemed to pose an infectious disease risk as determined by veterinary examination shall be moved to isolation stabling.
- Horses potentially exposed to a horse that has signs of infectious disease should have increased monitoring for possible infection and their movement limited if applicable.
- Owner/trainers shall maintain proper vaccine protocol in horses residing on the racing venue. Vaccination protocols may vary based on geographic area. At a minimum, horses shall be vaccinated annually for EEE/WEE/WNV, rabies and tetanus and every six months for influenza and equine herpesvirus (EHV1 and EHV4) (equine rhinopneumonitis).
- Be aware that humans and objects can transmit infectious diseases, therefore care should be taken to minimize horse-to-horse contact, horse-to-human-to-horse contacts, and sharing of equipment. Any shared equipment should be cleaned and disinfected between use on different horses.
- During an infectious disease outbreak, all responsible parties will adhere to disease control measures implemented by racing jurisdiction and/or state veterinarian authority.
- When an infectious disease is suspected or diagnosed, owners, trainers and veterinarians should consult the Equine Disease Communication Center website or the EDCC app to be aware of current outbreaks and to utilize EDCC fact sheets and biosecurity recommendations.

Approved by AAEP board of directors in 2020.

GENERAL BIOSECURITY GUIDELINES

The AAEP Biosecurity Guidelines were developed as an instructional resource for equine veterinarians working collaboratively with clients and industry stakeholders to develop and

implement biosecurity plans on equine facilities.

Biosecurity plans for equine facilities enhance equine health, public health, and business continuity. Biosecurity for equine facilities includes all practices intended to prevent the introduction and minimize the spread of infectious disease agents in equine populations. Veterinarians often provide services for equids in environments at high-risk of infectious disease introduction and transmission, including veterinary clinics, equine event facilities, and stables where there is frequent movement of equids on and off the premises. This document will concentrate on biosecurity recommendations for equine events and stables. Several private and university veterinary hospitals have written biosecurity standard operating procedures for their equine veterinary field practice and clinics. In addition to assisting their clients in developing a biosecurity plan, it is important that the equine veterinarian have a plan to minimize the risk they themselves might pose while providing their professional services. At all times, the veterinarian should serve as a model citizen of biosecurity by demonstrating practices that protect their patients from infectious disease and educating clients as they develop biosecurity programs for their facilities.

While there are overarching infection control principles which have broad applicability across most diseases and facility types, every equine event and every premises is unique. Therefore, it is important for veterinarians to work with other event and/or facility stakeholders in advance of an urgent issue (i.e., BEFORE an outbreak) to develop plans that are practical and effective for the particular facility in question. Many people focus on the "outbreak management" aspect of biosecurity, but arguably more important are the day-to-day biosecurity practices that minimize the likelihood of a disease outbreak in the first place or make it easier to quickly contain an outbreak with minimal disruption and expense.

Therefore, a comprehensive biosecurity plan developed collaboratively with an equine veterinarian includes implementing routine preventative protocols that take into consideration all means by which infectious disease could be introduced and spread, as well as developing protocols for responding to confirmed or suspected cases of infectious disease.

The following document provides step-by-step instruction for practitioners striving to develop effective biosecurity and outbreak response protocols for their clients and practices. It is important that protocols be updated regularly on the basis of information gained in the wake of managing a prior incident or new findings pertaining to specific infectious diseases.

AAEP BIOSECURITY GUIDELINES

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I. Identification of Key Personnel, Important Contacts, and Reference Materials

1. Facility personnel responsible for organization of biosecurity (both routine and outbreak related) should be identified. Responsibilities and numbers of these personnel will vary and are dependent upon the type of facility but there should be a "person-in-charge" and a "chain of command" established. In the event of an outbreak, additional personnel will be required to facilitate immediate actions, such as isolation of affected horses. These individuals should be designated ahead of time.
2. Other contacts to identify and record:
    a. State and Federal Animal Health Official
    b. State Office of Public Health
    c. Event or Stable Veterinarian
    d. Veterinary diagnostic laboratory of choice
    e. Competition/Event Manager
    f. Equine Event Facility manager if different than the event manager
    g. Governing body of event
    h. Carcass removal company
    i. Referral hospital(s) for treatment of ill equids
    j. Potential locations for off-site isolation of exposed and/or ill horses
    k. Local feed store
    l. Manure and bedding disposal company
    m. Farrier
3. The Equine Disease Communication Center is an excellent resource for outbreak alerts, disease information, state veterinarians and reportable diseases by state, as well as additional advice on biosecurity.
4. A Biosecurity Worksheet is provided to assist veterinarians in taking a practical approach to the development and implementation of biosecurity protocols

II. Routine Biosecurity Protocols

1. Equine entry onto the premises
    a. Routine requirements
        i. For events or stables, restrict entry to healthy equids only and set policy for refusing entry of equids displaying clinical signs of infectious disease (see Section III.b.iii). Ideally, staff should observe equids upon arrival to confirm animal identification, check health documents and observe equids for general signs of good health. Consideration can be given to the requirement for a recent certificate of veterinary inspection (CVI) and certification by the exhibitor or owner regarding the horse's recent disease exposure history.
        ii. New entries to stables where there are long-term resident equids should be isolated from the resident equids for 2-3 weeks and monitored for signs of contagious disease. During this time, equipment should not be shared among new and resident equids, and caretakers should ideally follow protocols described in Section III.

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iii. Resident equids returning to their home stable from an event should be fully isolated or at least have their temperatures checked twice daily for at least 1 week to allow early detection of disease.
iv. It is good practice to segregate equids on a facility by use and age. For example, show equids should be segregated from resident broodmares and their foals.
v. Premises may require that equids have documentation of specific vaccinations (See AAEP Vaccination Guidelines for recommendations).
    1. For premises with increased public exposure risks, a rabies vaccination requirement is prudent to protect both animal and public health.
vi. Apply animal health standards for other species of animals (e.g., cattle) entering the premises.
    1. Recommend housing different species of animals separate from equine populations.
vii. Equids belonging to the same owner or trainer should be housed together with empty stalls between groups of equids if possible.

b. Requirements for entry during local disease outbreak
    i. When an infectious disease outbreak occurs locally, additional restrictions should be applied for animal entry to events or stables.
    ii. Restrict entry to equids for which the owner/agent provides a CVI issued within 7 days of arrival at the event venue. A CVI issued 72 hours before arrival is optimal. If a CVI is not required, then an owner/agent declaration statement attesting that the listed equid(s) arriving at the premises has/have been healthy with no clinical signs of a contagious disease or body temperature(s) above 101.5°F (38.61°C) for the preceding 7 days may be warranted.
    iii. Additional health requirements may be required such as a written statement on the CVI which attests to the equid's health and exposure status. For example, an additional requirement may include a statement that "The listed equid(s) has/have not been on a premises with a confirmed case of neurologic form of EHV-1 in the preceding twenty-one (21) days" if there is a local outbreak of neurologic EHV-1.
c. Facility records should be maintained on equid movements (entering, remaining on, and exiting the premises), location of individual animals, and equid health status procedures (monitoring and treatment records).

2. Equine Health Monitoring
    a. **Continuous health monitoring of all equids on the premises should be required.** This is the key to early identification and containment of infectious disease with minimal disruption.
        i. Options include having designated staff performing periodic walk-throughs of stables to directly observe equids for any clinical signs of disease or relying on self-reporting of disease by exhibitors or owners (the requirement for which should be stipulated in entry forms or boarding agreements).

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ii. Any sign of disease should be reported to the designated individual with the authority to initiate immediate disease control measures, such as isolation.
iii. Requirements at events should include taking equid temperatures twice daily and documenting temperature readings in a log. Consider requiring the posting of a temperature monitoring log on the stall door which allows designated staff to easily perform checks on temperature recordings. To ensure compliance with the equid temperature monitoring requirement, staff should perform random audits of logs.
iv. Owners of equids at boarding stables should be instructed to report clinical signs of disease in their equid to the facility owner or manager.

3. General Protocols
    a. Water sources
        i. Communal water sources should not be offered at events and exhibitors should be instructed to use their own buckets and to not share any type of equipment with other exhibitors.
        ii. To avoid cross-contamination, hoses should not be allowed to touch or submerge in water buckets while filling.
    b. Housing
        i. Stalls should be cleaned regularly, and waste stored in an area remote from equids. Equipment used for cleaning stalls should not be used for feed and vice versa, e.g., the same wheelbarrow used to transport soiled bedding should not be used to move feed.
        ii. Stall designs and construction impact infectious disease transmission within facilities. Housing that prevents equid to equid contact over or through walls, and/or prevents equids from reaching into the barn aisle can limit disease transmission.
        iii. Stalls should be cleared of bedding and disinfected between each horse.
            1. Stall cleaning and disinfection starts with removal of all buckets, hay nets, feed tubs, stall webbings, metal grates, etc. followed by scrubbing with detergent solution, rinse, then disinfection. Disinfectant solutions require appropriate surface contact time and should be applied according to product label directions. Finally, surfaces are rinsed thoroughly with potable water and allowed to dry.
            2. For stalls with non-porous walls and floors (ideal situation):
                a. The most important step in sanitizing livestock facilities is the cleaning (detergent) step.
                b. Wet down all surfaces -- walls, ceilings, ledges (top of walls) -- with detergent and water. Powdered laundry detergent can be used; some veterinary disinfectants also have a detergent incorporated in the mix.
                c. Allow 5-10 minutes for the detergent liquid to soften dried organic material, then scrub surfaces

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with a stiff-bristled broom used only for stall cleaning.

d. Rinse, beginning at the top of walls and working toward the drain. Repeat until surfaces are clean, including corners, ledges, and drains. NOTE: Do not use power washers set at >120 psi, as they can aerosolize pathogens. A garden hose with a regular nozzle is acceptable.
e. Squeegee excess water off surfaces or allow them to dry.
f. Carefully read all disinfectant labels and implement necessary protective clothing as well as eye and respiratory protective equipment prior to starting the disinfection step of cleaning and disinfection procedure.
g. Apply disinfectant according to label directions to all vertical and horizontal surfaces, starting at the top of stall walls and working from the far end of the stall to the exit. Allow to dry.
h. Repeat disinfection may be necessary for difficult to inactivate pathogens, such as *Salmonella* and rotavirus. Herpes and influenza viruses are more susceptible to detergents and disinfectants and one cycle is generally sufficient.

3. If stalls are constructed of porous materials (untreated wood construction, dirt, or clay flooring, etc.), it must be recognized that these are extremely difficult to adequately clean and disinfect.
    a. Remove all bedding and organic matter and thoroughly dry scrub all surfaces to remove as much organic matter as possible.
    b. Follow up by scrubbing stall walls with a detergent solution. Cleaning with large quantities of water can turn dirt or sand floors into a slurry and should be avoided.
    c. Disinfectants sprayed on porous surfaces may yield inadequate results, and the effectiveness of application will depend upon the targeted organism and the amount of organic material still present.
    d. Sunlight exposure may be helpful for inactivation of potential pathogens (Weese *et al*, Survival of *Streptococcus equi* on surfaces in an outdoor environment. *Can Vet J*. 2009;50(9):968-70).
    e. Stalls should be allowed to dry with open ventilation and sunlight for as long as feasible.
4. Improving air circulation and ventilation in barns reduces ammonia levels and may help reduce transmission of respiratory and airborne pathogens.

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5. It is important to remember that exposure as a result of shared air spaces may differ by pathogen. For example, for airborne pathogens such as influenza, all equids stabled under one roof would all be considered exposed, however, in an outbreak of *Streptococcus equi,* more direct contact would be required for a horse to be considered exposed.

c. General recommendations for disinfectant use
   i. Follow all product label instructions, especially precautionary warnings and personal protection equipment requirements for proper use and disposal.
   ii. **DO NOT** mix disinfectants with other chemicals.
   iii. Select a disinfectant that has documented effectiveness in the presence of organic matter, works in the water hardness of the locale, and is safe to use around equids and humans.
   iv. Diluted bleach is readily inactivated by organic matter; use only after thorough cleaning. **Note:** Diluted bleach is the only practical, commercially available disinfectant that kills clostridial spores.
   v. Viruses with envelopes (e.g., influenza, herpesviruses 1 & 4, equine arteritis virus, etc.) are readily inactivated by detergents and disinfectants.
   vi. Phenolic and peroxygen based products are effective for viruses lacking an envelope (e.g., rotavirus).
   vii. Determine where drains discharge prior to using detergents and disinfectants. Certain detergents and disinfectants cannot be discharged directly into bodies of water.

d. Disinfectant Resources for Practitioners
   i. AAEP disinfectant table provides practical information of common equine pathogens and the efficacy of disinfectants on various surfaces and materials.
   ii. Disinfection 101 from The Center for Food Security and Public Health at Iowa State University
   iii. Table of Characteristics of Selected Disinfectants from The Center for Food Security and Public Health at Iowa State University

e. Hand Hygiene
   i. If equids are being handled for inspection by facility staff for any reason, hands should be washed between equids or at least between groups of equids owned by different exhibitor groups. Alternatively, disposable gloves could be worn and changed between patients.
   ii. Whenever possible, touching the equid should be avoided. For example, in bit inspections, the handler can remove the bit from the equid's mouth without the inspector contacting the bit or equid.
   iii. If contact between the public and equids cannot be avoided or is encouraged (e.g., petting zoo situation), handwashing or sanitizing facilities should be strategically placed to encourage use.
   iv. Instructions for handwashing

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1. Hands should be washed under running water with pump-dispensed liquid soap (not bar soap) for a minimum of 20 seconds.
2. If facilities are not available for handwashing, hand sanitizer containing at least 61% alcohol should be used and allowed to dry for 10-15 seconds. Hand wipes should be available to remove all organic debris prior to using hand sanitizer. Caution: avoid exposure to open flame due to flammability.
3. Extensive information about hand hygiene is available through the Centers for Disease Control and Prevention.
4. Also, please see this article from the AAEP proceedings on hand hygiene protocols in the equine veterinary setting

f. Equipment and Supplies
   i. Equid-specific equipment (feed tubs, water buckets, halters, pitchfork, wheelbarrow, etc.) should be clearly identified as belonging to an individual equid and should be used only for that equid or the group of equids. Ideally, color-coded (a strip of colored tape works well) buckets and cleaning equipment should be used for groups of equids.
   ii. Shared equipment (lead shanks, lip chains, bits/bridles, twitches, dose syringes, thermometers, grooming supplies) should be cleaned of organic debris and disinfected between equids.
      1. All equipment should be thoroughly scrubbed and cleaned with a detergent and water, rinsed, disinfected, and followed by a final rinse. This should be done in an area with minimal foot and vehicular traffic flow that can be cleaned and disinfected after this procedure (e.g., on a solid surface with a drain rather than a grazing area)
      2. Cloth items (saddle cloths, towels, bandages, halter fleeces, rub or wipe rags) should be laundered and thoroughly dried between each use. Disinfectant may be added to rinse water, but an additional rinse cycle must be included to remove disinfectant residue.
      3. Tack and other equipment which cannot be completely disinfected should be cleaned as well as possible and then placed in the sun until dry or as long as feasible, as sunlight inactivates many potentially infectious agents.
   iii. Equipment that cannot be effectively disinfected (sponges, brushes not designed to be disinfected) should not be shared between equids. Multiple dose medications (oral pastes/ophthalmic ointments, etc.) should be labeled for use by a specific equid and not shared.
   iv. Ointments/topical medications should be removed from larger tubs and aliquoted into smaller containers for use on individual equids.
   v. Horse trailers and vans should be cleaned and disinfected between uses even if there is no known risk of disease. In general, protocols for cleaning stalls can be adapted to the cleaning of trailers and vans. Mats should be removed to allow wood plank floors to dry.

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Surfaces around the feeders and cross ties should be given special consideration due to contact with potentially infectious nasal secretions.

g. Traffic
    i. The movement of trucks, trailers, tractors, golf carts, wheelbarrows and bicycles around an equine premises have the potential to spread infectious disease agents. Restrict vehicles to designated parking areas and designated routes without animal access to limit risk of disease introduction and spread.
    ii. Outside supply trucks and non-essential vehicles should not be permitted in the equid stabling area.
h. Non-equine species
    i. Dogs and other pets should be prohibited from event grounds. If dogs are to be permitted, leashes should be required.

Certified service animals should be allowed with appropriate restraint and efforts taken to avoid their direct contact with livestock.

i. Vermin and vector control
    i. Vermin control is critical, especially for disease agents transmitted through fomites. Simple control measures, such as securing feed storage areas from unwanted wildlife, removing brush and wildlife habitats, instituting rodent control measures, and eliminating areas of standing water, will contribute significantly to the reduction of disease transmission risks on the event premises
        1. The USDA IPM Road Map's Appendix 1A PRINCIPLES OF INTEGRATED PEST MANAGEMENT (IPM) outlines considerations for pest management and implementation. Additional resources are available within the USDA's Information Resources for Animal Control and Wildlife Damage Management**.**
    ii. Rodent, bird, and insect control should be evaluated, and further measures implemented, as necessary.
        1. The AAEP External Parasite and Vector Control Guidelines outline recommendations for control of external vectors important in disease transmission.
    iii. For large premises with significant equid traffic and accumulation of manure and soiled bedding, consult an insect control specialist for the most appropriate recommendations.
    iv. Individual animals can be protected from insect vectors via topical insect repellents and physical barriers such as face masks with ear protection, leg boots and fly sheets.

III Outbreak Response

1. Prompt isolation of sick equids is critical to the successful control of an infectious disease outbreak.
    a. Preparation of Isolation Area
        i. Location and Attributes

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1. As far away as possible from general human, equine, and vehicle traffic areas. A pre-designated offsite facility may be preferable.
2. External perimeter secure and clearly marked with adequate signage in both English and Spanish designating it as a restricted area.
3. Set up a temporary pen structure if no suitable permanent stabling is available
4. Optimal isolation stabling has non-porous flooring, running water, and electricity, and is in an area where run-off will not occur
5. Openings in stall walls (windows, gaps between boards) should be covered with solid barrier material to prevent equid to equid contact.
6. Should be accessible to large equipment if necessary to handle a down or deceased equid
7. A local veterinary hospital should be pre-designated that can treat equids requiring isolation with medical needs that cannot be addressed at the show facility's isolation area

ii. Supplies

1. An adequate inventory of disposable personal protective equipment in a variety of sizes and other necessary equipment and supplies (including disinfectants as described in section II) should be acquired in advance and stored in a location accessible to the isolation area. In the case of an outbreak, there should be enough supplies to operate immediately until additional supplies can be delivered.
2. Ensure that adequate trash receptacles with lids and receptacles for sharps and biohazardous materials are conveniently located around isolation area.
3. List of suggested items

b. Sick Equid Trigger Point:

i. The definition of a sick equid and specific trigger points warranting the response of isolation of an equid should be outlined for the premises.

ii. Consult local, state, or federal animal health officials to determine specific trigger points and response action for reportable diseases. **Note**, the response to a reportable disease may vary by state; therefore, it is necessary to contact the official in the state where the event is held to determine which are reportable diseases.

iii. General recommendations to consider for designation as a response trigger for isolation include detection of:

1. Body temperature greater than 101.5°F (38.61°C)
2. Ataxia or recumbency or other neurologic signs
3. Aggressive behavior or stupor
4. Passage of frequent loose feces
5. Oral or coronary band vesicular or ulcerative lesions
6. Nasal discharge, coughing, and/or lymphadenopathy
7. Limb or ventral body wall edema especially if it occurs in multiple horses

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c. Entry and Exit Protocols
    i. All movement in and out of the isolation area should be regulated and recorded, e.g., with check in sheets.
    ii. Additionally, maintain a log, recording events as they occur, including case identification (which horses got sick), control measures implemented, diagnostic testing results, and communications.
    iii. Disinfectant footbaths or mats should be placed at all entry and exit points to and from the isolation area and each stall.
        1. Disinfectants suitable for footbaths and mats include 10% bleach or peroxygen compounds such as Virkon® S. Read label indication, instructions for use and safety information prior to using any disinfectant. Please see the disinfectant table linked in Section II.C.3 for more information.
        2. Disinfectants should be chosen based on environmental temperature considerations. Partially frozen foot baths/mats are likely to have minimal efficacy.
        3. The footbaths and mats should be kept as free of organic matter as possible and routinely filled with new disinfectant solution (at least every 2-3 days and preferably daily).
        4. Rubber boots or other footwear suitable for disinfection should be worn. If other types of footwear are used, plastic over-boots should be employed and disposed of after each use. The tread of rubber boots should be kept free of organic debris with a brush.
    iv. Handwashing or hand sanitizer stations should be placed at all entry and exit points to and from the isolation area and each stall (See section II.C.4 for information on hand hygiene). Hand hygiene should be performed before entering and when leaving each stall, and before entering and leaving the isolation area.
    v. Personnel should don a protective gown and latex or nitrile gloves before entering a stall to examine or care for an equid. Gowns and gloves should be disposed of after each use and between equids in a covered refuse container. If a cloth gown is used, it should only be used once and then laundered.
    vi. Caretakers should be provided with a changing area. Clothes should be changed and laundered, and footwear changed or disinfected after leaving the isolation area and before handling other equids.
    vii. All necessary supplies should be in the isolation area before moving the sick equid into the area. If necessary, additional supplies may be brought to an area adjacent to the isolation area for easy transfer. Designated equipment should remain in the isolation area.
d. Care, monitoring, and testing of sick equid(s) in isolation
    i. ANYTHING that touches an infected equid, and its secretions or excretions has the potential to transmit pathogens to other equids. Pathogens can be indirectly transmitted to other equids on equipment, tack, hands, footwear, or clothes.
    ii. Ideally, designated trained staff provided by the facility should work exclusively in the isolation area to care for equids and designated

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equipment should remain in the isolation area. If multiple individuals are moving in and out of isolation to care for equids, extreme care must be exercised in following biosecurity protocols, especially if these individuals are also caring for well equids not in isolation. This situation is not ideal.

iii. If it is unavoidable that an individual has to provide care to both affected and unaffected animals, then the following precautions should be observed:
    1. Care of healthy, unexposed animals (feed/groom/exercise/muck stall) should be completed first
    2. Exposed but healthy animals next
    3. Affected/sick animals last

iv. The health of all equids in isolation should be closely monitored and necessary supportive care and medical treatments provided. If required medical care exceeds the capabilities of the isolation unit, the equid should be transferred to an isolation facility at a referral veterinary hospital.

v. Depending on clinical presentation, determine the samples for diagnostic testing and send to pre-determined diagnostic laboratory in order to confirm or rule-out specific infectious diseases of interest.

vi. Manure and soiled bedding from stalls of sick equids should not be put in open air piles or pits or spread on pastures. It should be placed in heavy plastic bags or covered secure dumpsters for disposal in a landfill. If the disease is zoonotic, any potentially infectious waste should be disposed of by the method recommended by public health officials.
    1. Composting can be a successful method, but care must be taken to follow specific guidelines. Reach out to local organics or composting professionals for guidance.

vii. If a professional laundering service is used, they should be informed if any of the materials are potentially infectious. If barn laundering facilities are used, the washing machine should be cleaned by running empty with a suitable disinfectant following use on potentially infectious materials.

viii. All equids demonstrating neurologic clinical signs with no confirmed diagnosis should be clearly marked with a “rabies suspect” sign on the stall and reported to public health authorities. Restrict personnel access to the equid and ensure that anyone contacting the equid wears double gloves, protective clothing, and splash protective equipment (face shield or goggles) as necessary. Record the names of all who make contact with the equid in a log so that they can be contacted in the event of a positive rabies diagnosis. See AAEP Rabies Guidelines for further information.

ix. If euthanasia is required, the ideal location is on a remote area of the grounds accessible to large equipment or trucks, with no public access.
    1. If euthanizing an animal that has been quarantined by the State, contact the State or Federal Animal Health Official for permits and guidance for disposal and movement.

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2. Consider collecting appropriate biologic samples prior to euthanasia, if not already performed, for banking and subsequent testing. The method of euthanasia should be considered in light of suspected disease.
3. Someone capable of removing or burying carcasses should be identified in advance of necessity.
4. The route of a rendering truck or dead stock hauler on and off the premises should not cross any live equid routes or exercise areas.
5. Necropsy of any equid that dies or is euthanized should be strongly recommended and optimally performed off-site at a veterinary diagnostic laboratory. The State Animal Health Official should be consulted in case they would like to request specific and expedited tests. In the case of a potential zoonosis, necropsy is essential to protect public health.

e. Release of equids from isolation
    i. The state or federal animal health official will be in charge of determining release protocols in the event of a reportable disease.
    ii. The event veterinarian and management should work together to determine isolation release protocols in cases of non-reportable potentially contagious diseases.
    iii. In general, potentially exposed equids should be maintained separate from the general population at the event until one of the following occurs:
        1. The index equid no longer has clinical signs and tests negative for all suspected infectious disease agents
        2. A non-contagious disease is confirmed
        3. A time period of appropriate surveillance has passed, or diagnostics have been performed, confirming disease transmission has not occurred.
        4. Permission is given by the appropriate authorities to move the equid to another location.

2. Management of premises not in primary isolation perimeter
    a. Exposure assessment and risk assignment of equids without clinical disease
        i. High Risk: An equid that had direct contact (nose to nose, shared fence-line) with a sick equid
        ii. Moderate Risk: An equid that may have had indirect contact (communal water trough, shared wash rack, shared equipment, common personnel) with a sick equid
        iii. Exposure assessments may vary depending upon disease agent. In the case of a disease such as equine influenza that is transmitted over longer distances than a bacterium such as *Streptococcus equi* subsp. *equi*, high risk equids may include all equids sharing air space (i.e., in the same barn or transported in the same trailer/van) as affected equid(s).
    b. Restrictions on equid movement during an outbreak
        i. Restrictions on equids will vary dependent upon risk assignment and the disease agent

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ii. The state or federal animal health official will be in charge of determining restrictions on at-risk equids in the event of a reportable disease.
iii. The event veterinarian and management should work together to determine restrictions in cases of non-reportable potentially contagious diseases.
iv. In general, equids that are at high risk would have more stringent restrictions and monitoring than low risk equids**.** Following biosecurity procedures similar to those used in isolation for higher risk equids is recommended to prevent further disease spread. Higher risk equids should be exercised separately, preferably in a different arena, from equids in lower risk groups.
    1. It is recommended participants/boarders sign an agreement with the event/facility stating they will abide by all disease outbreak restrictions and protocols.
v. Temporary movement restrictions may be necessary until assessment of the situation is complete, especially in higher risk or higher consequence disease situations, after which permission for allowing certain movements on the premises may occur. Policies should be communicated, preferably face to face, to those impacted, and enforcement of policies should be consistent and fair.
vi. A plan for promptly closing the premises should be developed in the event it is needed, with procedures outlined to redirect personnel resources to close and lock gates, block roadways to and from the premises with barriers, and monitor entry and exit of vehicles.
vii. It is essential that facility management be aware of what equids are on the premises and where they are stabled. This ideally is a routine practice but is especially important in an outbreak. This may require barn to barn inspection and documentation.
viii. A check-out protocol is necessary for equids whose owners are given permission to move them from the premises. A basic check-out process includes follow-up owner/agent contact information (cell phone number and email address), documentation of equid identification, and the intended destination for the equid. This simplifies follow-up if necessary.

c. Monitoring of equids during an outbreak
    i. Continuous health monitoring of all equids on the premises is a priority during an infectious disease outbreak.
    ii. Recommend event or facility managers predetermine the consequences of noncompliance with biosecurity protocols and notify individuals prior to horse entry.
    iii. Designated, knowledgeable, experienced individuals should perform periodic walk-throughs of stables directly observing equids for any sign of clinical disease while abiding by appropriate biosecurity when moving around the facility. Movement should be determined by risk factors and be from low to high-risk areas.
    iv. Owners/trainers/grooms of equids should be required to monitor their equids for signs of disease and report any clinical signs to show management or attending veterinarian.

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v. Temperatures should be taken on equids twice daily and documented in a log displayed on the stall door for easy assessment. Temperatures should not be taken immediately after exercise, i.e., they should be obtained after equids are cooled out to avoid spurious elevations.
vi. An equid body temperature over 101.5°F (38.61°C) should be immediately reported to management. Equids with temperatures between 100°F (38.61°C) and 101.5°F (38.61°C) should be monitored for other signs of disease and have the temperature retaken in 1 hour.
vii. Equids demonstrating "sick equid triggers" outlined in III.A.2 should be moved to the isolation area and managed there.
viii. Consideration should be given to updating or initiating vaccination in at risk equids when appropriate. Please see AAEP Vaccination Guidelines for further information.

d. Additional restrictions and recommendations for disinfection
i. Since dogs or other pets may carry infectious disease agents from one location to another on the premises, no dogs should be on the grounds during an infectious disease outbreak. Require owners with dogs onsite to immediately remove dogs from the grounds. Dogs should not be placed in trailers or vehicles due to the possibility of escape, barking and temperature stress.
ii. Immediately clean equipment of organic matter, thoroughly scrub with detergent and water, rinse, dry and disinfect all previously shared equipment (lead ropes, chains, bits, twitches, thermometers, grooming supplies, etc.). Items, such as tack, to which disinfectants cannot be applied, should be cleaned, and allowed to dry in the sun, since sunlight inactivates/kills many pathogens. Sharing of equipment should be discouraged, but any equipment which must be shared should be cleaned and disinfected between uses.
iii. During a disease outbreak, it is essential to communicate disease biosecurity measures to visitors. Keep visitors out of the equid areas and inform them of proper biosecurity measures if they are returning to equid premises.
iv. Steps to limit direct and indirect equid contact are necessary. All areas which are touched by human hands or by equids, such as fences, wash racks, bathroom sinks, faucets, light switches, and door handles, should be cleaned and disinfected at least daily. Common use items, such as wash stall cross ties and washing equipment, should be removed and personnel should be required to use their own equipment. Monitor exercise and exhibition areas to ensure that minimal direct or indirect equid-to-equid contact occurs. Restrict individuals from tying equids to fencing outside the arenas or stabling areas, since fencing can be contaminated by secretions of an infected equid. Indoor arenas and indoor stabling can potentially increase the risk of aerosol spread. Indoor arenas may be taken out of use, and individuals required to utilize outdoor arenas if aerosol pathogen spread is suspected.
v. During an infectious disease outbreak, only the owner or designated personnel should handle equids on the premises. Limit the sharing of personnel between barns or trainers. Supply additional hand washing

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stations and signage during the outbreak to enable equid handlers to perform proper hand sanitation after handling each equid.

vi. Thorough cleaning and disinfection of the premises at the beginning of an infectious disease outbreak can significantly reduce the potential for disease agent spread. Start with the removal of all manure, soiled bedding, and uneaten feed, then remove residual organic matter by washing all surfaces with soap and water before the application of a disinfectant. To limit vehicle traffic on and off the premises, consider ordering bulk disinfectant supplies for delivery to a designated biosecure area on the grounds.

vii. Sunlight inactivates/kills many pathogens. After cleaning and disinfecting buckets, tack, and equipment allow them to dry in the sunlight if possible. After cleaning and disinfection for some pathogens, like *Salmonella*, it may be necessary to obtain test samples of the environment to determine elimination of the organism.

viii. Request that individuals clean and disinfect their equipment, trailer, and vehicle before leaving the grounds.

ix. The plan should include feed store contact information to re-arrange for feed and bedding delivery. Delivery protocols that require the cleaning and disinfection of trucks upon entry and exit may be warranted. Vendor personnel may also be required to use disposable coveralls and disposable footwear covers when delivering supplies (i.e., grain, hay, supplements, bedding). Management should assess the potential feed and bedding needs on the premises and consider necessary arrangements for a single delivery to a designated area. To minimize disease spread on the grounds, designate personnel to be responsible for the delivery of the feed to the barns. Deliveries should be first to low risk/healthy equids, then exposed equids and lastly to clinical equids.

x. All shared facilities/equipment (e.g., detention barn stalls, receiving barn stalls, starting gate, equine ambulance) should be cleaned and disinfected after each use.

xi. Horse trailers and vans should be routinely cleaned and disinfected after each use, but especially after being used to transport ill or potentially ill animals.

1. Management should predetermine a location for cleaning and disinfection in accordance with Environmental Protection Agency (EPA) guidelines and any applicable local jurisdiction.

e. Communication

i. Clear and concise signage and messaging to all on the grounds is essential. During an infectious disease outbreak, there is limited time to develop adequate signage, so developing critical messaging before an outbreak and having clear attention-getting signs available for use in an outbreak will aid in prompt effective communication and successful implementation of enhanced biosecurity and infectious disease control plan measures. Decide in advance where signage will be posted. See link to suggested signs in English and Spanish in section III.A.1.

ii. Notification of all affected parties is a critical component for an effective infectious disease control plan. Development of clear, concise, and

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accurate messages about a situation, the measures being taken and the procedures for owner/trainers/grooms to follow is critical to prevent the spread of disease and panic among the group. This may be best accomplished by issuing a press release in high profile situations.

iii. Before a disease outbreak, outline a communication plan to notify staff, trainers, owners, public and vendors of an incident. Consider incorporating several communication modalities to ensure rapid, unified messaging to a large audience. Contact information for other individuals who may be able to assist during an infectious disease outbreak should be organized and readily available. Create a complete emergency contact list and provide it to all staff at the beginning of the disease event. Consider having a public relations specialist develop a communication plan and have their contact information readily available for provision of messaging at the appropriate level and preparation of timely updates.

Additional Resources

1. Biosecurity instructions for grooms/caretakers should be provided in English and Spanish.
2. Please see this article from AAEP Proceedings on management of infectious disease outbreaks for more information.

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