



2019

Charter, Bylaws, Rules and Regulations

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PREFACE

This Rule Book is divided into two Chapters. Chapter One is a compilation of the Rules and Regulations of The United States Trotting Association; Chapter Two consists of the Articles of Incorporation and Bylaws of the Association.

Since it is anticipated that in most instances the user of this Rule Book will be concerned primarily with the chapter on Rules, it is important for such a user to understand that the rules recited herein relating to the racing of horses, as opposed to the registration of horses, are applicable only to those non-pari-mutuel meetings over which no State Racing Commission, or other State Regulatory Body asserts primary jurisdiction.

The rules governing the racing of horses at all pari-mutuel meetings in the various states, and certain non-pari-mutuel meetings in at least one state, are the rules of the applicable State Regulatory Bodies which promulgate and enforce their own rules.

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OF
THE UNITED STATES TROTTING ASSOCIATION

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RULES AND REGULATIONS
OF
THE UNITED STATES TROTTING ASSOCIATION

RULE 1.—MANDATE.

Section

- 1.01 General Provisions
- 1.02 Conflicting Rules
- 1.03 Denial of Membership—Racing Commission License Granted
- 1.04 Reciprocity with Standardbred Canada
- 1.05 Universal Licensing/Fingerprints
- 1.06 Effective Date of Rules and Regulation

§ 1.01 General Provisions.—The following rules, regulations, fees and dues, having been duly enacted, are hereby declared to be the official rules, regulations, fees and dues of the USTA which shall apply to and govern the registration of Standardbred horses and the conduct of racing at non-pari-mutuel track members. All rules, regulations, fees and dues and/or modification or amendments thereto adopted by the Board of Directors shall become effective on May 1st following the annual meeting at which they were adopted unless otherwise specified. The terms “fees and dues” refers to fees and dues for all memberships, registrations, certificates, transfers, horse name changes and licenses.

Except at those meetings where the races are conducted pursuant to the rules and regulations of a state racing authority, all published conditions and programs of member tracks should state that said races shall be conducted under and governed by the Rules and Regulations of the United States Trotting Association.

§ 1.02 Conflicting Rules.—In the event there is a conflict between the USTA and the rules or conditions promulgated by any of its members, the USTA rules shall govern.

§ 1.03 Denial of Membership—Racing Commission License Granted.—In the event that USTA denies membership to an individual or defers a decision beyond 30 days pending further investigation to determine if he/she meets the requirements of the Bylaws relative to membership; and in the event a state racing authority determines that such person fully meets its requirements and licenses such person to participate at meetings under the jurisdiction of such racing authority, the USTA will issue electronic eligibility and/or driver/trainer licenses limited to such meetings and keep performance records on such person and his/her horses while racing at such meetings in the same manner and for the same fee as for members. Licenses and/or electronic eligibility issued pursuant to this rule and section shall also be valid at county fairs and other meetings within the geographical boundaries of those states whose racing authorities have licensed said individual.

§ 1.04 Reciprocity with Standardbred Canada.—Other provisions of these rules notwithstanding, residents of Canada, who are members in good standing and/or duly licensed by Standardbred Canada as owners, trainers, drivers or officials shall not

be required to obtain membership and/or driver, trainer, or official licenses with the USTA as a prerequisite for participating in such capacities at member race tracks in the United States. The purpose and intent of this rule is to accomplish reciprocity as to memberships and licenses issued by Standardbred Canada.

§ 1.05 Universal Licensing/Fingerprints.—USTA shall recognize a universal license and fingerprint application adopted by the Association of Racing Commissioners International and the individual state and provincial racing authorities for all owners.

§ 1.06 Effective Date of Rules and Regulation.—Unless otherwise indicated, Rules and Regulations adopted shall become effective as provided in § 1.01.

RULE 2.—AUTHORITIES AND TERMS.

Section

2.01 Authorities and Terms

§ 2.01 Authorities and Terms.—The term “President” or “Executive Vice-President” in these Rules refer to the President or Executive Vice-President of The United States Trotting Association. “District Board” refers to a Board comprised of the Directors from the USTA District where a matter originated. The term “USTA” when used in these rules refers to the United States Trotting Association. All other terminology and definitions are set forth in Rule 4.

RULE 3.—VIOLATIONS.

Section

3.01 Violations

3.02 Attempts to Violate any Rule or Regulation

§ 3.01 Violations.—Any USTA member violating any of its Rules or Regulations, shall be liable upon conviction, to a fine not exceeding Five Thousand Dollars (\$5,000.00) or suspension, or both, or expulsion from the USTA.

The conviction of any corporate member of the USTA of a violation of any of its rules or regulations may also subject the officers of the said corporation to a penalty not exceeding that which hereinabove is provided.

§ 3.02 Attempts to Violate any Rule or Regulation.—Any attempt to violate any of the Rules and Regulations of the USTA falling short of actual accomplishment, shall constitute an offense and, upon conviction, shall be punishable as hereinabove provided.

RULE 4.—RACING TERMINOLOGY AND DEFINITIONS.

Section

4.01—4.201 Terminology and Definitions

§ 4.01 Added Money Event—Stakes, futurities, early closing events and late closing events in which money is added to the purse by the event sponsor and to the payments by the nominators.

§ 4.02 Advertised Purse—The money that the race sponsor indicated will be the purse for the event.

§ 4.03 Age, How Determined—The age of a horse shall be calculated from the first day of January of the year of foaling.

§ 4.04 Allowances—Given on claiming price in claiming races depending on the sex and age of the horse. Allowances are also given when determining the horse’s eligibility in conditioned races based upon age and sex of the horse. The price allowances that govern for claiming races are as follows:

	Colts, Stallions, Geldings and Spayed Mares	Fillies and Mares
2-year-old	100%	120%
3-year-old	50%	70%
4-year-old	25%	45%
5-year-old and up	0	20%

§ 4.05 Also Eligible—One of not more than two horses that are entered to race, and determined at the time post positions are drawn to be eligible to start in the race should any horse properly drawn into the race be excused by the judges prior to scratch time.

§ 4.06 Appeal—A request for the District Board to investigate, consider and review any decisions or rulings of judges or officials of a non-pari-mutuel meeting. The appeal may deal with placings, penalties, and interpretations of the rules or other questions dealing with the conduct of races.

§ 4.07 Assistant Paddock Judge—Also an identifier, an official licensed by the USTA to perform specific duties as outlined under Rule 6.18.

§ 4.08 Associate Judge—An official licensed by the USTA to perform specific duties as outlined under Rule 6.08—6.12.

§ 4.09 Authorized Agent—A current member properly designated to act on behalf of an owner relative to signing specific documents as required by these Rules.

§ 4.10 Beneficial Owner—The term “beneficial owners” 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 which is a “beneficial owner”; all partners of a general partnership and in the case of a limited partnership; all general partners and those limited partners owning a 5% or more interest in such limited partnership which is a “beneficial owner”; all lessees; and all corresponding officers.

§ 4.11 Bets—Money wagered on a horse.

§ 4.12 Birthday—January 1st of each year for all horses.

§ 4.13 Board—(*See Board of Directors*)

§ 4.14 Board of Directors—The governing body provided in Article X of the USTA Bylaws.

§ 4.15 Bonus Earnings—Money awarded subsequent to the actual race.

§ 4.16 Break—A horse's change during a race from its programmed gait to another gait or gallop.

§ 4.17 Breath Analyzer—An instrument used to measure a person's blood alcohol level.

§ 4.18 Breeder—The breeder of a horse, for the purposes of registration, is the owner or lessee of that horse's dam at the time of breeding. When the dam is held under lease, bred on shares, or owned in partnership, the agreed ownership will only be recognized when the pertinent agreement has been filed in the offices of the USTA. For unregistered horses and pregnant mares sold in a lien sale, sheriff sale, etc., the purchaser who obtains the mating certificate and registers the horse shall be considered the breeder of the horse.

§ 4.19 Bute—Another term for the drug Phenylbutazone.

§ 4.20 Card—A group of selected races that will be conducted at a track on the same day without interruption. Also, another term for a program of racing.

§ 4.21 Certificate of Membership (*Track License*)—A certificate issued by the USTA authorizing a racetrack to conduct a race meeting for the current year.

§ 4.22 Chart—A comprehensive account of a race showing the positions of all horses at various stages of the race.

§ 4.23 Charter—(*See Clerk of Course/Charter*)

§ 4.24 Claim—The process of a licensed person purchasing a horse from a designated race for a predetermined price.

§ 4.25 Claimant—A person or entity who meets the eligibility requirements of the racing commission.

§ 4.26 Claiming Authorization—A document signed by all owners of the horse that gives permission to race the horse in claiming races for a specific minimum price.

§ 4.27 Claiming Price—The price by which a horse may be claimed from a race.

§ 4.28 Claiming Race—A race in which a horse may be claimed for a designated amount in conformance with the Rules.

§ 4.29 Classified Race—A race, regardless of the eligibility of horses, for which entries are being selected on the basis of ability or performance.

§ 4.30 Clerk of Course/Charter—An official licensed by the USTA to perform specific duties as outlined under Rule 6.15.

§ 4.31 Colt—An intact male horse three years of age or younger.

§ 4.32 Condition Race—An overnight event to which eligibility is determined according to specified qualifications.

§ 4.33 Contract Track—An extended pari-mutuel track that is not a USTA member but, receives data and services pursuant to Article 1.15 of the USTA Bylaws.

§ 4.34 Corresponding Officer—The person designated by all members of a stable, farm or corporation to sign documents on their behalf relative to the registration and/or transfer of ownership of a horse.

§ 4.35 County Fair—A race meeting which is less than ten days in duration, with or without pari-mutuel wagering, held in conjunction with an agricultural fair.

§ 4.36 Coupled Entry—Two or more horses starting in a race that are owned or trained by the same person, or trained in the same stable or by the same management.

§ 4.37 Coupling of Horses—(See *Coupled Entry*)

§ 4.38 Dam—The female parent, or mother, of a horse.

§ 4.39 Distanced—A horse that is at least 25 lengths behind the rest of the field at the end of the race.

§ 4.40 Dead Heat—When the judges cannot separate two or more horses as to their finishing position at the finish of a race. All un-separated horses are considered to be tied for that finish position. In the event of a dead heat in any position(s), points and purses will be divided and/or shared. By way of example, horses finishing in a dead heat for any place other than 5th place will divide points and purse money between the next place with the exception of 5th place which shall be an equal division of 5th place money and points.

§ 4.41 Disqualification—Disqualified persons may not act as an official or start or drive a horse in a race. Disqualified horses shall not be allowed to start.

§ 4.42 District Board—A body of people as described in § 2.01 of these Rules and Regulations that is authorized to hear matters involving alleged violations of these Rules and Regulations.

§ 4.43 Donor Mare—The source mare used in the reproduction technique by which an embryo is transferred from the uterus of a “donor” mare to the uterus of a recipient mare that will result in a foal.

§ 4.44 Draw—The process by which horses are selected to start in specific races and post positions for each race.

§ 4.45 Driver—A licensed person who drives a horse in a race.

§ 4.46 Driving Violation—A violation of one or more of the provisions of Rule 18 “RACING AND RACETRACK RULES.”

§ 4.47 Early Closing Event—A race for a definite amount to which entries close at least 6 weeks preceding the race. The entrance fee may be on the installment plan or otherwise, and all payments are forfeits.

§ 4.48 Electronically Post—Information that is made accessible electronically.

§ 4.49 Electronic Eligibility—An official performance record for the purpose of recording a horse’s performance in sanctioned races.

§ 4.50 Eligible—A horse qualified to start in a race and properly entered and meeting the conditions of that race.

§ 4.51 Elimination Heats or Two Divisions—Heats of a race split according to Rule 12.17—12.20, to qualify the contestants for a final heat.

§ 4.52 Embryo/Ovum Transplant—The procedure by which a donor mare’s

embryo is implanted into the uterus of a recipient mare.

§ 4.53 Entering—The act of entering a horse to a race.

§ 4.54 Entrance Fee—The fee required to be paid to the event sponsor when the horse is entered into a race, also known as entry fee, or starting fee.

§ 4.55 Entry—The naming of a particular horse to a particular race as a starter.

§ 4.56 Entry Box—The locked container in which entries are placed prior to the closing of entries for a race.

§ 4.57 Exhibition Race—A race conducted for promotional purposes. Performances therein are not noted on the electric eligibility or otherwise officially credited to either horses or drivers.

§ 4.58 Expulsion (Expelled)—Unconditional exclusion and disqualification from any participation, either directly or indirectly, in the privileges and use of the racetrack and grounds of a track member.

§ 4.59 Extended Break — An extended break shall be defined as a horse that is not on its proper gait for 25 consecutive strides or more. *(Effective 05/01/2019)*

§ 4.60 Extended Pari-Mutuel Meetings—An extended pari-mutuel meeting is a meeting or meetings, at which no agricultural fair is in progress with an annual total of more than 10 days duration with pari-mutuel wagering.

§ 4.61 Fair Day—A regularly scheduled day at a county fair.

§ 4.62 Filly—A female horse three years of age or younger.

§ 4.63 Fine—A monetary penalty that is assessed for any violation of the Rules.

§ 4.64 Foal—A newborn horse under one year of age.

§ 4.65 Free Legged—A pacer who races without the aid of hobbles.

§ 4.66 Freeze Brand—A permanent marking resulting from use of a super-cooled branding device used to identify a horse.

§ 4.67 Futurity—A stake in which the dam of the competing animal is nominated either when in foal or during the year of foaling.

§ 4.68 Gait—Either a trotting or pacing gait. (Also see Trotter and Pacer)

§ 4.69 Gelding—A neutered (castrated) male horse of any age.

§ 4.70 Go—The voice command given by the starting judge to all drivers at the start of the race.

§ 4.71 Good Track—A track that is deemed safe and suitable to race over.

§ 4.72 Grounds—Refers to the property designated by the member track as part of the race meet.

§ 4.73 Guaranteed Stake—Same as a stake, with a guarantee by the sponsor that the purse shall not be less than the amount advertised.

§ 4.74 Handicap—A race in which performance, sex or distance allowance is made. Post positions for a handicap may be assigned by the racing secretary. Post positions in a handicap claiming race may be determined by claiming price.

§ 4.75 Head Number—The wagering number for the horse or, in the case of

a coupled entry, the wagering number of all horses that make up the coupled entry.

§ 4.76 Head Pole—A piece of equipment used to control the position of a horse's head.

§ 4.77 Heat—A single race or a single trial of a race that is one of a series of races that make up an event (*race*).

§ 4.78 Hippodroming—An arrangement for equal distribution of the purse money among the contestants.

§ 4.79 Hobbles—A leg harness used for controlling the gait of a pacer or trotter.

§ 4.80 Home Stretch—The final stretch where the finish line is situated.

§ 4.81 Horse—A male horse four years of age or older that has not been gelded (*stallion*).

§ 4.82 **Horsemen's Committee**—An elected or appointment group of drivers and/or trainers who may give recommendations to the presiding judge or track member.

§ 4.83 Identifier—(*See Assistant Paddock Judge*)

§ 4.84 Indefinite Suspension—Exclusion from participating in racing for an undetermined amount of time.

§ 4.85 In Harness—When a race is made to go "In Harness" it shall be construed to mean that the performance shall be to a sulky as defined in Rule 4.180 and Rule 18.25 of these Rules.

§ 4.86 Inquiry—A review of the conduct of a heat or race called by the judges and made before the results of the heat or race is made "official."

§ 4.87 Judge—An official licensed by the USTA to perform specific duties as outlined under Rule 6.

§ 4.88 Judges—The term "judges" unless otherwise specified shall refer to the presiding judge and associate judges.

§ 4.89 **Judges' Stand**—The structure from which the officials view the heat or race.

§ 4.90 Lamé—A term used to describe a horse that has difficulty walking due to injury or soreness.

§ 4.91 Lasix—Also known as Furosemide or Salix®. An approved drug used to treatment of exercise induced pulmonary hemorrhage.

§ 4.92 Late Closing Event (*Race*)—A race for a fixed amount to which entries close less than 6 weeks and more than 3 days before the race is to be contested.

§ 4.93 Lease—A written agreement made by the registered owner (lessor) of a horse with one or more other parties (lessee or lessees) that allows specific rights and uses of the horse for a specified period of time.

§ 4.94 Lessee—A person to whom rights under a lease are granted. The lease may deal with the racing or breeding rights to a horse.

§ 4.95 Length—A distance defined as extending from a horse's nose to the posterior of the hindquarters. A length shall not include the space occupied by the driver or sulky beyond the horse's hind quarters.

- § 4.96 Lessor—A person who grants a lease.
- § 4.97 Maiden—A stallion, mare or gelding that has never won a heat or race, at the gait at which it is entered to start and for which a purse is offered.
- § 4.98 Mare—A female horse four years of age or older.
- § 4.99 Match Race—A race which has been arranged and the conditions thereof agreed upon between the contestants.
- § 4.100 Matinee Race—A race where an entrance fee or starting fee may be charged but where the premiums, if any, are other than money.
- § 4.101 Medication—A substance intended for use in the diagnosis, cure, mitigation, treatment, or prevention of disease of ailment in humans or other animals.
- § 4.102 Meeting/Race Meeting—A specific set of dates on which racing is conducted by the member track.
- § 4.103 Member—A person or entity such as a corporation/stable/farm or racetrack that is required to belong to the USTA.
- § 4.104 Member/Corporation/Stable/Farm—*(See Member)*
- § 4.105 Member/Extended Pari-Mutuel—A member track that conducts racing on which pari-mutuel wagering is offered.
- § 4.106 Member/Individual—*(See Member)*
- § 4.107 Member/Track—*(See Member)*
- § 4.108 Microchip—A permanent method of electronic identification.
- § 4.109 Minimum Purse—The smallest purse offered at the racetrack for overnight races.
- § 4.110 Minor Suspension—A suspension from participation of less than 10 days in duration.
- § 4.111 Named Races—Refers to overnight races for the fastest class of horses called, among other things, preferred, open, free for all, or invitational.
- § 4.112 Nerved Horse—A horse who has had one or more nerves in the foot or leg surgically cut to prevent any feeling or sensation in the area.
- § 4.113 No Contest—If the judges are unable to properly judge the running or finish of a race they may declare the race “no contest.” *(When the race is declared no contest, all monies wagered are refunded and no purse distribution may be made.)*
- § 4.114 Nomination—The naming of a horse or in the event of a futurity, the naming of foal in utero to a certain race or series of races, eligibility to which is conditioned on the payment of a fee at the time of naming and the payment of subsequent sustaining fees and/or starting fees.
- § 4.115 Nominator—The authorized person who nominates a horse to an added money event.
- § 4.116 Non-Track Sponsor—Any business entity that contributes money to an event.
- § 4.117 Non-Pari-Mutuel Meeting—A race meeting of less than 10 days at which no pari-mutuel wagering is conducted.
- § 4.118 Notice of Ruling—The document that specifies the penalty imposed upon the participant or horse.

§ 4.119 Official—The sign that is displayed by the judges indicating that the race results are confirmed and bets may be paid.

§ 4.120 Official Placings—The order in which wagers and premiums are paid as determined by the judges.

§ 4.121 Owner—Is the full owner or part owner of a registered Standardbred. (Also see Registered Owner.)

§ 4.122 Overnight Event/Race—A race for which declarations close not more than 3 days (omitting Sundays) or less than 1 day before such race is to be contested. In the absence of conditions or notice to the contrary, all entries in overnight events must close not later than 12:00 noon the day preceding the race.

§ 4.123 Pace—A gait in which the legs of a horse moves in lateral pairs. (See “Trot”)

§ 4.124 Paddock/Receiving Barn—Areas enclosed by a fence or other means at which all entrances are secured and entrance to such structure is limited.

§ 4.125 Paddock Judge—An official licensed by the USTA to perform specific duties as outlined under Rule 6.17.

§ 4.126 Pari-Mutuel—(See *Pari-Mutuel Wagering*)

§ 4.127 Pari-Mutuel Wagering—A form of betting and of handling the betting on horse races at racetracks, in which those holding winning tickets divide the total amount bet in proportion to their wagers, less a percentage for the management, taxes, etc.

§ 4.128 Participant—Any person, stable, partnership, estate, corporation, or other legal entity participating directly in Standardbred racing and who, under the Rules, is required to be licensed by the racing authority and the USTA.

§ 4.129 Photo Finish—A still photograph that determines the finishing positions of each horse in conformance with Rule 5.09.

§ 4.130 Placing System—A system used to determine the winner and payout of purse money based upon the ranking of horses.

§ 4.131 Pool(s)—The amount of money bet on a particular type of wager.

§ 4.132 Positive Test—Finding by an approved laboratory that a blood or urine sample indicates the presence of a drug, medication, or other prohibitive substance.

§ 4.133 Post Parade—The parading of horses in a race by the judge’s stand prior to a race.

§ 4.134 Post Position—The position assigned or drawn for a horse from which they will start the race.

§ 4.135 Post Race Test—A blood or urine sample taken after the completion of a heat or dash that indicates the presence of a drug, medication or other prohibited substance.

§ 4.136 Post Time—The time set for the start of a race.

§ 4.137 Preference System—Used to provide an equal opportunity for horses to race. The date used to determine what horse receives preference to race over other horses.

§ 4.138 Preferred/Invitational List—(See *Named Races*)

§ 4.139 Premiums—(See *Winnings*)

§ 4.140 Pre-Race Test—A blood or urine sample taken prior to the completion of a heat or dash that indicates the presence of a drug, medication or other prohibited substance.

§ 4.141 Presiding Judge—An official licensed by the USTA to perform specific duties as outlined under Rule 6.

§ 4.142 Program Director—An official licensed by the USTA to perform specific duties as outlined under Rule 6.19.

§ 4.143 Programmed Trainer—The person who assumes responsibility for a horse from the time it is entered to race until the conclusion of such race.

§ 4.144 Protest—An objection, properly sworn to, charging that a horse is ineligible to a race, alleging improper nomination or entry, or citing any act of an owner, driver, or official prohibited by these Rules which, if true, would exclude the horse or driver from the race.

§ 4.145 Purse—The monetary amount that is distributed to the finishers of a race.

§ 4.146 Qualifying Race—A race in which a horse must establish its ability to participate at a race meeting consistent with the qualifying standards establish for that class of horse.

§ 4.147 Race—A contest of speed between Standardbreds at a trotting or pacing gait.

§ 4.148 Race Secretary—An official licensed by the USTA to perform specific duties as outlined under Rule 6.20.

§ 4.149 Race Track—The actual surface on which a dash, heat or race is contested.

§ 4.150 Racing Authority—The governing body having jurisdiction over racing. (*Also known as a “Racing Board” or “Racing Commission.”*)

§ 4.151 Racing Season/Racing Year—For purposes of eligibility, a racing season or a racing year shall be a calendar year.

§ 4.152 Recall—A restart of the race called by the starter.

§ 4.153 Reciprocity—The relation or policy in dealings between recognized racing authorities by which corresponding advantages, penalties, or privileges are granted by each racing authority’s rulings or actions to the other.

§ 4.154 Record/Standard Record—The fastest time made by a horse in a heat or race which he or she won at the standard distance of one mile. A Standard Record is a record of 2:20 or faster for two-year-olds and 2:15 or faster for all other ages.

§ 4.155 Registered Owner—The owner of a horse as reflected by the records of the USTA.

§ 4.156 Registrar—A person appointed by the Board of Directors who is responsible for registering horses in accordance with USTA Rules.

§ 4.157 Ridgling—A male horse with one or both testicles not descended into the scrotal sack.

§ 4.158 Saddle Pad—A colored pad that is placed on the horse's back on which its wagering number is displayed.

§ 4.159 Sandwiching—The layering of subsequent heats of a multiple heat race.

§ 4.160 Scoring/Scores—The warming up of a horse on the racetrack immediately preceding the race.

§ 4.161 Scratch—The removal of a horse from a race after its entry has been accepted.

§ 4.162 Scratch Time—The time specified for making final changes to the official program prior to publication, at which time, any “also eligible” horses in the programmed race are released.

§ 4.163 Segregated Funds—Money that may only be used for a specific purpose.

§ 4.164 Spayed Mare—A female horse who has had her ovaries removed.

§ 4.165 Speed Superintendent—Person appointed to format the races at a county fair.

§ 4.166 Stake—A race which will be contested in a year subsequent to its closing in which the money given by the track member conducting the same is added to the money contributed by the nominators.

§ 4.167 Standardbred Canada—Standardbred breed registry for Canada.

§ 4.168 Standardbred Driving Club—An organized group of amateur drivers.

§ 4.169 Start—Any type of condition unless specifically so stated that includes only those performances in a purse race. Qualifying and matinee races are excluded.

§ 4.170 Starter—(See *Starting Judge*)

§ 4.171 Starters—A group of horses competing in a heat or race.

§ 4.172 Starting Fee—The fee required that must be paid prior to start of the race.

§ 4.173 Starting Gate—A mobile device used to start horses in a race.

§ 4.174 Starting Judge—An official licensed by the USTA to perform specific duties as outlined under Rule 6.14.

§ 4.175 Starting Point—The point marked on the inside of the track at a distance along the course of not less than 200 feet from the first turn.

§ 4.176 Stay—Officially granted delay in the imposition of a penalty pending review.

§ 4.177 **Steward's List**—A group of horses for which entries are refused.

§ 4.178 Stimulant—An agent, especially a drug, that causes increased activity, especially of the nervous or cardiovascular systems.

§ 4.179 Suspension—Prohibits a person and/or horse from participating in racing for a specified period of time.

§ 4.180 Sulkies—For the purpose of these Rules a sulky shall be defined as 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. Only sulkies that have been

approved by the USTA under the provisions of Rule 18.23 shall be used at track member or contract tracks.

§ 4.181 Tiers of Horses—A series of not more than two rows of horses behind the starting gate.

§ 4.182 Time Bar—A specific time of a mile at which the winner of the race is determined by the horse(s) that finish the race closest to the specified time.

§ 4.183 Time Disallowed—A refusal to allow the time or a particular horse or race.

§ 4.184 Time Record—(*See Record*)

§ 4.185 Timed Workout—Permitted in lieu of a qualifying race for a horse to establish its ability to participate at a race meeting consistent with the qualifying standards establish for that class of horse.

§ 4.186 Timer—the person or persons responsible with the timing of the race.

§ 4.187 Track Committee—A group of at least three full “A” licensed drivers appointed by the presiding judge to, among other things, assist with determining the qualifications of a driver who is seeking advancement to a higher category of license.

§ 4.188 Track License—(*See Certificate of Membership*)

§ 4.189 Track Member—(*See Member*)

§ 4.190 Trailers—Horses whose starting position is behind other horses.

§ 4.191 Trainer—The person responsible for caring for and conditioning a horse.

§ 4.192 Trainer of Record—The person to whom trainer-related penalties shall apply in the event of an infraction involving a horse as to which he or she is listed as trainer.

§ 4.193 Trot—A gait in which the legs of the horse move in diagonal pairs.

§ 4.194 Two In Three—In a Two in Three race a horse must win two heats to be entitled to first money.

§ 4.195 Wager/Wagering—(*See Pari-Mutuel Wagering*)

§ 4.196 Walk Over—When only one horse starts, it constitutes a walk over. In a stake race, a walk over is entitled to all the stake money and forfeits. To claim the purse the entry must start and go once over the course.

§ 4.197 Weanling—A foal that has not reached its first birthday (January 1st).

§ 4.198 Win Race Record—(*See Record*)

§ 4.199 Winner—The horse whose nose reaches the wire first. If there is a dead heat for first, all horses involved shall be considered winners. Where two 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 distance and the horses are tied in the summary and the time, both horses shall be considered the winners.

§ 4.200 Winnings—The money earned by a horse for competing in a race.

§ 4.201 Wire—The wire is a real or imaginary line from the photo finish camera to a point immediately across from the finish line, and at right angles to the track.

§ 4.202 Yearling—Any horse between its first and second birthday.

RULE 5.—TRACK MEMBERS.

Section

- 5.01 Location of Judges' Stand
- 5.02 Hippodroming Ban
- 5.03 Default in Payment of Purses
- 5.04 Time to File Claims for Unpaid Purses
- 5.05 Default by a Promoter other than a Track Member
- 5.06 Dishonored Checks
- 5.07 Removal of Horses from the Grounds
- 5.08 Paddock Rules
- 5.09 Photo Finish, Head Numbers—Starting Gate
- 5.10 Driver Insurance
- 5.11 Supervision of Meeting
- 5.12 Breath Analyzer Requirements
- 5.13 Prohibition Against Illegal Use of Drugs
- 5.14 Quarter Pole Markers
- 5.15 Warming Up Horses
- 5.16 Medical Assistance
- 5.17 Accident Warning Lights
- 5.18 Standardized Saddle Pad Colors

§ 5.01 **Location of Judges' Stand.**—The judges' stand shall be so located and constructed as to afford to the officials an unobstructed view of the entire track.

§ 5.02 **Hippodroming Ban.**—All races conducted by member tracks shall be bona fide contests with the winner receiving the largest share of the purse and the balance of the purse distribution made according to the order of finish as provided in these Rules. No hippodroming or other arrangement for equal distribution of the purse money among the contestants is permitted with the exception of non-pari-mutuel races which are either amateur races or promotional races, and the winner of such a race shall not be credited with a win race record. Violation of this rule will subject the track member, officials in charge and the owners and drivers to fine, suspension or expulsion.

§ 5.03 **Default in Payment of Purses.**—A track member that defaults in the payment of a premium that has been raced for shall stand suspended together with its officers.

§ 5.04 **Time to File Claims for Unpaid Purses.**—Unless claims for unpaid premiums shall have been filed with this USTA within 60 days after the date the race is contested the USTA may release any performance bond that may have been required.

§ 5.05 **Default by a Promoter other than a Track Member.**—If, at a meeting of a track member, a race is contested which has been promoted by another party or parties and the promoters thereof default in the payment of the amount raced for, the same liability shall attach to the member as if the race had been offered by the track

member.

§ 5.06 Dishonored Checks.—Any track member who shall pay any purse or charges due the USTA, or a refund of entrance fees by draft, check, order or other paper, which upon presentation is protested, payment refused or otherwise dishonored shall by order of the Executive Vice-President be subjected to a fine not exceeding the amount of said draft, check or order and shall be suspended from membership until the dishonored amount and fine are paid to the Executive Vice-President.

§ 5.07 Removal of Horses from the Grounds.—No horse shall be ordered off the grounds without at least 72 hours notice (excluding Sunday) to the person in charge of the horse.

§ 5.08 Paddock Rules.—Every extended pari-mutuel track member shall:

(a) Provide a paddock or receiving barn.

(b) The paddock or receiving barn must be completely enclosed with a man-tight fence and all openings through said fence shall be policed so as to exclude unauthorized personnel therefrom.

(c) Horses must be in the paddock at the time prescribed by the presiding judge but in any event at least 1 hour prior to post time of the race in which the horse is to compete. Except for warm-up trips no horse shall leave the paddock until called to the post.

(d) Persons entitled to admission to the paddock:

1. Owners of horses competing on the date of the race.
2. Trainers of horses competing on the date of the race.
3. Drivers of horses competing on the date of the race.
4. Grooms and caretakers of horses competing on the date of the race.
5. Officials whose duties require their presence in the paddock or receiving barn.
6. Any person or persons approved by the presiding judge and track member who is/are industry recognized media or is a guest of an owner of a horse competing that day. (*Effective 05/01/2019*)

(e) No person unless they have a horse in a later race shall leave the paddock until such race or races for which he/she was admitted is contested except with the permission of the presiding judge.

(f) During racing hours each track member shall provide the services of a blacksmith within the paddock.

(g) During racing hours each track member shall provide suitable extra equipment as may be necessary for the conduct of racing without unnecessary delay.

§ 5.09 Photo Finish, Head Numbers—Starting Gate.—At all member tracks where pari-mutuel wagering is allowed, a photo finish and starting gate must be used. Head numbers shall not be permitted at extended pari-mutuel tracks. At non-extended meetings/fairs, the use of head numbers is permitted. At all extended pari-mutuel meetings the track member must provide for a back-up starting gate. Photo finish equipment shall not be acceptable unless a stationary camera, mounted above the finish wire and perpendicular to the race track, is employed along with a spinner or stationary target or acceptable software application shall be used. In addition, no

camera utilizing a shutter between the film and the race track during the actual finish of a race or which has a field of view greater than 12 inches at the finish line shall be considered acceptable equipment. It shall be the duty of the presiding judge to verify that the photo finish equipment is in working order prior to each racing program.

§ 5.10 Driver Insurance.—Each track member conducting an extended pari-mutuel meeting shall prepare and prominently display, in the race secretary's office, a statement giving the name of the company with which they carry driver insurance. The insurance policy shall provide a minimum of medical coverage equal to the average daily purse account raced for at the meeting the previous calendar year. At non-pari-mutuel meetings and non-extended pari-mutuel meetings where driver accident insurance is not provided, notice of that fact shall be conspicuously advertised and printed on condition and overnight sheets.

§ 5.11 Supervision of Meeting.—Although track members have the obligation of general supervision of their meeting, interference with the proper performance of duties of any official is hereby prohibited.

§ 5.12 Breath Analyzer Requirements.—(a) Every extended pari-mutuel track member shall be equipped with a breath analyzer device and/or any recognized test relative that shall produce immediate results. All drivers, judges, starters, drivers of the starting gate, outriders, and marshals, shall be required to submit to such test at each racing program in which they participate. In the case of drivers, if the results of such test show a reading of more than .00% of alcohol in the blood or a detection of a prohibited substance as defined in Rule 5.13, such driver shall not be permitted to drive for the remainder of the card and serve a suspension of three (3) days for the first offense. The second offense in twelve months shall result in the driver not being permitted to drive for the remainder of the card and a seven- (7) day suspension and fine. The third offense in twelve months shall result in a driver not being permitted to drive for the remainder of the card and a thirty- (30) day suspension. The third offense in twelve months shall also require an individual to successfully complete an alcohol and/or substance abuse program approved by the state regulatory authority prior to returning to his or her duties. In the case of judges, starters, drivers of the starting gate, outriders, and marshals, if the result of a breath analyzer test and/or any recognized test relative that shall produce immediate results that result in a reading of more than .00% of alcohol in the blood, that individual shall be relieved of his duties for that program and fined. A report shall be made to the pertinent state racing authority and the USTA for appropriate action. A clean sample must be received prior to the individual resuming his or her duties. Any individual who fails to provide a sample when requested shall be immediately suspended for a minimum of seven- (7) days and referred to the state racing authority for further action.

(b) For Other Than Extended Pari-Mutuel Meetings.—Drivers, judges, starters, drivers of the starting gate, outriders, and marshals shall submit to a breath analyzer test and/or any recognized test relative that shall produce immediate results when requested by the presiding judge or an authorized agent of the USTA. The results of the test will be governed by the provisions of the Rule 5.12(a).

§ 5.13 Prohibition Against Illegal Use of Drugs.—The personal use of any illegal drug, any medication that may detrimentally impact performance, or any unapproved stimulant, depressant, narcotic, or hypnotic is prohibited. All drivers,

judges, starters, drivers of the starting gate, outriders, and marshals may be required to submit a urine or blood sample or to take any other recognized test that produces immediate results relative to the detection of the above at each racing program in which they participate. Any such drug, medication, stimulant, depressant, narcotic, or hypnotic shall be only acceptable for use if it has the prior approval of the state regulatory authority verifying that said use will not adversely affect the safety and well-being of both equine and human participants. Any individual who tests positive as a result of such use must provide a negative test result before he or she is permitted to resume normal duties.

§ 5.14 Quarter Pole Markers.—At all member tracks the quarter-mile pole, half-mile pole and three-quarter-mile pole shall be clearly marked.

§ 5.15 Warming Up Horses.—At all member tracks the presiding judge shall be responsible to see that wherever possible a minimum period of 2 hours is allocated for the warming up of horses immediately preceding the beginning of each racing program.

§ 5.16 Medical Assistance.—At all member tracks where harness races are conducted it shall be the responsibility of the track member to have a licensed paramedic, emergency medical technician or the equivalent and an ambulance or other suitable transportation available on the premises during the period beginning 30 minutes prior to the post time for the first race on the program, or first qualifying race, through the conclusion of the racing program. For the purposes of this rule “ambulance” or “other suitable transportation” shall be defined as one capable of transporting injured parties to an appropriate medical facility.

§ 5.17 Accident Warning Lights.—Every extended pari-mutuel track member shall be equipped with a system of beacon style warning lights for use in the event of an accident.

§ 5.18 Standardized Saddle Pad Colors.—The saddle pads in use at track members conducting extended pari-mutuel meetings shall be standardized consistent with a format to be established by the USTA.

RULE 6.—RACE OFFICIALS.

Section

- 6.01 Mandate for Licensing Officials
- 6.02 Officials Required
- 6.03 Officials at Extended Meetings
- 6.04 Disqualification to Act as Official
- 6.05 Judges’ Stand Occupants
- 6.06 Improper Acts by an Official
- 6.07 Presiding Judge—Supervision Over
- 6.08 Associate Judges—At Extended Pari-Mutuel Meetings
- 6.09 Failure of Judges to Enforce Rules
- 6.10 Judges’ Authority

- 6.11 Duties of the Judges
- 6.12 Procedure of the Judges
- 6.13 Patrol Judge
- 6.14 Starter
- 6.15 Clerk of the Course/Charter
- 6.16 Timers
- 6.17 Paddock Judge
- 6.18 Identifier/Assistant Paddock Judge
- 6.19 Program Director
- 6.20 Race Secretary

§ 6.01 Mandate for Licensing Officials.—Any person acting as an official as prescribed by this Rule, unless otherwise provided in Rule 6.02, must be licensed as such by the USTA. No license shall be issued until the applicant has established that his or her character and reputation, knowledge of the rules, harness horse experience, temperament and qualifications to perform the duties required are satisfactory. Applicants for a license must satisfactorily complete the requisite written examination and satisfy all other requirements and pre-requisites as established by the USTA prior to the issuance of such license. No Official's License shall be granted to any person who is not a USTA member.

The USTA shall issue licenses in the following categories:

- Presiding Judge
- Associate Judge
- Patrol Judge
- Paddock Judge
- Assistant Paddock Judge/Identifier
- Starter
- Race Secretary
- Clerk of Course/Charter
- Program Director

§ 6.02 Officials Required.—At all matinees there shall be a licensed presiding judge and one timer in the judges' stand.

At all meetings where races are charted the track member shall provide a licensed clerk of course/charter. At all matinees there shall be a licensed presiding judge in the judges' stand.

If any licensed official is absent the track member may appoint a substitute until another licensed official can be procured. If such official acts for more than 3 days, he shall apply for a license in that capacity. This power may only be used in case of unavoidable emergencies.

§ 6.03 Officials at Extended Meetings.—No person may act as a racing official at an extended pari-mutuel meeting without a License valid for extended pari-mutuel meetings.

No licensed official shall be qualified to act as such at any pari-mutuel meeting where he is the owner or otherwise interested in the ownership of any horse participating at such meeting.

§ 6.04 **Disqualification to Act as Official.**—A person under suspension, expulsion, or other disqualification, or who has any interest in or any bet on a race or has an interest in any of the horses engaged therein, is disqualified from acting in any official capacity in that race.

§ 6.05 **Judges' Stand Occupants.**—None but the judges, the clerk of course/charter, the secretary, and timers, official announcer, and officers, officials, and Directors of the USTA, and the state racing authority having jurisdiction or track member shall be allowed in the judges' stand during a race.

§ 6.06 **Improper Acts by an Official.**—No official shall use insulting or other improper language to an owner, driver, or other person.

§ 6.07 **Presiding Judge—Supervision Over.**—The presiding judge shall:

(a) have supervision over:

1. Associate Judges
2. Patrol Judge
3. Paddock Judge
4. Assistant Paddock Judge/Identifier
5. Clerk of Course/Charter
6. Starter
7. Program Director

(b) Notify participants of penalties imposed.

(c) Report in writing to the Executive Vice-President violations of the rules giving detailed information.

The presiding judge shall not act as a starter, announcer or an officer at any meeting at which he or she officiates as presiding judge.

§ 6.08 **Associate Judges—At Extended Pari-Mutuel Meetings.**—The associate judges shall act in concert with the presiding judge.

§ 6.09 **Failure of Judges to Enforce Rules.**—Failure of the presiding judge or associate judges to see that the Rules of the USTA and the rules of any racing authority are complied with may be grounds for revocation and may be grounds for denial of a license for the subsequent year.

§ 6.10 **Judges' Authority.**—The judges shall have authority to:

(a) Inflict fines and penalties, as prescribed by these Rules.

(b) Determine all questions of fact relating to the race.

(c) Decide any differences between parties to the race, or any contingent matter which shall arise, such as are not otherwise provided for in these Rules.

(d) Declare pools and bets “off” in case of fraud, no appeal to be allowed from their decision in that respect. All pools and bets follow the decision of the judges. Such a decision in respect to pools and bets shall be made at the conclusion of the race upon the observations of the judges and upon such facts as an immediate investigation may develop. A reversal or change of decision after the official placing at the conclusion of

the heat or race shall not affect the distribution of betting pools made upon such official placing. Control the horses, drivers, trainers and other participants and punish by a fine or by suspension or expulsion, any such person who shall fail to obey their orders or the rules. In no case shall there be any compromise or change on the part of the judges of punishment prescribed in the Rules, but the same shall be strictly enforced. Track members shall not remove or modify any fine imposed by the judges of a race, review any order of suspension, expulsion or interfere with the judges performing their duties.

(e) Examine all parties connected with a race as to any wrong or complaint. Any person required to appear before the judges for a hearing or examination who shall fail to appear after due notice in writing shall be penalized.

(f) Consider complaints of foul from the owners, trainers or drivers in the race and no others.

§ 6.11 Duties of the Judges.—It shall be the duty of the judges to:

(a) Exclude from the race any horse that in their opinion is improperly equipped, dangerous, or unfit to race which shall include sick, weak, and extremely lame horses. No horse shall race with a tube in its throat. No horse shall be permitted to wear a head pole that protruding beyond its nose. No horse may race unless he has unimpaired vision in one eye and no horse infected with equine infectious anemia, or a carrier thereof, shall race.

(b) Investigate any apparent or possible interference, or other violation of Rule 18.01, by posting the “inquiry” sign whether or not a complaint has been made by the driver.

(c) Investigate any act of cruelty seen by them or reported to them towards a race horse during a meeting at which they officiate. If the Judges find that such an act has been committed they shall suspend or fine the offending person and submit a written report within 10 days of their findings and action to the Executive Vice-President. The Executive Vice-President shall have all the authority conferred upon the judges by this section, and in addition may order an investigation and hearing and impose a penalty for any act of cruelty or neglect of a horse committed by any person whether on or off the premises of any racetrack.

(d) Conduct an investigation of any accidents to determine the cause thereof, and the judges shall completely fill out an accident report and mail to the USTA office. 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.

(e) Observe closely performance of the drivers and the horses to ascertain if there are any violations of Rule 18; particularly, interference, helping, or inconsistent racing and exhaust all means possible to safeguard the contestants and the public.

(f) Grant a hearing at a designated time before a penalty may be imposed upon any party. All three Judges should be present if possible, and at least the presiding judge and one associate judge must be present at all judges' hearings. The judges may impose the penalties prescribed by these Rules. It shall be the duty of the judges to notify the party of a hearing as soon as possible, but in any event, where there is an alleged driving violation, said notice shall be furnished no later than 12:00 noon the

day following the race.

(g) Require all buckles on front hobble hangers be taped.

In the event the judges believe that a person has committed a rule violation and has left the grounds and they are unable to contact him and hold a hearing thereon they may make an investigation and send a detailed written report to the Executive Vice-President of the USTA. The Executive Vice-President may impose a penalty not to exceed 10 days without a hearing based upon the report of the Judges.

Any person charged with a rule violation shall be given at least until 12:00 noon of the following day to prepare his defense if he so requests.

All penalty notices will carry the exact reason why the penalty has been imposed together with the rule violated.

(g) Declare a heat or race “no contest” in the event the racetrack is thrown into darkness during the progress of a race by failure of electricity or other situation if the judges deem it is in the best interest of racing.

§ 6.12 Procedure of the Judges.—It shall be the procedure of the Judges to:

(a) Be in the judges’ stand 15 minutes before the first race and remain in the stand at all times when the horses are upon the track.

(b) Observe the preliminary warming up of horses and scoring, noting behavior of horses, lameness, equipment, conduct of the drivers, changes in odds at pari-mutuel meetings and any unusual incidents pertaining to horses or drivers participating in races.

(c) One of the judges shall be designated to lock the pari-mutuel machines immediately upon the horses reaching the official starting point. Be in communication with the patrol judges/starter, from the time the Starter picks up the horses until the finish of the race. Any violation or near violation of the rules shall be reported by the patrol judge/starter witnessing the incident and a written record made of same. At least one judge shall observe the drivers throughout the stretch specifically noting changing course, interference, improper use of whips, breaks and failure to contest the race to the finish.

(d) Post the “objection” sign, or “inquiry” sign, on the odds board in the case of a complaint or possible rule violation, and immediately notify the announcer of the objection or inquiry and the horse or horses involved. As soon as the judges have made a decision, the “objection” sign or “inquiry” sign shall be removed, the correct placing displayed, and the “official” sign flashed. In all instances the Judges shall post the order of finish and the “official” sign as soon as they have made their decision. In addition the Judges shall cause the “inquiry” sign to be posted whenever there has been an accident during the course of the race.

(e) Display the photo sign if the order of finish among the contending horses is less than half-length or a contending horse is on a break at the finish.

§ 6.13 Patrol Judge.—The track member may appoint one or more patrol judges. It shall be their duty to report all fouls and improper conduct. The result of a heat or race shall not be announced until sufficient time has elapsed to receive the reports of the patrols. The starter may act as a patrol judge.

The patrol judges shall observe all activity on the racetrack in their area at all times during the racing program and shall immediately report to the presiding judge:

- (a) Any action on the racetrack which could improperly affect the result of a race.
- (b) Every violation of the racing rules.
- (c) The lameness or unfitness of any horse.
- (d) Any lack of proper racing equipment.
- (e) Be in constant communication with the Judges during the course of every race and shall immediately advise the judges of every rule violation, improper act or unusual happening which occurs at their station.
- (f) When directed by the presiding judge shall attend hearings or inquiries on violations.

§ 6.14 Starter.—The starter shall be in the starting gate 15 minutes before the first race. The Starter shall have control over the horses and authority to assess fines and/or suspend drivers for any violation of the rules from the formation of the parade until the word “go” is given. The starter shall notify the judges and the drivers of penalties imposed by him. It shall also be the duty of the starter to perform their duties as outlined in Rule 16.

§ 6.15 Clerk of the Course/Charter.—The clerk of the course/charter shall work under the direction and supervision of the presiding judge.

(a) The clerk of the course/charter shall have the following duties and responsibilities:

1. Record and report transfer of ownership, collect fees, and submit to the USTA in a timely manner all requisite forms and documents.
2. Verify the correctness of the reported information.
3. Notify owners and drivers of penalties assessed by the officials.
4. Upon request, may assist Judges in placing horses.
5. Upon request, may assist in drawing post positions.

(b) The charting of races shall be done only by a licensed clerk of the course/charter and he or she shall be responsible for providing a complete and accurate chart. At all meetings the charting of races is mandatory and the track member shall employ a licensed clerk of the course/charter to fulfill the requirements of this section.

An accurate chart shall include the following:

1. Horse's name.
2. Driver's and trainer's name.
3. Date and place of race.
4. Size of the racetrack if other than a half-mile track.
5. Racetrack condition and temperature.
6. Type of race (trot or pace).
7. Classification of race.
8. Distance.
9. The fractional times of the leading horse, including the race time.
10. The horse's post position, position at the quarter, half, three-quarters, and head of the stretch with lengths behind the leader and finish with lengths behind the leader.

11. Official order of finish.
12. Individual time of each horse.
13. Closing dollar odds where applicable (with the betting favorite designated by an asterisk).
14. The standard symbols for breaks, park-outs and free-legged pacers and trotting hobbles where applicable.
15. Horses whose lengths off the leader are more than 25 lengths shall be noted as distanced (DIS).
16. In claiming races the price for which the horse is entered to be claimed.
17. Notations of placings, disqualifications and claimed horses.
18. Notation of scratched and specific reason for scratched or ruled out horses.
19. Notation of a recall includes the name of the horse that caused the recall.
20. The standard symbol “[” that indicates that a horse started from the 2nd tier.

Failure to comply with any part of this Rule or to make the aforementioned entries in a legible, clear and accurate fashion may subject the clerk of course/charter and/or track member to a fine.

§ 6.16 Timers.—At each race there shall be three timers in the judges’ or timers’ stand except when an electronic timing device is used, in which event there shall be one timer. All times shall be announced and recorded in fifths of seconds. Effective January 1, 2016 and thereafter, all times shall be announced and recorded in 100ths of seconds (tabled in 2016). An approved electronic or electric timing device must be used where horses are started from a chute.

The timers shall be in the stand 15 minutes before the first race is to be contested. They shall start their watches when the first horse leaves the point from which the distance of the race is measured. The time of the lead horse at the quarter, half, three-quarters, and the finish shall be taken. If odd distances are raced the fractions shall be noted accordingly.

§ 6.17 Paddock Judge.—Under the direction and supervision of the presiding judge, the paddock judge and when authorized by the presiding judge, the assistant paddock judge/identifier will have complete charge of all paddock activities as outlined in Rule 5.08. The paddock judge and/or assistant paddock judge/identifier are responsible for:

- (a) Getting the fields on the racetrack for post parades in accordance with the schedule given by the presiding judge.
- (b) Inspecting of horses for changes in equipment, broken or faulty equipment, head numbers or saddle pads.
- (c) Supervising of paddock gate men.
- (d) Proper check-in and check-out of horses, drivers and checking the identification of all horses coming into the paddock including the lip tattoo or freeze brand number.
- (e) Directing the activities of the paddock blacksmith.
- (f) Immediately notifying the presiding judge of anything that could in any way change, delay or otherwise affect the racing program.

(g) Report any cruelty to any horse to the presiding judge.

(h) Seeing that only properly authorized persons are permitted in the paddock. Any violation of this rule may result in a fine, suspension or expulsion.

§ 6.18 Identifier/Assistant Paddock Judge.—At all extended pari-mutuel meetings, the track member shall employ an identifier/assistant paddock judge licensed by the USTA, whose duty it shall be to check the identification of all horses coming into the paddock, to include the tattoo, freeze brand number, microchip, color, and any markings. All horses programmed as a horse/colt/ridgling shall be verified as such prior to each start. Any discrepancy detected in the tattoo number, freeze brand number, microchip, color, markings or sex of a horse shall be reported immediately to the paddock judge, who shall in turn report same immediately to the presiding judge. Such discrepancies shall be forwarded to the USTA. The identifier/assistant paddock judge shall be under the immediate supervision of the paddock judge and the general supervision of the presiding judge and may perform other duties as outlined under Rule 6.17 when directed.

§ 6.19 Program Director.—Each extended pari-mutuel track shall designate a program director.

It shall be the responsibility of the program director to furnish the public complete and accurate past performance information as required by Rule 7.02.

§ 6.20 Race Secretary.—The duties of a race secretary shall include but are not necessarily limited to the following:

(a) To be familiar with the age, class and competitive ability of all horses racing at the track.

(b) To classify and re-classify horses in accordance with the rules.

(c) To examine all declaration blanks to verify all information set forth therein.

(d) To check the eligibility of all horses drawn in to race and verify the horses' eligibility with the presiding judge.

(e) To prescribe the standards for overnight events and to prepare and publish condition sheets or condition books in accordance with the rules.

RULE 7.—HORSE IDENTIFICATION AND PROGRAM INFORMATION.

Section

7.01 Bona Fide Owner or Lessee

7.02 Program Information

7.03 Inaccurate Information

7.04 Check on Identity of Horse

7.05 False Chart Lines

7.06 Tattoo/Freeze Brand/ Microchip Requirements

§ 7.01 Bona Fide Owner or Lessee.—Horses not under lease must race in the name of the bona fide owner. Horses under lease must race in the name of the lessee and a copy of the lease must be recorded with the USTA. Persons violating this rule

may be fined, suspended or expelled.

§ 7.02 Program Information.—The printed program shall be available to the public at all meetings where purses are raced for. All programs shall furnish:

- (a) Horse's name and sex.
- (b) Color and age.
- (c) Sire and dam.
- (d) Owner's name.
- (e) Driver's name and colors.
- (f) Trainer's name.

At extended pari-mutuel meetings the following additional information shall be furnished:

(g) In claiming races the price for which the horse is entered to be claimed.

(h) At least the last six performance and accurate chart lines. An accurate chart line shall include: Date of race, place, size of the racetrack if other than a half-mile racetrack, symbol for free-legged pacers, racetrack condition, type of race, distance, the fractional times of the leading horse including race time, post position, position at one quarter with lengths behind the leader, one half with lengths behind the leader, three-quarters with lengths behind the leader, stretch with lengths behind the leader, finish with lengths behind the leader, individual time of the horse, closing dollar odds, name of the driver, names of the horses placed first, second and third by the Judges. The standard symbols for breaks and park-outs shall be used, where applicable.

(i) Indicate drivers racing with a provisional license and trainers with a limited license.

(j) Indicate pacers racing without hobbles and trotters that are racing with hobbles.

(k) Summary of starts in purse races, earnings, and best win time for current and preceding year. A horse's best win time may be earned in either a purse or non-purse race.

(l) The name of the trainer and stable.

(m) The consolidated line shall carry date, place, time, driver, finish, racetrack condition and distance, if race is not at one mile.

(n) Wherever a horse races under permissive medication, that fact shall be recorded on the horse's electronic eligibility and thereafter that information shall be included in the performance lines on the printed programs at all extended pari-mutuel meetings, using the standard symbol adopted therefore.

§ 7.03 Inaccurate Information.—An owner, trainer, driver, or others found guilty of providing inaccurate information on a horse's performance, or of attempting to have misleading information given on a program may be fined, suspended, or expelled.

§ 7.04 Check on Identity of Horse.—Any official, officer of the USTA, or owner, trainer, or driver of any horse entered in to race wherein the question arises may call for information concerning the identity and eligibility of any horse on the grounds of a track member, and may demand an opportunity to examine such horse or his electronic eligibility with a view to establish his identity or eligibility. If the owner

or party controlling such horse shall refuse to afford such information, or to allow such examination, or fail to give satisfactory identification the horse and the said owner or party may be barred by the member track, and suspended or expelled by the USTA.

§ 7.05 False Chart Lines.—Any official or person who enters a chart line on an electronic eligibility when the race has not been charted by a licensed charter may be fined, suspended or expelled.

§ 7.06 Tattoo/Freeze Brand/Microchip Requirements.—No horse that has not been tattooed or freeze branded and implanted with a microchip as authorized by the USTA will be permitted to start at an extended pari-mutuel meeting unless the permission of the presiding judge is obtained and arrangements are made to have the horse tattooed or freeze branded or implanted with a microchip. Any person refusing to allow a horse to be tattooed/freeze branded/micro-chipped by a USTA representative may be fined, suspended or expelled, or further applications for registrations submitted by such person may be refused.

No horse may start in any race at an extended pari-mutuel or any other meeting unless it is fully identified. The burden of establishing the identity of a horse rests with the person or persons having charge of the horse at the meeting, and in connection therewith any person found guilty of fraud or attempted fraud or any person who aids in any way in the perpetration of a fraud or any person who participates in any attempt at fraud shall be expelled. Provided further that the provisions of this section shall not be interpreted as relieving the paddock judge and/or the identifier from any responsibilities outlined in Rule 6.17 and 6.18.

RULE 8.—RACING, FARM, CORPORATE OR STABLE NAMES.

Section

- 8.01 Registration of Stallion Syndicates and Racing, Farm, Corporate or Stable Names
- 8.02 Individual Membership Requirements for Members
- 8.03 Prohibition Against Duplicate Names
- 8.04 Liability of Owners and Other Persons
- 8.05 Inactivity of Registered Stable
- 8.06 Signature on Transfers and Other Documents Relating to Racing, Farm, Corporation, and Stable Names
- 8.07 Designation of Corresponding Officer

§ 8.01 Registration of Stallion Syndicates and Racing, Farm, Corporate or Stable Names.—Stallion syndicates and racing, farm, corporate or stable names, hereby referred to as a registered stable, may be used by owners or lessees if registered with the USTA giving the names of all persons who are involved in the stable or will use the name.

§ 8.02 Individual Membership Requirements for Members.—All persons who are members of a racing, farm, corporate or stable racing a horse as provided in

Rule 4.10 must be USTA members. The USTA shall be notified immediately if additional persons become interested in a registered racing, farm, corporate or stable or if some person listed in a registration disassociates himself from the registered racing, farm, corporate or stable. Failure to do so will place the registered racing, farm, corporate or stable in violation of the Rules.

§ 8.03 Prohibition Against Duplicate Names.—Two registered racing, farm, corporate or stables cannot be registered under the same name and the Executive Vice-President may reject an application for a name that is confusing to the public, unbecoming to the sport, or exceeds 25 letters including spaces between letters.

§ 8.04 Liability of Owners and Other Persons.—All owners and persons listed in a registered racing, farm, corporation, or stable, whether incorporated or not shall be jointly and severally liable for entry fees and penalties against the registered racing, farm, corporate or stable. In the event one of the owners or persons listed in a registered racing, farm, corporation, or stable is suspended all the horses shall be included in accordance with Rule 22.05.

§ 8.05 Inactivity of Registered Stable.—A registered stable must have its membership renewed each year. If the stable is not renewed for a period of 15 years, it will be presumed abandoned and may be reissued to another party upon proper application. Stallion syndicate names may never be reissued.

§ 8.06 Signature on Transfers and Other Documents Relating to Racing, Farm, Corporation, and Stable Names.—Only the signature of the corresponding officer of a racing, farm, corporation, or stable name will be recognized on transfers and other documents pertaining to such organizations. Documents bearing the signature of the stable by the corresponding officer will be considered binding upon the members thereof.

§ 8.07 Designation of Corresponding Officer.—Each member of a registered farm, corporation, or stable should sign a document designating the name and address of the corresponding officer thereof. As used in Rule 8, the word “corporate” name shall include the name of a corporation, partnership, limited liability company, trust, and any other recognized legal entity.

RULE 9.—ELECTRONIC ELIGIBILITY.

Section

9.01 Electronic Eligibility

9.02 Issuance of Electronic Eligibility

(a) Individual Membership Requirements

(b) Owners to be Listed on Application

(c) Owner Names On Electronic Eligibility

9.03 Leased Horses

9.04 Corrections on Electronic Eligibility

9.05 Reporting of Change in Ownership During Current Year

9.06 Information Required On Horses That Have Raced in a Country Other than Canada

9.07 Horses 15 Years of Age or Older

9.08 Prohibitions

§ 9.01 Electronic Eligibility.—No horse shall be permitted to start in any race at a track member unless a USTA or current Standardbred Canada electronic eligibility at the proper gait is obtained.

§ 9.02 Issuance of Electronic Eligibility.—Electronic eligibility shall be issued for the life of the horse.

(a) Individual Membership Requirements.—Each registered owner of a horse except as otherwise provided in the USTA Bylaws and the Rules, must be a USTA member in good standing prior to the issuance of an electronic eligibility. If the horse is registered in the ownership of a registered racing, farm, corporation, or stable, all “beneficial owner” as defined in Rule 4.10 must be USTA members in good standing prior to the issuance of an electronic eligibility.

(b) Owners to be Listed on Application.—Each application for the issuance of electronic eligibility shall list the names of all owners including beneficial owners, as defined in Rule 4.10, of the horse.

(c) Owner Names on Electronic Eligibility.—The names of all owners including beneficial owners shall be listed on the electronic eligibility. The electronic eligibility shall not be issued in the names of more than four persons. In the event five or more names are reported to the USTA, the electronic eligibility shall be issued only in four or fewer including racing, farm, corporate or stable names, which names must be registered in accordance with Rule 8.01.

§ 9.03 Leased Horses.—Any horse on a racing lease must race in the name of the lessee. No electronic eligibility will be issued to a horse under lease unless a copy of the lease is filed with the USTA. For purposes of issuance of electronic eligibility and/or transfer of ownership, a lease shall be terminated at the end of the term or by signature of all parties. No new racing lease shall be recorded with a termination date of more than two years.

§ 9.04 Corrections on Electronic Eligibility.—Corrections on an electronic eligibility may be made only by a USTA representative or a licensed official.

§ 9.05 Reporting of Change in Ownership During Current Year.—At extended pari-mutuel meetings, in the event there is a change in ownership after an electronic eligibility has been issued, the current registration certificates of the horse shall be immediately delivered to any licensed official of the USTA. If the horse is to be leased, an original executed copy of said lease shall be delivered therewith. Said official shall examine such registration certificate to verify that it is in proper order and that the current registered owner is the same as the current holder of the eligibility certificate and that all new owners/beneficial owners are members of the USTA in good standing. If the endorsements are satisfactory said official shall forward the registration certificate or the lease to the Registrar for proper transfer or recording of lease as the case may be.

Failure to forward the registration certificate or an executed copy of the lease within twenty days after a change of ownership of a horse that is racing will subject each new owner/beneficial owner to a fine.

§ 9.06 Information Required on Horses That Have Raced in a Country Other than Canada.—No electronic eligibility will be issued on a horse coming from a country other than Canada unless the following information, certified by the trotting association or governing body of that country from which the horse comes, is furnished:

(a) The number of starts during the preceding year, together with the number of firsts, seconds and thirds for each horse and the total amount of money won during this period.

(b) The number of races in which the horse has started during the current year, together with number of firsts, seconds and thirds for each horse and the money won during this period.

(c) A detailed list of the last six starts giving the date, place, racetrack condition, post position or handicap, if it was a handicap race, distance of the race, his position at the finish, the time of the race, the driver's name and the first three horses in the race.

§ 9.07 Horses 15 Years of Age or Older.—No horse that is 15 years of age or older is eligible to perform in any race except matinees, county fair races, races exclusively for amateur or club drivers as sanctioned by USTA, or non-betting racing under saddle events and no electronic eligibility shall be issued for such a horse except for a performance in such races. (*Effective 05/01/2019*)

§ 9.08 Prohibitions.—

(a) No electronic eligibility will be issued on any horse under 2 years of age.

(b) No electronic eligibility shall be issued for a horse from which a positive “Coggins Test” has been reported.

(c) No electronic eligibility will be issued on any horse not registered with the USTA.

RULE 10.—CLASSIFICATION OF HORSES.

Section

10.01 Standards for Overnight Events

10.02 Types of Races to be Offered

10.03 When Eligibility is Determined

10.04 Racing Season/Racing Year Defined

10.05 Selection for Drawing of Horses

10.06 Splitting of Condition Races

10.07 Substitute and Divided Races

10.08 Heats (Separate Race)

10.09 Prohibitions

10.10 Bonus Earnings

10.11 Supplemental Purse Payments

10.12 Classified Races

10.13 Exhibition Races

§ 10.01 Standards for Overnight Events.—The Race Secretary should prescribe standards to determine whether a horse is qualified to race in overnight events at a meeting. Where time standards are established at a meeting for both trotters and pacers, trotters shall be given a minimum of 2 seconds allowance in relation to pacers.

§ 10.02 Types of Races to be Offered.—The racing secretary shall use exclusively the following types of races:

- (a) Stakes and futurities.
- (b) Early closing and late closing events.
- (c) Conditioned races. Such qualifications may be based upon, among other things:
 - 1) **Horse's money winnings in a specified number of previous races or during a specified previous time.**
 - 2) **A horse's finishing position in a specified number of previous races or during a specified period of time.**
 - 3) Age.
 - 4) Sex.
 - 5) Number of starts during a specified period of time.
 - 6) Special qualifications for foreign horses that do not have a representative number of starts in the United States or Canada.
 - 7) Or any one or more combinations of the qualifications herein listed.
- d) Claiming races.
- e) Preferred races limited to the fastest horses at the meeting.
 - 1) These may be free-for-all races, JFA, or invitational. Horses to be used in such races shall be posted in the race secretary's office and listed with the presiding judge. Horses so listed shall not be eligible for conditioned overnight races unless the conditions specifically include horses on the preferred list. Twelve such races may be conducted during a 6 day period of racing at tracks distributing more than \$100,000.00 in overnight purses during such period and not more than ten such races shall be conducted at other tracks during a 6 day period of racing, provided that at least two of these races are for three-year-olds, four-year-olds, or combined three and four-year-olds.
 - 2) At tracks which race less than 5 days per week, not more than ten such races may be conducted during a 6 day period. Purses offered for such races shall be at least 15% higher than the highest purse offered for a conditioned race programmed the same racing week.
 - 3) No two-year-old or three-year-old will be eligible to be placed on the preferred or invitational list to race against older horses until it has won seven races unless requested by the owner or authorized agent. The owner or authorized agent may withdraw such request at his discretion.
 - 4) Where a meeting is in progress in December and continues in January of the subsequent year, races and earnings won at that meeting may be

computed in determining whether a horse may be placed on the preferred list.

§ 10.03 When Eligibility is Determined.—Horses must be eligible to the event when entries close. Winnings earned on the closing date of eligibility shall not be considered.

§ 10.04 Racing Season/Racing Year Defined.—For purposes of eligibility, a racing season or a racing year shall be the calendar year. In recording winnings, gross winnings will be used and odd cents will be dropped and disregarded.

§ 10.05 Selection for Drawing of Horses.—For all overnight events, starters and also eligibles shall be drawn by lot from those properly entered, except that a race secretary must establish a preference system for races as provided for in Rule 14.10.

§ 10.06 Splitting of Condition Races.—When it is necessary to fill a card, not more than one conditioned race per day may be divided into not more than two divisions after preference has been applied and the divisions may be selected by the racing secretary. For all other overnight races that are divided the division must be by lot unless the conditions provide for a division based on performance, earnings or sex.

§ 10.07 Substitute and Divided Races.—Substitute races may be provided for each day's program and shall be so designated. Entries in races not filling shall be posted. A substitute race or an event divided into two races shall be used only if regularly scheduled races fail to fill. If a regular race fills it shall be raced on the day it was offered. Overnight events and substitutes shall not be carried to the next racing day.

§ 10.08 Heats.—Any heat shall be considered as a separate race for the purposes of conditioned racing.

§ 10.09 Prohibitions.—

(a) Qualifying Races.—A horse qualifying in a qualifying race for which no purse is offered shall not be deprived by reason of such performance of his right to start in any conditioned race.

(b) Time Bars Prohibited.—No time records or bars shall be used as an element of a horse's eligibility for any event.

(c) Rejection of Declaration.—The racing secretary may reject the declaration on any horse whose past performance indicates that he would be below the competitive level of other horses declared, provided the rejection does not result in a race being cancelled.

(d) **Failure to Furnish Negative "Coggins Test."**—Declarations shall not be accepted for any horse to any race unless the declarer has furnished the race secretary with a negative "Coggins Test" written certificate for that horse, as required by subsection (a) above.

(e) Matinee Races.—Performance in a matinee race shall not be considered an official start.

§ 10.10 Bonus Earnings.—In the case of a bonus, the present value of the bonus shall be credited to the horse as earnings for the race or series of races for which it received the bonus. It shall be the responsibility of the organization offering the bonus to report the present value of the bonus to USTA in a timely manner.

§ 10.11 Supplemental Purse Payments.—Supplemental purse payments made by a track member after the termination of a meeting will be charged and credited to the winnings of any horse at the end of the racing year in which they are distributed. Such distribution shall not affect the current eligibility until officially credited to the horse.

§ 10.12 Classified Races.—Classified races are permitted when authorized by the state racing authority.

§ 10.13 Exhibition Races.—When non-betting promotional races are conducted by member tracks, such races shall be regarded as exhibitions and performances therein shall not be noted on electronic eligibility or otherwise officially credited to either horses or drivers. Any money awarded or paid on such races shall not be credited to the horses or drivers as official earnings and shall not affect the eligibility of participating horses to any subsequent event.

RULE 11.—CLAIMING RACES.

Section

11.01 Persons Eligible to Claim

11.02 Prohibitions

11.03 Claiming Procedures

(a) Claimant's Credit

(b) Claiming Procedure and Determination of Claiming Price

(c) Claiming Price on Program

(d) Execution of Claim

1. Claim Box

2. Opening of Claim Box

3. Multiple Claims on Same Horses

4. Delivery of Claimed Horse

5. Refusal to Deliver Claimed Horse

6. Vesting of Title to Claimed Horse

7. Affidavit by Claimant

8. Penalty for Thirty Days

9. Return of Claimed Horse to Previous Owner or Stable

10. Scratched Horse

11. Blood Sample Procedure if Horse is Claimed

11.04 Payment of Claiming Money

11.05 Claiming Conditions

11.06 Minimum Price

11.07 Determination of Claiming Price

11.08 Fraudulent Entry into Claiming Race

11.09 Fraudulent Claim

11.10 Post Race Urinalysis Test

§ 11.01 Persons Eligible to Claim.—Any current active member of the USTA who is properly licensed to claim by the racing authority having primary jurisdiction over the race meeting, may make a claim for any horse subject to claim at a licensed race meeting. Any current active member of the USTA may make a claim for any horse subject to claim at a race meeting under the jurisdiction of the USTA. An authorized agent may claim for a person qualified to claim in his or her own right, but only for the account of that person for whom he or she is agent. (*Effective 05/01/2019*)

§ 11.02 Prohibitions.—

(a) No person shall claim his own horse, nor shall he claim a horse trained or driven by him.

(b) No person shall claim more than one horse in a race.

(c) No qualified owner or his authorized agent shall claim a horse for another person.

(d) No owner shall cause his or her horse to be claimed directly or indirectly for his or her own account.

(e) No person shall offer, or enter into an agreement, to claim or not to claim, or attempt to prevent another person from claiming any horse in a claiming race.

(f) No person shall enter a horse against which there is a mortgage, bill of sale, or lien of any kind, unless the written consent of the holder thereof shall be filed with the track member conducting such claiming race.

(g) Where a horse drawn to start in a claiming race has been declared to start in a subsequent claiming race, a successful claimant, if any, of the horse in the first race shall have the option of scratching the horse from the subsequent race.

(h) Any mare which has been bred shall not be declared into a claiming race for at least 30 days following the last breeding of the mare, and thereafter such a mare may only be declared into a claiming race after a veterinarian has pronounced the mare not to be in foal. Any mare pronounced in foal shall not be declared into a claiming race. Where a mare is claimed out of a claiming race and subsequently proves to be in foal from a breeding which occurred prior to the race from which she was claimed, the claim may be voided by the judges at the option of the claimant provided the mare is subjected to a pregnancy examination within 18 days of the date of the claim, and is found to be pregnant as a result of that pregnancy examination. A claimant seeking to void the claim must file a petition to void said claim with the judges within 10 days after this pregnancy examination and shall thereafter be heard by the judges after due notice of the hearing to the parties concerned.

(i) No donor mare may be entered into a claiming race between the date of an embryo/ovum transplant and the date of the resulting foal's birth.

§ 11.03 Claiming Procedure.—

(a) **Claimant's Credit.**—The claimant must have to his credit with the track member giving the race an amount equivalent to the specified claiming price plus the requisite fees for the transfer of ownership.

(b) **Claiming Procedure and Determination of Claiming Price.**—The trainer or

authorized agent entering a horse in a claiming race warrants that he/she has authorization from the registered owner(s) to enter said horse in a claiming race for the designated amount. In the event of a claim the owner(s) or authorized agent shall submit a signed registration certificate or in the case of a paperless certificate the signed application for transfer form to the judges prior to receiving proceeds from the claim. The presiding judge shall immediately forward to the USTA the signed registration certificate or application for transfer form to the Registrar for transfer.

(c) **Claiming Price On Program.**—The claiming price including all allowances for sex and/or age for which each horse is entered shall be printed on the program.

(d) **Execution of Claim.**—

1. **Claim Box.**—All claims shall be in writing, sealed and deposited at least 15 minutes before the time originally scheduled for the race to begin, in a locked box provided for this purpose by the track member.
2. **Opening of Claim Box.**—The claim box shall be opened and the claim, if any, examined by the judges.
3. **Multiple Claims on Same Horses.**—Should more than one claim be filed for the same horse, the owner shall be determined by lot by the judges.
4. **Delivery of Claimed Horse.**—A horse claimed shall be delivered immediately by the original owner or his trainer to the successful claimant upon authorization of the presiding judge. **The horse's halter must accompany the horse. Altering or removing the horse's shoes will be considered a violation of this rule.**
5. **Refusal to Deliver Claimed Horse.**—Any person who refuses to deliver a horse legally claimed out of a claiming race shall be suspended together with the horse until delivery is made.
6. **Vesting of Title to Claimed Horse.**—Every horse claimed shall race in all heats of the event in the interest and for the account of the owner who declared it in the event, but title to the claimed horse shall be vested in the **successful claimant from the time the word "go" is given in the first heat**, and said successful claimant shall become the owner of the horse, whether it be alive or dead or sound or unsound, or injured during the race or after it, provided however that the final vesting of title to a claimed horse is subject to the conditions and provisions of Rule 11.03(d)(11).
7. **Affidavit by Claimant.**—The judges shall require any person making a claim for a horse to make affidavit that he is claiming said horse for his own account or as authorized agent and not for any other person. Any person making such affidavit willfully and falsely shall be subject to punishment as hereinafter provided.
8. **Penalty for Thirty Days.**—If a horse is claimed no right, title or interest therein shall be sold or transferred except in a claiming race for a period of 30 days following the date of claiming.
9. **Return of Claimed Horse to Previous Owner or Stable.**—No horse claimed out of a claiming race shall be eligible to start in any race in the name or interest of the prior owner for 30 days nor shall such horse remain in the same stable or under the care or management of the prior owner or trainer,

or anyone connected therewith unless reclaimed out of another claiming race.

10. **Scratched Horse.**—The successful claimant of a horse programmed to start may, at his 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 his option by 9:00 a.m. of the day following the claiming race to which the horse was programmed and scratched. Programmed to start shall be defined as appearing in the printed official racing program. No horse may be claimed from a claiming race unless the race is contested.
11. **Blood Sample Procedure if Horse is Claimed.**—In the event a horse is claimed a blood sample shall be taken by a licensed veterinarian and the sample identified as being from a claimed horse shall be forwarded within 24 hours to an approved laboratory to be tested for equine infectious anemia. Pending the receipt of a negative test for equine infectious anemia the monies paid for the claimed horse shall be held by the track member. In the event of a positive test for equine infectious anemia the ownership of the claimed horse shall revert to the owner from whom the horse was claimed and the claiming monies shall be returned to the person or persons who claimed the horse. The cost of the test is to be borne by the claimant and the test may be waived by the claimant at his discretion by so indicating on the claiming slip.

§ 11.04 **Payment of Claiming Money.**—Subject to the conditions of Rule 11.03(d)(11) the track member shall pay the claiming price to the owner at the time the registration certificate or application of transfer is delivered for presentation to the successful claimant.

§ 11.05 **Claiming Conditions.**—Except for the lowest claiming price offered at each meeting, conditions and allowances in claiming races may be based only on age and sex, lifetime earnings, and number of races won lifetime. Said races may be restricted to specific breeding, foaling locale and/or residency of ownership. Whenever possible claiming races shall be written to separate horses five-years-old and up from younger horses and to separate males from females. If sexes are mixed, mares shall be given a price allowance provided however that there shall be no price allowance given to a spayed mare racing in a claiming race.

§ 11.06 **Minimum Price.**—No claiming race shall be offered permitting claims for less than the minimum purse offered at that time during the same racing week.

§ 11.07 **Determination of Claiming Price.**—Except as provided in Rule 10.9(c) no horse owner shall be prohibited from determining the price for which his horse shall be entered.

§ 11.08 **Fraudulent Entry into Claiming Race.**—If the judges determine that the entry of any horse to a claiming race is fraudulent on the part of the declarer they may void the claim and at the option of the claimant order the horse returned to the person declaring it in.

§ 11.09 **Fraudulent Claim.**—If the judges determine that any claim of a horse is fraudulent on the part of the person making the claim they may void the claim and

may at the option of the person declaring it in return the horse to the person declaring it in.

§ 11.10 Post Race Urinalysis Test.—A post race urinalysis test shall be taken from any horse claimed out of a claiming race. The original trainer of the horse shall be responsible for the claimed horse until the post-race urine sample is collected. The successful claimant shall have the right to void the claim should the forensic analysis be positive for any prohibited substance. Where a horse is claimed and within 30 days thereafter it is determined by forensic analysis that the claimed horse had tested positive for a prohibited substance in the race prior to the race from which it was claimed the successful claimant shall also have the right to have the claim voided.

RULE 12.—NOMINATIONS—ADDED MONEY EVENTS—PURSE MONEY DISTRIBUTION.

Section

12.01 Making a Nomination

12.02 Receipt of Nomination and Sustaining Payments for Early Closing Events, Late Closing Events, Stakes, and Futurities

12.03 Postage Meter

12.04 Failure to Make Payment

12.05 Event Sponsor Membership

12.06 Event Sponsor Requirements

12.07 Date of Nomination Closing/Sustaining Payments Due

12.08 Estimated Purse

12.09 Excess Entry Fees

12.10 **Sponsor's Contribution**

12.11 **Nominators' or Breeders' Awards**

12.12 Deductions Prohibited

12.13 Trust Funds

12.14 Deviation from Published Conditions

12.15 Newly Created Stakes and Futurities

12.16 **Sponsor's Contribution by Non-Track Sponsors**

12.17 Events Raced in Divisions

12.18 Events Raced Under the Elimination Plan

12.19 Events Raced Under the Three Heat Plan

12.20 Events Raced Under a Two In Three Plan

§ 12.01 Making a Nomination.—All nominations must:

- (a) Be made in writing.
- (b) Give name and address of the registered owner and lessee.
- (c) Give name, color, sex, sire and dam of horse.

(d) Name the event or events in which the horse is to be nominated.

(e) Futurity Substitution.—In the event that a mare nominated to a futurity fails to have a live foal the nominator may substitute a foal if the conditions so provide.

§ 12.02 Receipt of Nomination and Sustaining Payments for Early Closing Events, Late Closing Events, Stakes and Futurities.—All nomination and sustaining payments not actually received at the hour of closing shall be ineligible except those by letter bearing postmark not later than the following day (omitting Sunday and/or a legal federal holiday) to be actually received at the office of sending at or before the hour of closing, such telegram to state the color, sex, name of horse and the class to be entered, also to give the name and residence of the owner and the party making the nomination or sustaining payment. Whenever a nomination or sustaining payment in a stake, futurity, early closing race or late closing race becomes payable on a Sunday or legal holiday that falls on Saturday, such payment is to be due on the following Monday and if made by mail, the envelope must be post marked on or before the following Tuesday. If a payment falls on a Monday that is a legal holiday, such payment is due on Tuesday, and if made by mail must be post marked on or before the following Wednesday. For purposes of this rule payments made via commercial delivery services shall be treated the same as those made by letters bearing a postmark.

§ 12.03 Postage Meter.—Where a nomination is received by letter bearing the postage meter date without any postmark placed thereon by the post office department, such postage meter date shall be considered to be a postmark for the purposes of this rule if the letter is actually received within seven days following the closing date of the event. Receipt subsequent to this time of a nomination by letter bearing the metered postmark date shall not be a valid nomination or payment to any event. The metered date must conform to the postmark date as set forth above in order to be valid.

§ 12.04 Failure to Make Payment.—Failure to make any payment required by the conditions constitutes an automatic withdrawal from the event.

§ 12.05 Event Sponsor Membership.—All stake, futurity, early closing and late closing event sponsors or presenters must be USTA members.

§ 12.06 Event Sponsor Requirements.—Event sponsors shall:

(a) If possible, advertise the week and place the stake or futurity will be raced before taking nominations. Otherwise announcement of the week and place shall be made as soon as the stake or futurity is sold or awarded. No change in date, program, events or conditions can be made after the nominations have been taken without the consent of the racing authority having jurisdiction over the race. Before taking any sustaining payments during the year the race is to be contested, the date and place of the race shall be stated.

(b) Set the nominating date and the dates for all sustaining payments except the starting fee on the 15th day of the month in accordance with Rule 12.07 below.

(c) Send a complete list of nominations mailed to each nominator or electronically posted within 20 days after the closing date and mailed to the USTA and to each nominator.

(d) Mail or post a list of nominations within 60 days after the date of closing to the USTA.

(e) Notify all nominators and the USTA within 20 days if the stake or futurity does not fill.

(f) Mail or post within 45 days after the closing date a complete list of all horses nominated and shall mail or post within 45 days following all sustaining payment closing dates a complete list of all horses remaining eligible to the USTA. In addition, a list of all eligible horses shall be mailed upon request to all owners or agents of all eligible horses.

§ 12.07 Date of Nomination Closing/Sustaining Payments Due.—

(a) The date for closing of nominations of yearlings to stakes shall be May 15th and the date for closing of the nominations to futurities shall be July 15th. There shall be no payments on yearlings except a nomination payment and such nomination payment shall be due not later than August 15th, except for state bred races for which such payment shall be due not later than October 15th.

(b) No more than one sustaining payment on two-year-olds in stakes and futurities that do not have a two-year-old division will be permitted.

(c) There shall be no conditions that call for payments in stakes or futurities to fall due after August 15th and before February 15th of the following year. No stake or futurity payment on two-year-olds shall become due prior to March 15th and for all other ages not prior to February 15th of any year.

(d) In early closing events no payment on two-year-olds shall become due prior to March 15th excluding fairs and sires stakes.

(e) No more than two sustaining payments on any horse of any age in any calendar year with the exception of the starting fee will be approved.

(f) All nominations and payments other than starting fees in early closing events shall be advertised to fall on the 15th day of the month.

§ 12.08 Estimated Purse.—No estimated purse shall be advertised or published in excess of the actual purse paid or distributed during the previous year unless increased by guaranteed added money. No stake or futurity shall be raced for less than 75% of the estimated purse.

§ 12.09 Excess Entry Fees.—In early closing events, late closing events and overnight events requiring entry fees all monies paid in by the nominators in excess of 85% 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 Rule 12.17(b) shall apply. Where overnight events are split and raced in eliminations rather than divisions all entrance/starting fees payable under the provisions of Rule 14.5 shall be added to the advertised purse.

§ 12.10 **Sponsor's Contribution.**—No stake or futurity shall be approved for extended pari-mutuel meetings if the sponsor's contribution of added money is not at least 30% of the purse and for all other meetings at least 10% of the purse shall be added.

§ 12.11 **Nominators' or Breeders' Awards.**—No sponsor shall pay monetary awards to nominators or breeders out of stake or futurity funds. All of the money contributed in nominating, sustaining and starting payments must be paid to the winner or winners.

§ 12.12 Deductions Prohibited.—No deduction, voluntary or involuntary,

may be made from any purse or stake or futurity except that if the conditions specifically so provide, reasonable deductions may be made for clerical, printing, postage and surety bond expenses specifically related to such purse, stake or futurity.

§ 12.13 Trust Funds.—All fees paid in early closing events shall be segregated and held as trust funds until the event is contested.

§ 12.14 Deviation from Published Conditions.—All nominations and payments not governed by published conditions shall be void and any proposed deviation from such published conditions shall be punished by a fine for each offense, and any nominator who is allowed privileges not in accordance with the published conditions of the race, or which are in conflict with these rules, shall be debarred from winning any portion of the purse, and the said nominator and other persons who allowed such privileges shall be deemed to have been parties to a fraud.

§ 12.15 Newly Created Stakes and Futurities.—No conditions for newly created stakes and futurities shall be written so as:

(a) To permit a horse to race in more than two heats or dashes in a single day.

(b) To provide for a filly division of a race with less added money than the colt division of a race, unless said conditions allow for a filly properly nominated and sustained in the filly division to start in the colt division upon proper declaration and the payment of the starting fee required for the colt division and the difference between any lower nominating and/or sustaining fees for the filly division and the higher nominating and/or sustaining fees for the colt division.

§ 12.16 **Sponsor's Contribution by Non-Track Sponsors.**—

(a) The sum contributed by a non-track sponsor shall be considered forfeit and is to be included in the sum distributed in the event the stake or futurity is not raced, provided, however, that for the provisions of this paragraph the term “sum contributed” shall not include added money to be paid by a track member or other responsible party where the track member or other responsible party is someone other than the stake sponsor. In such a case the stake sponsor shall not be held liable for the payment of the added money.

(b) If an event is not raced due to circumstances beyond the control of a non-track sponsor then such stake sponsor is not required to contribute a sum as added money but need only refund such nominating, sustaining and starting fees as it has collected toward the canceled event.

§ 12.17 Events Raced in Divisions.—

(a) In the event a stake or futurity is split into divisions, the added money for each division shall be at least 20% of all nomination, sustaining and starting fees paid into such stake or futurity, except that in the case of a stake with a value of \$20,000.00 or less, and conducted at a non-extended meeting, such stake may be divided and each division raced for an equal share of the total purse if the advertised conditions so provide.

(b) Where a race other than a stake or futurity is divided, each division must race for at least 75% of the advertised purse. (For splitting of stakes and futurities see Rule 12.19.)

Provided however that at non-extended meetings in the case of other added money early closing events, and early closers and late closers with a value of \$20,000.00 or

less the race may be divided and raced in divisions and each division raced for an equal share of the total purse if the advertised conditions so provide.

§ 12.18 Events Raced Under the Elimination Plan.—Whenever elimination heats are required or specified in the published conditions, such race shall be raced in the following manner unless otherwise stated in the conditions or conducted under another section of this rule.

(a) The field shall be divided by lot and the first division shall race a qualifying dash for 30% of the purse, the second division shall race a qualifying dash for 30% of the purse and the horses so qualified shall race in the main event for 40% of the purse. The winner of the main event shall be the race winner.

(b) In the event there are more horses declared to start than can be accommodated by the two elimination dashes, then there will be added enough elimination dashes to take care of the excess. The percentage of the purse raced for each elimination dash will be determined by dividing the number of elimination dashes into 60%. The main event will race for 40% of the purse.

(c) Unless the conditions provide otherwise, if there are two elimination dashes the first four finishers in each dash qualify for the final and if there are three or more elimination dashes, not more than three horses will qualify for the final from each qualifying dash. In any elimination dash where there are horses unable to finish due to an accident and there are fewer horses finishing than would normally qualify for the final, the additional horses qualifying for the final shall be drawn by lot from among those unoffending horses not finishing.

(d) All elimination dashes and the concluding heats shall be programmed to be raced upon the same day or night unless special provisions for earlier elimination dashes are set forth in the conditions. Where the final event is to be conducted on a day subsequent to the eliminations and a qualifying horse is subsequently disqualified by virtue of a positive test, and that disqualification occurs prior to the printing of the program for the final event, the horse moved into a qualifying position by virtue of the positive test shall become eligible for the final event and added to the race in conformity with the conditions of the race.

§ 12.19 Events Raced Under the Three Heat Plan.—Whenever elimination heats are required or specified in the published conditions of a stake or futurity such race may be raced on the three heat plan irrespective of any provisions in the conditions to the contrary. That is, the field shall be divided by lot and the first division shall race for 30% of the purse, the second division shall race for 30%, and the horses' qualifying in the first and second divisions shall race the third heat for 30% of the purse. If after the third heat, no horse has won two heats, a fourth heat shall be raced by only the heat winners. The race winner shall receive the remaining 10% of the purse. The number of horses qualifying to return after each elimination heat will be the same as set out in Rule 12.18(a).

§ 12.20 Events Raced Under a Two In Three Plan.—In a two in three race a horse must win two Heats to win the race, and there shall be 10% set aside for the race winner. 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 race is unfinished at the end of the third heat, all but the heat winners or horses making a dead heat for first shall be ruled out. The fourth heat, when required, shall be raced for the 10% set aside for the

winner. If there be any third or fourth premiums, etc., for which no horse has maintained a specific place, the premium therefor shall go to the winner of that heat, but the number of premiums distributed need not exceed the number of horses starting in the race. 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 horse standing best in the summary shall be awarded the 10%, but if the two heat winners make a dead heat and Stand the same in the summary, the 10% shall be divided equally between them.

RULE 13.—ENTRIES, STARTERS REQUIRED, PURSE MONEY DISTRIBUTION. Section

13.01 Entries Required for Overnight Events

13.02 Entries Required for Early Closing and Late Closing Events

13.03 Early Closing Events—Fewer Horses Entered than Required

13.04 Number of Starters

13.05 Purse Money Distribution

(a) Purse Placings—Overnight Events

(b) Percentages for Each Placing

(d) Distribution of Money is Fewer than Five Starter in Early Closing, Late Closing or Added Money Events

(e) Distribution of Money is Fewer than Five Starter in Overnight Events

(f) Distribution of Money Due to an Accident

(g) Distribution of Money if not otherwise Covered

§ 13.01 Entries Required for Overnight Events.—A track member must specify how many entries are required for overnight events and after the condition is fulfilled the event must be contested except when declared off as provided in Rule 15.

§ 13.02 Entries Required for Early Closing and Late Closing Events.—In early closing events or late closing events, if five or more horses are entered in to start, the race must be contested, except when declared off as provided in Rule 15. Pari-mutuel meetings may require five separate betting interests to start. Stakes and futurities must be raced if one or more horses are entered to start except when declared off as provided in Rule 15.

§ 13.03 Early Closing Events with Fewer Horses Entered than Required.—In an early closing event, if fewer horses are entered than are required to start, and all entrants are immediately so notified, the horse or horses declared in and ready to race shall be entitled to all the entrance money and any forfeits from each horse named.

§ 13.04 Number of Starters.—

(a) In any race where the number of horses declared in to start exceeds 11 on a half-mile track, 12 on a 5/8-mile track, or 14 on a larger track, unless lesser numbers are specified in the conditions of the race, the race at the option of the track member conducting same stated before positions are drawn may be raced in elimination heats.

(b) In the absence of conditions providing for a lesser number of starters no more

than two tiers of horses, allowing eight feet per horse will be allowed to start in any race and in no event shall there be allowed more than 11 starters on a half-mile racetrack, 12 starters on a 5/8-mile racetrack or 14 starters on a larger racetrack. At a county fair or other non-extended meetings where no pari-mutuel wagering is permitted there shall not be more than 10 starters on a half-mile racetrack.

(c) In overnight events at extended pari-mutuel meetings and other meetings not more than eight horses shall be allowed to start on a half-mile racetrack and not more than ten horses on larger tracks. Trailers are not permitted where the racetrack has room to score all horses abreast allowing eight feet per horse, unless otherwise agreed **upon by the track member and representative horsemen's association.** Presiding judges at county fairs, in their discretion, and prior to the draw, shall have the authority to limit the number of starters in a race to a number less than ten, if in their judgment starting ten horses would be unsafe, taking into account the condition of the racetrack, the width of the racetrack and the class of horses participating.

§ 13.05 Purse Money Distribution.—Unless otherwise provided in the conditions, all purses shall be distributed on the heat basis with the money awarded according to a horse's position in each separate heat of the race.

(a) Purse placing in overnight events shall be limited to five places.

(b) Unless otherwise specified in the conditions, the purse money distribution shall be: 5 or more starters: 50-25-12-8-5%; 4 starters only: 55-25-12-8%; 3 starters only: 60-28-12%; 2 starters only: 65-35%.

(c) In early closing events, late closing events or added money events if there are less than five starters the remaining premium shall go to the race winner unless the conditions call for a different distribution.

(d) In overnight events if there are fewer than five starters the premium for the positions for which there are no starters may be retained by the track.

(e) If there be any premium or premiums for which horses have started but were unable to finish due to an accident, all unoffending horses who did not finish will share equally in such premium or premiums, but where there are fewer unoffending horses failing to finish than there are premiums for which horses have started but have not finished, the number of premiums in excess of the number of unoffending horses not finishing shall go to the winner.

(f) If there be any premium or premiums for which horses have started but were unable to finish and the situation is not covered by the preceding such premium shall be paid to the winner.

RULE 14.—ENTRY, DRAWING OF POST POSITIONS, POST DRAW.

Section

14.01 Agreement to Race Under the Rules

14.02 Horse Starting in More than One Race per Day

14.03 Length of Race and Number of Heats

14.04 Entry Time

14.05 Payment of Entrance/Starting Fee

- 14.06 Entry Box
- 14.07 The Taking of Entries
- 14.08 Search for Entries by Presiding Judge before Opening the Entry Box
- 14.09 Opening of Entry Box and Drawing of Horses
- 14.10 Preference Date
- 14.11 Qualifying Races
- 14.12 Qualifying Race for Added Money Events
- 14.13 Withdrawal of Horse
- 14.14 Notation of Scratched Horse
- 14.15 Coupled Entries
- 14.16 Steward's List
- 14.17 Judge's Approval of Drivers
- 14.18 Transfer of Ineligible Horse
- 14.19 Drawing of Post Positions
- 14.20 Also Eligibles
- 14.21 Horses Omitted Through Error
- 14.22 Procedure in The Event of Absence of Presiding Judge
- 14.23 When Ineligible Horse Races
- 14.24 Effect of Failure to Enter on Time

§ 14.01 Agreement to Race Under the Rules.—Every entry shall constitute an agreement that the person making it, the owner, lessee, manager, agent, nominator, driver, or other person having control of the horse and the horse shall be subject to the rules and regulations of the racing authority having jurisdiction over the race, who shall decide all disputes and questions arising out of such entry. Entries shall not be accepted for any horse to any race unless the declarer has furnished the race secretary with a negative “Coggins Test” written certificate for that horse as required in Rule 20.12.

§ 14.02 Horses Starting in More than One Race per Day.—No horse shall be permitted to start in more than one race on any one racing day except that at county fairs they may enter so that they race no more than two single races in any one racing day. Races decided by more than one heat are considered a single race.

§ 14.03 Length of Race and Number of Heats.—Races or heats shall be given at a stated distance in units not shorter than a sixteenth of a mile.

(a) The length of a race and the number of heats shall be stated in the conditions for the race. If no distance or number of heats are specified all races shall be at a single mile except at county fairs and meetings of a duration of 10 days or less where the race will be conducted in two heats at one mile distance.

(b) Two-Year-Old—No two-year-old shall be permitted to start in a heat or race exceeding one mile in distance and no two-year-old shall be permitted to race in more than two heats or dashes in any single day. Starting any two-year-old in violation of this rule shall subject the track member to a fine and the winnings of such two-year-old shall be declared unlawful.

§ 14.04 Entry Time.—

(a) Unless otherwise specified in the conditions, the entry time shall be 10:00 a.m.

(b) Time Used.—In order to avoid confusion and misunderstanding the time when entries close will be considered to be local time at the track member where the race is being contested.

§ 14.05 Payment of Entrance/Starting Fee.—Entrance/starting fee shall be due at time of declaration and payable not later than 1 hour prior to post time of the race to be contested unless otherwise specified in the conditions for the race. The entrance/starting fee will not be refunded if the horse fails to start unless horse dies between time of declaration to start and start of race. For purposes of clarification entrance/starting fee shall be defined as the payment due with declaration to start

§ 14.06 Entry Box.—The track member shall facilitate a secured process through which entries may be received. The presiding judge shall be responsible for the entry process. *(Effective 05/01/2019)*

§ 14.07 The Taking of Entries.—Entries may be taken by the racing office in person, by telephone, other acceptable means approved by the track member. Evidence of all entries must be deposited in the entry box before the time specified to enter. An entry must state the name of the horse, name of the trainer, and name of the driver, and the event in which the horse is to be entered to race. When requested by the race secretary or speed superintendent, the entry must also state; the date and place of the last start.

§ 14.08 Search for Entries by Presiding Judge Before Opening the Entry Box.—Just prior to opening of the box the presiding judge shall check with the race secretary or speed superintendent to ascertain if any declarations are in the office and not deposited in the entry box and he or she shall see that they are declared and drawn in the proper event.

§ 14.09 Opening of Entry Box and Drawing of Horses.—At all USTA member tracks the entry box shall be opened by the presiding judge at the advertised time and the presiding judge will be responsible to see that at least one horseman or an official representative of the horsemen is present. No owner or agent for a horse with an entry in the 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.

§ 14.10 Preference Date.—Preference dates shall be given to horses in all overnight events at extended pari-mutuel tracks in accordance with the following:

(a) The date of the horse's last previous start in a purse race during the current year is his 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 a successful qualifying attempt shall be considered his 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.

(b) This rule relative to preference is not applicable at any meeting at which an agricultural fair is in progress. All horses granted stalls and eligible must be given an opportunity to compete at these meetings.

(c) Nothing in this rule shall preclude an extended pari-mutuel track member from adopting a racetrack rule limiting an owner or trainer to one starter in any single overnight event.

§ 14.11 Qualifying Races.—At all extended pari-mutuel meetings entries for overnight events shall be governed by the following:

(a) Within 60 days of being entered a horse that has not raced previously at the gait chosen must go a qualifying race under the supervision of a judge holding a **presiding or associate judge's** license for extended pari-mutuel meetings and acquire at least one 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) A horse that does not show a charted line for the previous season or a charted line within its last six starts must go a qualifying race as set forth in (a).

(c) The judges may require any horse that has been on the steward's list to go a qualifying race. If a horse has raced in individual time not meeting the qualifying standards for that class of horse, he may be required to go a qualifying race.

(d) The judges may permit a horse to qualify by means of a timed workout consistent with the time of the races in which he will compete in the event adequate competition is not available for a qualifying race.

(e) To enable a horse to qualify qualifying races should be held at least one (1) full week prior to the opening of any meeting that opens before July 1st of a season and shall be scheduled at least twice a week. Qualifying races shall also be scheduled twice a week during the meeting unless otherwise agreed upon by the track member and **representative horsemen's association**.

(f) Where a race is conducted for the purpose of qualifying drivers and not horses the race need not be charted, timed or recorded. This section is not applicable to races qualifying both drivers and horses.

(g) If a horse takes a win race record in a qualifying race or a matinee race such record must be prefaced **with the letter "Q" wherever it appears, except in a case where** immediately prior to or following the race the horse taking the record has been submitted to an approved urine, or blood test.

§ 14.12 Qualifying Race for Added Money Events.—Where qualifying races are provided in the conditions of an early closing event, stake or futurity such qualifying race must be held not more than five days prior to contesting the main event (excluding Sunday) and omitting the day of the race.

§ 14.13 Withdrawal of Horse.—After an entry to start has been made no horse shall be excused from the race without permission of the judges. A fine or suspension may be imposed for anyone who violates the regulation.

§ 14.14 Notation of Scratched Horse.—Whenever the judges list a horse as

being “scratched” by the judges they shall also list the specific reason for the scratch.

§ 14.15 **Coupled Entries.**—When the starters in a race include two or more horses owned or trained by the same person, or trained in the same stable or by the same management, 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.” Provided however that when a trainer enters two or more horses in a stake, early closing futurity, free-for-all or other special events under bona fide separate ownerships the said horses may with the approval of the racing authority be permitted to race as separate betting entries. The fact that such horses are trained by the same person shall be indicated prominently in the program. If the race is split in two or more divisions horses in an “entry” shall be seeded insofar as possible, first by owners, then by trainers, then by stables but the divisions in which they compete and their post positions shall be drawn by lot. The above provisions shall also apply to elimination heats.

At all meetings 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. Provided further that when a driver participates in a non-pari-mutuel purse race in which he/she has an ownership interest or trainer interest in one or more horses he/she must drive one of the horses in which he/she has an ownership interest or trainer interest.

§ 14.16 **Steward’s List.**—(a) A horse that is unfit to race because he is dangerous, unmanageable, sick, lame, unable to show a performance to qualify for races at the meeting, scratched as a result of a high blood gas test or otherwise unfit to race at the meeting may be placed on a steward’s list by the presiding judge and declaration on said horse shall be refused but the owner or trainer shall be notified in writing of such action and the reason as set forth above shall be clearly stated on the notice. When any horse is placed on the steward’s list it shall be noted on the electronic eligibility of such horse showing the date the horse was put on the steward’s list the reason therefore and the date of removal if the horse has been removed.

(b) No presiding judge or other official at a non-extended meeting shall have the power to remove from the steward’s list and accept as an entry any horse which has been placed on a steward’s list and not subsequently removed therefrom for the reason that he is a dangerous or unmanageable horse. Such meetings may refuse declarations on any horse that has been placed on the steward’s list and has not been removed therefrom.

§ 14.17 **Judges Approval of Drivers.**—No driver may be changed without permission of the judges and for good cause. When an entry starts two or more horses the judges shall approve or disapprove the second and third drivers.

§ 14.18 **Transfer of Ineligible Horse.**—A horse nominated in an event to which it is ineligible may be transferred, with the consent of its owner, to any event to which it is eligible at the same gait.

§ 14.19 **Drawing of Post Positions.**—A separate procedure to determine the post positions of horses in a race shall be conducted for each individual race of a race

card. The results of a draw procedure shall not be applied to more than one race of a race card nor shall such results be applied to another race that is part of another race card.

For races conducted under an elimination plan the judges shall draw the positions in which the horses are to start in the main event by one of the following methods, as prescribed by the sponsor in the conditions for the event:

(a) They shall draw positions to determine which of the two dash winners have the pole, and which the second position; which of the two horses that have been second shall start in third position; and which in fourth, etc., or: They shall have an open draw to determine the positions in which the horses are to start in the main event, that is, all positions shall be drawn by lot from among all horses qualified for the main event.

(b) In the event the sponsor fails to prescribe in the conditions for the event the method to be used for the drawing of post positions the provisions of Rule 14.19(a) above shall apply.

(c) In the event there are three separate heat winners and they alone come back in order to determine the race winner according to the conditions they will take post positions according to the order of their finish in the previous heat.

(d) Drawing of Post Positions for Second Heat in Races of More Than One Heat.—In races of a duration of more than one heat at pari-mutuel meetings, the judges may draw post positions from the stand for succeeding heats.

(e) Post Positions/Heat Racing.—The horse winning a heat shall take the pole (or inside position) at the start of the succeeding heat, unless otherwise specified in the published conditions and all others shall take their positions in the order they were placed the previous heat. When two or more horses shall have made a dead heat, their positions shall be settled by lot.

§ 14.20 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 entries 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. A horse moved into the race from the also eligible list cannot be withdrawn except by permission of the judges but the owner or trainer of such a horse shall be notified that the horse is to race. All horses on the also eligible list and not moved in to race by scratch time shall be released.

§ 14.21 Horses Omitted Through Error.—Such drawings shall be final unless there is conclusive evidence that a horse properly declared was omitted from the race through the error of a track member or its agent or employee in which event the horse shall be added to the race but given the last post position, provided the error is discovered prior to scratch time or the printing of the program whichever is sooner. However in the case of early closing events for more than \$10,000.00 and stake and futurity events the race shall be re-drawn. This shall not apply at extended pari-mutuel

meetings in overnight events.

§ 14.22 Procedure in The Event of Absence of Presiding Judge.—At non-extended meetings in the event of the absence 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.

§ 14.23 When Ineligible Horse Races.—A nominator is required to guarantee the identity and eligibility of his nominations and entries and if given incorrectly he may be fined, suspended or expelled, and any winnings shall be forfeited and redistributed to eligible entries. A person obtaining a purse or money through fraud or error shall surrender or pay the same to the sponsor of the event, failing which the person or persons and the horse or horses shall be suspended until payment is made, whereupon the purse or money shall be awarded to the party justly entitled to it. However where any horse is ineligible as a result of the negligence of the race secretary the track member shall reimburse the owner for the resultant loss of winnings.

§ 14.24 Effect of Failure to Enter on Time.—When a track member requires a horse to be entered at a stated time, failure to declare enter as required shall be considered a withdrawal from the event.

RULE 15.—POSTPONEMENT.

Section

15.01 Selection of Horsemen's Committee

15.02 Questionable Race Track Conditions

15.03 Unpermitted Withdrawals

15.04 Scratching of Horses/Cancellation

15.05 Postponement of Races/Meeting of *More* than 5 Days

15.06 Postponement of Races /Meeting of *Less* than 5 Days

§ 15.01 **Selection of Horsemen's Committee.**—It shall be the duty of the presiding judge to call a meeting of all horsemen at an extended pari-mutuel meeting for the purpose of their electing a committee to represent them on matters relating to the withdrawal of horses due to bad race track, or weather conditions or other matters.

§ 15.02 Questionable Race Track Conditions.—In case of questionable race track conditions due to weather the presiding judge shall call a meeting consisting of an agent of the track member, the duly elected representative of the horsemen and himself.

§ 15.03 Unpermitted Withdrawals.—Upon unanimous decision by this committee of three that racetrack conditions are safe for racing no unpermitted withdrawals may be made.

§ 15.04 Scratching of Horses/Cancellation.—Any decision other than unanimous by this committee will allow any entrant to scratch his horse or horses after posting 10% of the purse to be raced for. In the event sufficient withdrawals are received to cause the field to be less than six then the track member shall have the right of postponement of an early closing event or stake and cancellation of an overnight

event.

§ 15.05 Postponement of Races/Meeting of More than 5 Days.—With the consent of the presiding judge, the track members may postpone races in the following manner.

(a) Early closing events, late closing events, stakes and futurities, and overnight events may be postponed to a definite hour not later than 24 hours beyond the next race day and good track.

(b) Any early closing events, late closing events, stakes and futurities, (except as provided in (d) and (e) below), that cannot be raced during the scheduled meeting shall be declared off and the entrance money and forfeits shall be divided equally among the nominators who have horses declared in and eligible to start.

(c) Any late closing race, early closing race or overnight event that has been started and remains unfinished on the last day of the scheduled meeting shall be declared ended and the full purse divided according to the summary. Any such race that has been started but postponed by rain earlier in the meeting may be declared ended and the full purse divided according to the summary.

(d) Stakes and futurities should be raced where advertised and the meeting may be extended to accomplish this. Any stake or futurity that has been started and remains unfinished on the last day of the scheduled meeting shall be declared ended and the full purse divided according to the summary except where the track member elects to extend the meeting to complete the race. Horses that are scratched after a heat and before a race is declared “finished” do not participate in purse distributions from subsequent heats in the event the race is called off and declared “finished.”

(e) Unless otherwise provided in the conditions in order to transfer stakes and futurities to another meeting unanimous consent must be obtained from the track member and from all those having eligibles in the event. In the event of the impossibility of racing a scheduled stake or futurity because of the unavailability of the scheduled racing premises an alternate site may be selected by the sponsor with the approval of two thirds of the owners of the horses remaining eligible.

§ 15.06 Postponement of Races/Meeting of Less than 5 Days.—At meetings of a duration of 5 days or less:

(a) Races may be cancelled and starting fees returned unless the track member is willing to add the postponed races to the advertised program for subsequent days of the meeting.

(b) At the option of management any postponed races may be contested in single mile dashes. Where races are postponed under this rule management shall have the privilege of selecting the order in which the events will be raced in any combined program.

(c) Where a race is postponed pursuant to any of the foregoing provisions only those horses originally declared in to the postponed event shall be eligible to race. Where a race is postponed and moved to another location horses previously declared may withdraw without penalty.

RULE 16.—STARTING OF HORSES.

Section

- 16.01 Starter's Control
- 16.02 Scoring of Horses/Coming to Starting Gate
- 16.03 Speed of Gate
- 16.04 Charging the Gate
- 16.05 Starting Point
- 16.06 Recall Procedure
- 16.07 Reasons for Recall
- 16.08 No Recall After the Word "Go"
- 16.09 Violations of the Starting Rule
- 16.10 Loudspeaker
- 16.11 Starting Two Tiers of Horses
- 16.12 Horse Out of Position at the Start
- 16.13 Failure to Follow Instructions of the Starter
- 16.14 Horses Deemed to have Started
- 16.15 Starting Gate Shield
- 16.16 Practice of Emergency Procedures
- 16.17 Starting Without Gate
- 16.18 Fair Start Pole

§ 16.01 **Starter's Control.**—The Starter shall have control of the horses from the formation of the parade until he gives the word "go."

§ 16.02 **Scoring of Horses/Coming to Starting Gate.**—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. The horses shall be brought to the starting gate no nearer than one-quarter of a mile before the start as the racetrack will permit. On mile tracks horses will be brought to the starting gate at the head of the stretch. (*Effective 05/01/2019*)

§ 16.03 **Speed of Gate.**— The starter shall cause the gate to move toward the starting point, gradually increasing the speed of the gate to maximum speed. When the speed has been reached in the course of a start, there shall be no decrease except in the case of a recall. (*Effective 05/01/2019*)

§ 16.04 **Charging the Gate.**—Subject to the age, experience and post position of the horse and the condition of the racetrack, during extended pari-mutuel meetings, 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 intentionally 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. (*Effective 05/01/2019*)

§ 16.05 **Starting Point.**—The starting point will be appropriately marked a

distance of not less than two hundred feet from the first turn. The starter shall give the word “go” at the starting point.

§ 16.06 Recall Procedure.—In case of a recall, a light plainly visible to the driver shall be flashed and a recall sounded but the starting gate shall proceed out of the path of the horses. At extended pari-mutuel track members in the case of a recall wherever 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 discretion to close the wings of the gate.

§ 16.07 Reasons For Recall.—The starter may sound a recall only for the following reasons:

- (a) A horse scores ahead of the gate.
- (b) There is interference.
- (c) A horse has broken equipment.
- (d) There is a malfunction of the starting gate.
- (e) A horse falls before the word “go” is given.
- (f) A horse comes to the gait out of position.

§ 16.08 **No Recall After the Word “Go.”**—There shall be no recall after the word “go” has been given and any horse regardless of his position or an accident shall be deemed a starter from the time he entered into the starter’s control unless dismissed by the starter.

(a) Breaking Horse.—The starter shall endeavor to get all horses away in position and on proper gait but no recall shall be had for a breaking horse.

§ 16.09 Violations of the Starting Rule.—A fine or suspension from driving not to exceed 15 days or both may be applied to any driver by the starter and/or judges for:

- (a) Delaying the start.
- (b) Failure to obey the starter’s instruction.
- (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 driver during the start.
- (g) Failure to come up into 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.

A hearing must be granted or waived before any penalty is imposed. A fine or suspension as a result of any of the above may be increased based upon the 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.

(Effective 05/01/2019)

§ 16.10 Loudspeaker.—Use of a mechanical loudspeaker for any purpose other than to give instructions to drivers is prohibited. The volume shall be no higher than necessary to carry the voice of the starter to the drivers.

§ 16.11 Starting Two Tiers of Horses.—At extended pari-mutuel meetings, 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.

Whenever a horse is withdrawn from any tier horses on the outside move in to fill up the vacancy. In a race with a single trailer, the driver may select any position in the second tier. 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. (*Effective 05/01/2019*)

§ 16.12 Horse Out of Position at the Start.—When a horse comes to the gate out of its assigned post position and gains an unfair advantage by moving either to the left or right of its assigned post position before the Starter gives the word “go” said horse may be disqualified and placed by the judges.

§ 16.13 Failure to Follow Instructions of the Starter.—The driver of any horse refusing or failing to follow the instructions of the starter as to the parade or scoring ahead of the pole horse may be fined or suspended by the starter.

§ 16.14 Horses Deemed to have Started.—The horses shall be deemed to have started when the word “go” is given by the starter and all the horses must go the course except in case of an accident, broken equipment or any other reason in which it is the opinion of the judges that it is impossible or unsafe to go the course.

§ 16.15 Starting Gate Shield.—The arms of all starting gates shall be provided with a screen or a shield in front of the position for each horse, and such arms shall be perpendicular to the rail.

§ 16.16 Practice of Emergency Procedures.—Every licensed starter is required to check his starting gate for malfunctions before commencing any meeting, and to practice the procedure to be followed in the event of a malfunction. Both the starter and the driver of the gate must know and practice emergency procedures and the starter is responsible for the training in such procedures of drivers.

§ 16.17 Starting Without Gate.—When horses are started without a gate the starter shall have control of the horses from the formation of the parade until he gives the word “go.” He shall be located at the wire or other point of start of the race at which point as nearly as possible the word “go” shall be given. No driver shall cause unnecessary delay after the horses are called. After two preliminary warming up scores, the starter shall notify the drivers to form in parade.

§ 16.18 Fair Start Pole.—(a) At all extended pari-mutuel tracks the fair start pole shall be erected at a point before the start that is clearly identifiable. The pole shall be distinctive in color in relation to existing pylons and at least two feet above the existing pylons.

(b) 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 request the horse be refunded.

RULE 17.—DRIVERS AND TRAINERS.

Section

17.01 Mandatory Licensing of Drivers

17.02 Mandatory Licensing of Trainers

17.03 Track Committee

17.04 Qualifications and Categories of Driver Licenses

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(b) “Q/F” Qualifying—Fair

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1. Minimum Driving Requirements for Advancement to a Provisional “P” Driver License
2. Consideration of County Fair and Amateur Drives
3. Unsatisfactory Drives
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(d) “A” Full License

- 1-3. Minimum Driving Requirements for Advancement to an Full “A” Driver License
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17.05 Contents of Application for Driver’s License

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17.07 Contents of Application for Trainer’s License

17.08 Driver, Trainer Written Examination Requirements

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17.12 Fine, Suspension, Revocation or Denial of a Driver or Trainer License

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17.15 Mandatory Licensing of Riders

17.16 Contents of Application for Rider’s License.

17.17 Written Examination Requirements

17.18 Practical Examination Requirements

17.19 Approval of Licensing

17.20 Proper Equipment for Rider

§ 17.01 Mandatory Licensing of Drivers.—No person shall drive a horse in

any race on a racetrack of a track member without having first obtained from the USTA an active membership including a driver's license.

§ 17.02 **Mandatory Licensing of Trainers.**—No person shall be programmed as the trainer of a horse in any race of a track member without having first obtained an active membership including a trainer's license. (*Effective 05/01/2019*)

§ 17.03 **Track Committee.**—The presiding judge may appoint a local track committee of at least three full "A" licensed drivers.

§ 17.04 **Qualifications and Categories of Driver Licenses.**—Driver licenses shall be issued in the following categories and qualifications:

(a) **"M" Matinee**—A license valid for matinee races and amateur races subject to the approval of the track member and racing authority having jurisdiction over such races.

(b) **"Q/F" Qualifying Fair**—A license valid for fairs, matinees and qualifying races. It is also valid for non-wagering races only at extended pari-mutuel meetings with the approval of the presiding judge.

(c) **"P" Provisional**—A license valid for fairs, matinees, qualifying races and extended pari-mutuel meetings subject to satisfactory performance.

1. **Minimum Driving Requirements for Advancement to a "P" Provisional Driver License.**—Applicants for a provisional "P" license will only be considered for such a license when they have obtained at least 12 satisfactory qualifying drives within the current previous 12 month period or 15 such drives within the current previous 2 year period and the approval of the presiding judge and the track committee. Amateur races conducted at extended pari-mutuel member tracks may be considered as qualifying races for the purpose of meeting this requirement. Drivers holding a qualifying fair "Q/F" license will not be considered for advancement to a provisional "P" license until he or she has had at least six months driving experience while holding a qualifying fair "Q/F" license, or have at least 3 months driving experience while holding a qualifying fair "Q/F" license and 24 satisfactory qualifying drives and the unanimous written consent of the presiding judge and the members of the local track committee.
2. **Consideration of County Fair and Amateur Drives.**—At the discretion of the USTA and a pari-mutuel presiding judge, a qualifying driver who has had satisfactory drives at fairs or in amateur races conducted at county fairs may be given credit for not more than three-fourths of those drives toward the requisite number of qualifying drives required for advancement to a Provisional license.
3. **Unsatisfactory Drives.**—In determining the applicant's qualifications for a provisional "P" license the presiding judge shall consider each qualifying drive and shall not deem a drive to be unsatisfactory based solely upon the failure of the horse to go in qualifying time.
4. **Other Requirements.**—Other criteria to be considered by the presiding judge and the track committee shall include the applicant's ability to harness and equip a horse properly and to establish his or her proficiency

in handling the animal as determined by the track committee. The applicant must meet the requirements of Rule 17.10 below.

5. **Satisfactory Recommendation for “P” License Required.**—Upon satisfactory recommendations from both the presiding judge and the track committee the applicant shall be granted a provisional “P” license. This license is to be held by the presiding judge until the applicant has completed a probationary term of not more than 15 pari-mutuel starts.

(d) “A” Full license—Valid for all meetings. Drivers holding a provisional “P” license will not be considered for advancement to a full “A” license until he or she has qualified in one of the three following categories:

Minimum Driving Requirements for Advancement to a Full “A” Driver License.—

1. At least one year’s driving experience while holding a Provisional driver’s license plus 25 satisfactory pari-mutuel starts in the 12-month period beginning with the issuance of the provisional “P” license, or
2. Less than 1 year’s driving experience while holding a provisional “P” driver’s license but with at least 50 satisfactory pari-mutuel starts, or
3. Twenty-five satisfactory extended pari-mutuel starts, in the 2-year calendar period preceding the date of application provided he or she has at least 50 satisfactory county fair starts.
4. Requirement for Extended Pari-Mutuel Wins.—Notwithstanding the foregoing the applicant must have at least 10 wins in extended pari-mutuel races or must have at least 5 wins at extended pari-mutuel meetings while holding a provisional “P” license and obtain the unanimous consent of the presiding judge and the members of the local track committee.

(e) (CD) (Conditional) A probationary “CD” license indicating that the driver has been guilty of rule violations.

§ 17.05 **Contents of Application for Driver’s License.**—An applicant for a license as a driver must satisfy the Executive Vice-President that he or she possesses the necessary qualifications, both mental and physical and as prescribed by the Rules and Regulations of the USTA to perform the duties required. Elements to be considered among others shall be character, reputation, temperament, experience, knowledge of the rules of racing and duties of a driver. No application for a driver’s license will be accepted from a person who otherwise does not meet the requisite qualifications for membership.

The Executive Vice-President shall require the applicant to:

- (a) Submit evidence of good moral character.
- (b) Submit written evidence of employment or experience as a groom or other related experience along with the application and resume.
- (c) Be at least 14 years of age for a matinee “M” license.
- (d) Be at least 16 years of age for a qualifying fair “Q/F” license.
- (e) Be at least 18 years of age for a provisional “P” or full “A” license. No applicant who has previously held any type of license shall be subsequently denied a driver’s license solely on the basis of age.
- (f) Furnish completed application form. In the case of renewal applications, said

application may be submitted by telephone or other approved electronic filing.

(g) When requested submit evidence of physical ability and/or to submit to a physical examination.

(h) Submit the names of at least six currently licensed full “A” drivers for reference. When an applicant for a driver’s license resides in a state where there are fewer than 120 days of extended pari-mutuel racing annually the supporting references may come from drivers currently licensed in a qualifying fair “Q/F” license or higher.

(i) Submit satisfactory evidence of a current eye examination prior to the issuance of the initial license indicating a minimum of 20/40 corrected vision in both eyes or if blind in one eye at least 20/30 corrected vision in the other eye according to certification by a licensed optometrist or ophthalmologist. Such examination must be made within 12 months prior to the approval of such application.

(j) Drivers may submit a valid eye examination certificate, current within the past twelve months, with each renewal application. Evidence of each eye examination shall be carried on the individual’s driver’s license.

§ 17.06 Qualifications and Categories of Trainer Licenses.—Trainer licenses shall be issued in the following categories and qualifications.

(a) **“G” General**—A full trainer’s license to enable the holder to train horses and be programmed as trainer at all member tracks of the USTA.

(b) **“L” Limited**—A license restricting the holder to train only horses owned wholly by the holder of such a license and to be programmed as trainer on those horses only, at member tracks of the USTA.

All new applicants for a limited license shall be required to satisfactorily complete both the written and practical examination prior to being issued a license.

(c) **“CD” Conditional**—A probationary license indicating that the trainer has been guilty of rule violations.

§ 17.07 **Contents of Application for Trainer’s License.**—An applicant for a license as a trainer must satisfy the Executive Vice-President that he or she possesses the necessary qualifications, both mental and physical, to perform the duties required. Elements to be considered among others shall be character, reputation, temperament, experience, knowledge of the rules of racing and duties of a trainer in the preparation, training, entering and managing of horses for racing. No application for a trainer’s license will be accepted from a person who otherwise does not meet the requisite qualifications for membership.

The Executive Vice-President shall require the applicant to:

(a) Submit evidence of good moral character.

(b) Be at least 18 years of age.

(c) Furnish complete application form. In the case of renewal applications said application may be submitted by telephone or other approved electronic filing.

(d) Submit evidence of his or her ability to train and manage a racing stable which shall include at least 3 years’ experience working as a groom and/or second trainer.

(e) When requested submit evidence of physical ability and/or submit to a physical examination.

(f) Applicants for a General trainer’s license must submit the names of at least six

currently licensed full “A” drivers and/or currently licensed general “G” trainers. When an applicant for a general “G” trainer’s license resides in a state where there are fewer than 120 days of extended pari-mutuel racing annually, the supporting references may come from active general “G” licensed trainers and/or active licensed drivers in a qualifying fair “Q/F” capacity or higher.

§ 17.08 Driver, Trainer Written Examination Requirements.—Applicants other than for a matinee “M” driver’s license shall submit to a written examination at a designated time and place to determine his or her qualifications to drive or train and his or her knowledge of racing and the rules. In addition any driver or trainer who presently holds a license and wishes to obtain a license in a higher category who has not already done so must satisfactorily complete the requisite written examination before becoming eligible to obtain a license in another category.

§ 17.09 Practical Examination Requirements.—New applicants for either a driver or trainer license are required to submit to a practical examination to demonstrate the ability to harness and equip a horse properly and to establish proficiency in handling the animal. Such practical examination to be administered by a person so designated by the USTA.

§ 17.10 Approval for Licensing.—An applicant for a provisional “P” driver’s license must obtain the approval of a licensed presiding judge and meet the following minimum requirements:

- (a) A personal interview with the presiding judge and the local track committee.
- (b) The presiding judge and the local track committee to observe the individual’s capacity for handling a horse on the track.
- (c) The presiding judge and the local track committee to observe the individual satisfactorily rating a horse during a warm-up or training mile.
- (d) In all cases an individual must demonstrate professional competence at all times.

§ 17.11 Physical Examination.—An applicant for a driver’s license may be required to submit to a physical examination as determined by the USTA.

(a) An applicant for a driver’s license may be required to submit with his or her application for a driver’s license a report of a physical examination on forms supplied by the USTA. If the USTA so desires it may designate and pay the physician to perform such examination.

(b) In the event any person is involved in an incident on or off the track that requires medical attention, the driver must provide medical clearance from a medical professional or an on-track emergency medical technician (EMT) stating that he/she can resume his/her duties.

§ 17.12 Fine, Suspension, Revocation or Denial of a Driver or Trainer License.—The provisions of Rule 17.14 notwithstanding the USTA may take the following action:

(a) Repeated rule violations shall be considered grounds for refusal to grant or grounds for revocation of any driver’s or trainer’s license. A license may be revoked for one or more Rule violations, or other indications of lack of qualifications and the qualifications of a driver or trainer in these categories may be reviewed at any time with written examinations if necessary to determine if a driver or trainer is competent.

Any driver wearing colors who shall appear at a betting window or at a bar or in a restaurant dispensing alcoholic beverages shall be fined.

(b) No driver can without good and sufficient reasons decline to be substituted by the presiding judge. Any driver who refuses to be so substituted may be fined or suspended or both by order of the presiding judge. Whenever a driver is programmed to drive a particular horse in a race and is removed as the driver for that horse at the driver's request said driver shall not be permitted to drive another horse in that same race.

§ 17.13 Driving Colors.—Drivers must wear distinguishing colors and clean white pants and shall not be allowed to start in a race or other public performance unless in the opinion of the presiding judge they are properly dressed.

(a) No person shall drive a horse during the time when colors are required on the racetrack unless wearing a protective helmet of compatible colors with a chin strap in place. Where applicable that helmet shall be as required by the rules or regulations of the appropriate Racing Authority.

(b) Drivers holding a USTA full "A" driver's license, residents of foreign countries who hold an equivalent license with a foreign association and drivers holding a conditional "CD" driver's license who formerly held a full "A" driver's license shall register their driving color design with the USTA.

Any USTA member or any stable, farm, or corporate name registered with the USTA may register driving color designs. No person, registered stable, farm, or corporation may register more than one design and no two designs may be registered the same. All disputes as to the rights to particular designs shall be settled by the USTA.

Driving color designs registered with the USTA may be released for re-registration if the person, registered stable, farm or corporation is inactive for a period of 5 consecutive years. Inactivity shall mean not in membership with the USTA or racing under the provisions of Rule 1.03 of these rules. The registered colors of enshrined members of the Hall of Fame shall not be released except for the use of an immediate family member or other person previously designated in a notarized written statement by the deceased member.

(c) Except where the logo conflicts with a titled sponsored event drivers may display company logos, trademarks or other advertising insignias on their driver colors provided the driver is properly authorized by the entity owning the logo.

(d) All logos and trademarks must be in good taste.

(e) The use of a logo or other advertising insignia by a driver although specifically allowed by these Rules shall nevertheless always be subject to scrutiny and evaluation by the judges of a meeting in determining whether said driver is properly dressed.

§ 17.14 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:

(a) Failure to obey judge's orders that are expressly authorized by USTA Rules.

(b) Failure to drive when programmed unless excused by the judges.

(c) Appearing in the paddock in an unfit condition to drive.

(d) Fighting.

- (e) Assaults.
- (f) Offensive and profane language.
- (g) Smoking on the racetrack in driving colors during actual racing hours.
- (h) Warming up a horse prior to a race without driving colors.
- (i) Disturbing the peace.
- (j) 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.
- (k) Failure to participate in the post parade at the prescribed time unless excused by the judges.

§ 17.15 Mandatory Licensing of Riders.—No person shall ride a horse in any race on a racetrack of a track member, except for exhibition contests conducted by fairs on which no pari-mutuel wagering is conducted, and for which no USTA records are kept, without having first obtained from the USTA an active membership including a rider's license.

§ 17.16 Contents of Application for Rider's License.—An applicant for a license to ride must satisfy the Executive Vice-President that he or she possesses the necessary qualifications, both mental and physical, and as prescribed by the Rules and Regulations of the USTA to perform the duties required. Elements to be considered, among others, shall be character, reputation, temperament, experience, knowledge of the rules of racing and duties of a rider. No applicant for a rider's license will be accepted from a person who otherwise does not meet the requisite qualifications for membership.

The Executive Vice-President shall require the applicant to:

- (a) Submit evidence of good moral character.
- (b) Submit written evidence of employment or experience as a groom or other related experience along with the application.
- (c) Be at least 16 years of age.
- (d) Furnish a completed application form. In the case of renewal applications, said application may be submitted by telephone or other approved electronic filing method.
- (e) When requested, submit evidence of physical ability and/or submit to a physical examination.
- (f) Submit the names of at least two currently licensed riders for references.
- (g) Submit satisfactory evidence of a current eye examination in accordance with § 17.05(i) prior to the issuance of the initial license.

§ 17.17 Written Examination Requirements.—New applicants must submit to a written examination at a designated time and place to determine his or her qualifications to ride and his or her knowledge of racing and the rules.

§ 17.18 Practical Examination Requirements.—New applicants are required to submit to a practical examination to demonstrate their ability to saddle and equip a horse properly and to establish proficiency in handling the animal. Such practical examination to be administered by a person designated by the USTA.

§ 17.19 Approval of Licensing.—An applicant for a rider's license must obtain

the approval of a licensed presiding judge and ride in a minimum of two schooling miles or workout miles using a starting gate in a time of 2:15 or faster.

§ 17.20 Proper Equipment for Rider.—Proper Equipment for Rider shall consist of the following:

(a) Riders must wear distinguishing colors and clean white pants.

(b) Helmet Requirements—Every rider shall wear a protective safety helmet, properly fastened, at all times while on the racetrack that meets the standards and requirements as set forth in the Snell Memorial Foundation or Department of Transportation.

(c) Vest Requirements—All riders shall wear a safety vest at all times while on the racetrack and during a race. The vest shall be in accordance with Association of Racing Commissioners International Model Rules, as defined by the British Equestrian Track Association (BETA).

(d) No person shall ride a horse during the time when colors are required on the racetrack unless wearing a protective vest and a protective helmet of compatible colors with a chin strap in place. Where applicable, that vest and helmet shall be as required by the rules or regulations of the appropriate racing authority.

(e) Riders shall wear riding boots that have a minimum heel of at least ½ inch. Spurs shall be prohibited.

(f) Riders may be required to wear numbered arm bands on each arm above the elbow.

RULE 18.—RACING AND RACETRACK RULES.

Section

18.01 Driving Violations

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18.03 Driving Violations Committed by a Driver of a Coupled Entry

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18.14 Judges Notification of Breaking Horse

- 18.15 Time Between Separate Heats of a Race
- 18.16 **Horse's Exclusive Right of the Track**
- 18.17 Time Between Races Due to an Accident
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- 18.24 Riding Violations
- 18.25 Placing, Disqualification of Horses
- 18.26 Race Weigh-In/Weigh-Out of Rider and Equipment
- 18.27 Other Provisions

§ 18.01 Driving Violations.— At extended pari-mutuel tracks, 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 do any of the following things, any of which shall be considered a violation of driving rules:

(a) Change either to the right or left during any part of the race when another horse is so near him that in altering his position he compels the horse behind him to shorten his stride, or causes the driver of such other horse to pull him out of his stride.

(b) Jostle, strike, 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.

(c) Cross sharply in front of a horse or cross over in front of a field of horses in a reckless manner endangering other drivers.

(d) Swerve in and out or pull up quickly, unless such action is taken for the safety or welfare of the horse or driver.

(e) **Crowd a horse or driver by “putting a wheel under him.”**

(f) Carry a horse out.

(g) Slow down in front of a horse or take up abruptly in front of other horses so as to cause confusion or interference among trailing horses.

(h) Let a horse pass inside needlessly or otherwise help 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.

(i) Commit any act which shall impede the progress of another horse or cause him to break.

(j) 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.

(k) 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 shall not constitute the offense of kicking. The penalty for kicking as defined herein shall not be less than nine days suspension.

(l) Foot Out of Stirrup.— It shall be considered a violation if a driver makes any contact with the horse while both feet are in or out of the stirrups or any foot supports. A driver shall be allowed to remove a foot from the stirrups or any foot supports temporarily for the purpose of pulling earplugs or to adjust equipment.

(m) Cross the inside limits of the course.

(n) Fail to make a reasonable effort to advance when pulling to the outside.

(o) Turn the horse abruptly after the finish line of the race in order to return to the paddock or barn area.

If a violation of Rule 18 occurs during an extended pari-mutuel 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 pari-mutuel meeting is being conducted at that race track.

(Effective 05/01/2019)

§ 18.02 Requirements for Filing an Objection.—All complaints by drivers of any foul driving or other misconduct during the race must be made at the termination of the race unless the driver is prevented from doing so by an accident or injury. Any driver desiring to enter a claim of foul or other complaint of violation of the rules must before dismounting indicate to the judges a desire to enter such claim or complaint and **forthwith upon dismounting shall proceed to the telephone or judges' stand where and when such claim, objection or complaint shall be immediately entered.** The Judges shall not cause the “official” sign to be displayed until such claim, objection or complaint shall have been entered and considered.

§ 18.03 Driving Violation Committed by a Driver of a Coupled Entry.—If any of the above violations are committed by a person driving a horse coupled as an entry in the betting, the judges shall set the offending horse back. The horse coupled in the entry with the offending horse shall also be set back if the judges find that it improved its finishing position as a direct result of the offense committed by the offending horse.

§ 18.04 Placing of Horse by the Judges.—In case of interference, collision or violation of any of the above restrictions, whether occurring before or after the start, the judges may place the offending horse back one or more positions in that heat or race, and in the event such collision or interference prevents any horse from finishing the heat or race, the offending horse may be disqualified from receiving any winnings; and the driver may be fined not to exceed the amount of the purse or stake contended for, or may be suspended or expelled. In the event a horse is set back under the provisions hereof he must be placed behind the horse with which he interfered.

§ 18.05 Inconsistent Performance of Horse and Driver.—

(a) Driving a Horse in an Intentional Inconsistent Manner.—Every heat in a race must be contested by every horse in the race and every horse must be driven to the finish. If the judges believe that a horse is being driven, or was driven, with design to prevent his winning a heat or race which he was evidently able to win or is being raced in an intentional inconsistent manner or with intent to perpetrate or to aid a fraud, they shall consider it a violation and the driver and anyone in concert with him or her shall be fined, suspended or expelled. The judges may substitute a competent and reliable driver at any time. The substituted driver shall be paid at the discretion of the judges and the fee retained from the purse money due the horse if any.

(b) Driving a Horse in an Unsatisfactory Manner.—In the event a drive is unsatisfactory due to lack of effort or carelessness and the Judges believe that there is no fraud, gross carelessness or deliberately inconsistent drive they shall impose a penalty under this sub-section including but not limited to a fine, suspension or revocation.

§ 18.06 Removal or Substitution of a Driver.—If in the opinion of the judges a driver is for any reason unfit or incompetent to drive or refuses to comply with the directions of the judges, or is reckless in his or her conduct and endangers the safety of horses or other drivers in the race, he or she may be removed and another comparable driver substituted at any time after the positions have been assigned in a race, and the offending driver shall be fined, suspended or expelled. The substitute driver shall be properly compensated.

§ 18.07 Horse Fails to Finish a Heat.—If for any cause other than being interfered with or broken equipment, a horse fails to finish after starting in a heat that horse shall be ruled out of subsequent heats of the same race.

§ 18.08 Whip Regulations/Prohibitions.—Drivers will be allowed only black whips not to exceed four (4) feet, plus a snapper not longer than six (6) inches. The following actions shall be considered as excessive or indiscriminate use of the whip (*Effective 05/01/2019*):

(a) All drivers must keep a line in each hand beginning when the horse is behind the starting gate and continuing through the finish of the race.

(b) Whipping shall be restricted to elbow and wrist action only and the whipping arm shall not be raised above the driver's shoulder height.

(c) Drivers shall not move their whipping arm in an exaggerated manner and the lines shall remain reasonably taut during the race.

(d) Driver shall not use the whip below the level of the shaft, forward of the race bike's wheels.

(e) Drivers shall not place the whip between a horse's legs.

(f) Drivers shall not strike another horse or driver with the whip.

(g) Drivers shall not use the handle of the whip on a horse.

(h) Drivers are permitted to use their hand or the whip in a sliding or gliding manner above the level of the shaft.

(i) Drivers shall not use the whip on a tired horse, on a horse that is not visibly responding, or when a horse is not in contention in a race.

(j) Drivers shall not use the whip without giving a horse time to respond to a previous application of the whip.

(k) No leather or unusual materials may be used. The conventional snapper shall not be knotted and tape is only permitted on the handle of the whip. All other modifications of the whip are prohibited.

(l) Excessive, indiscriminate, visibly injurious or abusive use of the whip is prohibited.

§ 18.09 Prohibition of Devices Other Than a Whip.—The use of any goading device, chain or mechanical devices or appliances other than the ordinary whip or crop upon any horse in any race shall constitute a violation of this rule.

§ 18.10 Brutal, Excessive, Indiscriminate Use of Whip.—The brutal use of a whip or crop or excessive or indiscriminate use of the whip or crop shall be considered a violation and shall be punished by a fine and/or suspension.

<u>Extended Pari-Mutuel Meetings</u>			<u>County Fairs</u>	
	Days	Fine	Days	Fine
1st Offense	3	\$1,000.00	7	\$ 200.00
2nd Offense	7	\$2,000.00	15	\$ 500.00
3rd Offense	15	\$3,000.00	30	\$1,000.00
4th Offense	License Revocation		License Revocation	

All tracks conducting an extended pari-mutuel meeting shall publish the rules pertaining to whipping in each day's official racing program.

§ 18.11 Use of Hobbles.—No horse shall wear hobbles in a race unless it starts in the same in the first heat and having so started shall continue to wear them to the finish of the race, and any person found guilty of removing or altering a horse's hobbles during a race or between races for the purpose of fraud shall be suspended or expelled. Other than as aforementioned, the use of hobbles from race to race shall be in the sole discretion of the trainer, and not precipitate qualifying the horse.

§ 18.12 Horse Breaking from Gait.—When a horse breaks from its programmed gait, the driver shall at once, where clearance exists, take such horse to the inside or outside and pull him to its gait.

The following shall be considered violations:

- (a) Failure to properly attempt to pull the horse to its gait.
- (b) Failure to take to the inside or outside where clearance exists.
- (c) Failure to continuously lose ground while offstride.
- (d) Committing an extended break, in which the horse may be placed last.

If there has been no violation of (a), (b), (c), or (d) above, the horse shall not be set back unless a contending horse on its gait is lapped on the hind quarter of the breaking horse at the finish. However, notwithstanding the foregoing, if interference caused by another driver or horse has caused the horse to be on a break at the finish, the judges may, in their discretion, determine not to set the horse back even if a contending horse on its gait is lapped on the hind quarter 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 has been committed and the driver may be subject to a fine or suspension or both. (*Effective 05/1/2019*)

§ 18.13 **Fraudulent Breaking of Horse.**—If, in the opinion of the judges, a driver allows his horse to break for the purpose of fraudulently losing a heat, he shall be liable to the penalties elsewhere provided for fraud and fouls.

§ 18.14 **Judges Notification of Breaking Horse.**—To assist in determining the matters contained in Rules 18.12 and 18.13, it shall be the duty of one of the judges to call out every break made, and note the break and character of it in writing.

§ 18.15 **Time Between Separate Heats of a Race.**—The time between separate heats of a single race shall be no less than 40 minutes. No heat or race shall be contested after sunset where the racetrack is not lighted for night racing.

§ 18.16 **Horse's Exclusive Right of the Track.**—Horses called for a race shall have the exclusive right of the course, and all other horses shall vacate the racetrack at once unless permitted to remain by the judges.

§ 18.17 **Time Between Races Due to an Accident.**—In the case of accidents only so much time shall be allowed as the judges may deem necessary and proper.

§ 18.18 **Driver Mounted in Sulky at Finish.**—A driver must be mounted in his sulky at the finish of the race or the horse must be placed as not finishing.

§ 18.19 **Use of Wheel Discs, Mud Fenders and Mud Aprons.**—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 at extended pari-mutuel tracks. (*Effective 05/1/2019*)

§ 18.20 **Talking on the Track.**—Excessive and/or unnecessary conversation between and among drivers while on the racetrack during the time when colors are required is prohibited. Any violation of this rule may be punished by a fine, suspension or combination thereof.

§ 18.21 **Pylon Violations.**—A horse while on stride, or part of the horse's sulky, that leaves the race course by going inside the pylons which constitutes the inside limits of the course, when not forced to do so as a result of the actions of another driver and/or horse, shall be in violation of this rule. In addition, when an act of interference causes a horse, or part of the horse's sulky, to cross inside the pylons and the horse is placed by the Judges, the offending horse shall be placed behind the horse with which it interfered.

(a) In races conducted at extended pari-mutuel meetings, for purposes of placing the following shall apply:

1. If a horse while on stride, or part of the horse's sulky, goes inside two (2) consecutive pylons, the offending horse shall be placed behind all horses that are lapped on to the offending horse at the wire;
2. If a horse while on stride, or any part of the horse's sulky, goes inside three (3) or more consecutive pylons, the offending horse shall be placed last;
3. If in the opinion of the Judges a horse while on stride, or part of the horse's sulky, goes inside a pylon(s) and that action gave the horse an unfair advantage over other horses in the race or the action helped improve its

position in the race, the horse may be placed at the discretion of the Judges.

(b) In races conducted at extended pari-mutuel meetings, for purposes of penalties the following shall apply; drivers who in the opinion of the judges leave the racing course when not forced to do so as a result of another driver and/or horse may be subject to a monetary penalty or suspended. Penalties for drivers violating this rule are as follows:

1. For the 1st violation, a monetary penalty of \$100 shall be imposed;
2. For the 2nd violation within a year of the 1st violation and within 750 drives of the 1st violation, a monetary penalty of \$300 shall be imposed;
3. For the 3rd violation within a year of the 1st violation and within 750 drives of the 1st violation, a minimum monetary penalty of \$500 plus a suspension for 3 days shall be imposed;
4. For the 4th violation within a year of the 1st violation and within 750 drives of the 1st violation, a minimum monetary penalty of \$1,000 and a suspension for 5 days shall be imposed.

§ 18.22 Provisions for Fine, Suspension of Driver.—Any violation of any sections of Rule 18 above unless otherwise provided may be punished by a fine or suspension, or both, or by expulsion, except that penalties for interference shall be in days suspended.

§ 18.23 Sully Performance Standards/Approval.—

(a) Approval of Racing Sulkies

1. All styles, types and models of racing sulkies must pass all performance and testing standards as established under these guidelines in order to be approved for use in any race. Such testing shall include static load testing, dynamic load testing and track testing.

(b) General Provisions

1. The sully shall not create either by design or manufacture any interference or hazard to any driver or horse in a race.
2. All components of the sully shall be attached to one another in such a way that they remain attached during normal use and testing.
3. No bent shaft style sully shall be approved for use.

(c) Shafts

1. Each sully shall be equipped with two shafts that are attached independent of one another to the horse. Each shaft may have one vertical bend. No vertical bend beyond 12" from the hitching point is permitted.
2. Inside to inside measurement shall be within a range of 42" to 50" at the front of the arch. (Also see—§ 18.23(e)(1))
3. All shafts will be equipped with quick-hitch fixtures or attachable by conventional tie-downs. All quick-hitches shall have safety straps.

(d) Arch

1. The style of arch must be no narrower than 47" or wider than 56" in distance measuring from the inside of each side of the arch at the axle nuts.
2. The front of the arch to the center line of the harness where a horse is

hitched shall be no greater than 76" as measured along the shaft.

3. The distance from the front of the arch to the back of the seat shall be no greater than 19".
4. The distance from the ground to the bottom of the arch shall be between 28" and 35" measured with the wheels attached.
5. The arch shall be parallel to the ground and located a minimum of 1" higher than the tire at all points.

(e) Fork

1. Inside measurement between the inside fork assemblies shall be no less 4" but no more than 8" greater than the inside measurement between the shafts as measured at the front of the arch. (Fork measurements taken from the inside of each side of the arch at the axle nuts).
2. There shall be a fork assembly on both sides of each wheel. (Also See—Subsection (c) 2.)

(f) Stirrups

1. Each sulky shall be equipped with two stirrups or foot supports.
2. Each stirrup or foot support shall not be more than 8" wide.
3. The stirrups or foot supports shall be attached to the inside of each shaft no closer than 30" from stirrup or foot support to stirrup or foot support. (Also See—Subsection (c) 2.)

(g) Seat/Seat Plate

1. The measurement from the ground to the heel of the stirrup or foot support and ground to seat plate shall have a spread of no more than 6" as measured with the bike hitched at 54".
2. The seat plate shall be no lower than 1" below the arch.
3. The seat shall be securely attached to the seat bracket in a fixed position.
4. The back of the seat shall be no higher than 6". No high back seats shall be permitted.
5. All seats shall have adequate padding to provide comfort for the driver.

(h) Wheels/Tires

1. Each sulky shall contain two wheels.
2. The wheels shall be 26" to 28" with tire attached.
3. All wheels shall be covered by wheel disc covers constructed in such a manner so that they are light weight and durable.
4. Wheel discs shall be either solid one-color or colorless.

(i) Mud Fenders

1. Mud fenders shall provide coverage from the top of the fork brace that attaches to the shaft of the sulky to a point 18" beyond the back of the arch as measured along the fender.

The mud fenders shall be easily attached to the sulky in such a manner as to make them totally secure to the sulky.

For sulky models approved on or after January 1, 2007, if the design of the

sulky precludes a customary/universal mud fender from being used it shall be the responsibility of the sulky manufacturer to provide such mud fenders for any or all sulky models produced by the manufacturer.

(j) Attachment to the Horse

1. The sulky must be attached to either side of the horse by an approved method with each shaft hooked separately on each side as described in Section (c) (3).
2. The forward ends of the sulky shaft shall not project beyond the shoulder of the horse.
3. The shafts shall not be higher than the withers of the horse.

(k) Sulky Committee

1. The President shall appoint a sulky committee which shall have the authority to establish guidelines and recommendations for the design, performance and certification of racing sulkies.
2. The sulky committee shall have the authority to authorize variances from these standards and may approve for use any sulky which does not qualify under the above sections if in their opinion the sulky does not pose a safety hazard, does not impair the horse or driver and does not undermine the competitiveness of the horse and/or driver.

§ 18.24 Riding Violations.—A rider who does any of the following things shall be in violation of the riding rules:

- (a) Jostle, strike or interfere with another horse or rider.
- (b) Cross sharply in front of a horse or field of horses or otherwise ride in a reckless manner.
- (c) Swerve in or out or pull up quickly.
- (d) Crowd another horse or rider.
- (e) Cause confusion or interference among trailing horses.
- (f) Carry a horse out.
- (g) Commit any act that shall impede another horse or rider.
- (h) Change course in the stretch so as to interfere with another horse or rider.
- (i) Ride in a careless or reckless manner.

§ 18.25 Placing, Disqualification of Horses.—The offending horse may be disqualified, if in the opinion of the judges, the foul altered the finish of the race, regardless of whether the foul was accidental, willful or the result of careless riding.

§ 18.26 Race Weigh-In/Weigh-Out of Rider and Equipment.—The racetrack shall provide a scale used to weigh-in and weigh-out all riders.

(a) Following the race, all riders must immediately proceed to the scales and dismount. A rider shall be permitted to dismount under the direct supervision of a track official in the winner's circle for the purpose of being interviewed.

(b) The saddle and all other equipment used or worn by the horse, excluding the bridle, shall be weighed immediately following the race along with the rider. Unless otherwise authorized by the judges, no person shall assist in the removal or possession of the saddle and other equipment other than the rider until the weigh-out procedure

is completed.

(c) Any rider and their clothing (including gloves, safety vest, helmet, whip, goggles and saddle with fittings, as well as saddle pad, weighted saddle pad, corrective or sheepskin pad) that weighs in under 140 lbs. or refuses to be weighed will be disqualified from the race.

(d) No race shall be made “official” until all riders have dismounted and weighed-out.

§ 18.27 Other Provisions.—All provisions of Rule 18 shall apply where applicable to Racing Under Saddle races.

RULE 19.—RACING UNDER SADDLE.

Section

19.01 General Provisions

19.02 Definition

19.03 Registration Requirements

19.04 Age and Gait of Horse

19.05 Veterinary Examination

19.06 Identification of Horses

19.07 Horses Properly Equipped

19.08 Qualifying Standards

19.09 Use of Starting Gate

19.10 Whip/Crop Regulations and Prohibitions

19.11 Racing Under Saddle Committee

§ 19.01 General Provisions.—The USTA Rules and Regulations shall govern Racing Under Saddle races with the following exceptions:

(a) All references to the word “Driver” shall be deemed to be “Rider.”

(b) All references to the word “Sulky” shall be deleted.

§ 19.02 Definition.—Racing Under Saddle, also known as Monte racing, shall be deemed as a Standardbred trotting or pacing race where the horse is ridden, not driven. (*Effective 05/01/2019*)

§ 19.03 Registration Requirements.—All horses participating in Racing Under Saddle events shall be registered with the United States Trotting Association or Standardbred Canada in the name of the current registered owner or lessee.

§ 19.04 Age and Gait of Horse.—No horse under the age of three (3) and no older than fourteen (14) years of age shall be eligible to start, except in the case of non-betting events as per Rule 9.07. Racing Under Saddle races may be raced on the trot or pace. (*Effective 05/01/2019*)

§ 19.05 Veterinary Examination.—Horses may be subject to a pre-race physical examination conducted by a designated veterinarian. If, in the opinion of the veterinarian, the horse is unfit, the judges shall exclude the horse from racing.

§ 19.06 Identification of Horses.—All horses shall be identified by a lip-brand tattoo, neck freeze brand or microchip applied by either the United States Trotting Association or Standardbred Canada.

§ 19.07 Horses Properly Equipped.—Horses shall be properly equipped with the following:

- (a) Bridle with bit and overcheck with bit.
- (b) Rubber racing, Ladder reins or Double “French” reins.
- (c) Crupper.
- (d) English, monte, or jockey saddle. Overgirth on saddle with only one billet.
- (e) Breast collar or buxton.
- (f) Appropriate saddle pad.
- (g) Head numbers, head poles, line poles, line burrs and two-ring martingales are prohibited.

(h) Securing the rider to the saddle and/or the legs or feet of the rider in the stirrups, including but not limited to tying the stirrups to the girth, banding the feet in the stirrups is prohibited.

§ 19.08 Qualifying Standards.—Horses used in Racing Under Saddle shall meet the following qualifications:

(a) Show at least one charted line under saddle on a trotting or pacing gait. (*Effective 05/01/2019*)

(b) A horse shall be considered qualified for Racing Under Saddle races if it meets the following standards at the track where the horse is qualifying: 1/2 mile track—2:16; 5/8 mile track—2:14; 7/8 mile or larger track—2:12.

(c) A horse must qualify at least once or go an official workout on the trotting or pacing gait prior to the start of any Racing Under Saddle races, and will not need to re-qualify unless required to do so by the Judges. (*Effective 05/01/2019*)

§ 19.09 Use of Starting Gate.—A mobile starting gate shall be used in all Racing Under Saddle races. No trailers are permitted.

§ 19.10 Whip/Crop Regulations and Prohibitions.—Riders shall be allowed whips or crops not exceeding 30 inches in length. Urging the horse other than in front of the saddle on the shoulder is prohibited. The reins shall be kept in each hand at all times.

§ 19.11 Racing Under Saddle Committee.—Racing Under Saddle shall be conducted in accordance with the procedures adopted by the Racing Under Saddle Committee to be appointed by the President, to the extent that such procedures are not inconsistent with the rules of the United States Trotting Association.

RULE 20.—STANDARDS OF CONDUCT.

Section

20.01 Improper Language by Participants

20.02 Commit Assault or Battery

20.03 Demand for Bonus Money

- 20.04 Betting on a Horse Other than Own
- 20.05 Failure to Report Fraudulent Proposal
- 20.06 Fraudulent Misconduct by Member
- 20.07 Conspiracy to Commit Violation of Rules
- 20.08 Withholding Information in an Investigation
- 20.09 Financial Responsibility
- 20.10 Nerved Horses
- 20.11 Change of Sex Requirement
- 20.12 Coggins Test
- 20.13 Equine Infectious Anemia Positive Horse
- 20.14 Furnish Negative Coggins Test Certificate
- 20.15 Trainer Responsibility for Horse Safely Equipped
- 20.16 Trainer of Horse for Disbarred Person
- 20.17 False Ownership
- 20.18 Standards of Conduct
- 20.19 Violation Action

§ 20.01 Improper Language by Participants.—No owner, trainer, driver, attendant of a horse or any other person shall use improper language to an official, officer of the USTA or an officer of an race track in membership or be guilty of any improper conduct toward such officers or official or persons serving under their orders, such improper language or conduct having reference to the administration of the course or of any race thereon.

§ 20.02 Commit Assault or Battery.—No person at any time or place shall commit an assault or an assault and battery upon another.

§ 20.03 Demand for Bonus Money.—No owner, agent or driver who has entered a horse shall thereafter demand of the member a bonus of money or other special award or consideration as a condition for starting the horse.

§ 20.04 Betting on a Horse Other than Own.—No owner, trainer or driver of a horse shall bet or cause any other person to bet on his behalf on any other horse in any race in which there shall start a horse owned, trained or driven by him or which he in anywise represents or handles or in which he has an interest. However such a person may participate in multiple pool wagering on a race in which his/her horse starts if his/her horse is included in the wager only in the first (winning) position.

§ 20.05 Failure to Report Fraudulent Proposal.—If any person shall be approached with any offer or promise of a bribe or a wager or with a request or suggestion for a bribe or for any improper, corrupt or fraudulent act in relation to racing or that any race shall be conducted otherwise than fairly and honestly it shall be the duty of such person to report the details thereof immediately to the presiding judge.

§ 20.06 Fraudulent Misconduct by Member.—Any misconduct on the part of a member of the USTA fraudulent in its nature although not specified in these rules, is forbidden. Any person or persons who, individually or in concert with one another

shall fraudulently and corruptly by any means affect the outcome of any race or affect a false registration or commit any other act injurious to the sport shall be guilty of a violation.

§ 20.07 Conspiracy to Commit Violation of Rules.—If two or more persons shall combine and confederate together in any manner regardless of where the said persons may be located for the purpose of violating any of the Rules of the USTA and shall commit some act in furtherance of the said purpose and plan it shall constitute a conspiracy and a violation.

§ 20.08 Withholding Information in an Investigation.—In any case where an oath is administered by the judges, the District Board or Officer of the USTA under the Rules or a notary public or any other person legally authorized to administer oaths, if the party knowingly swears falsely or withholds information pertinent to the investigation he or she shall be fined, suspended, or both or expelled.

§ 20.09 Financial Responsibility.—Any participant who shall demonstrate financial irresponsibility by accumulating unpaid obligations, defaulting in obligations, issuing one or more drafts or checks that are dishonored or payment refused, or having one or more civil court judgments outstanding may be denied membership in the USTA or may be suspended on order of the Executive Vice-President.

§ 20.10 Nerved Horses.—All horses that have been nerved shall be so designated on the USTA registration certificate and electronic eligibility and be certified by a practicing veterinarian. It is the responsibility of the owner of the horse at the time the horse is nerved to see that this information is placed on the registration certificate and the electronic eligibility. No trainer or owner will be permitted to enter or start a horse that is high nerved. It shall be the responsibility of the owner and/or trainer of a horse that has been low-nerved to post on the bulletin board in the racing office at each racetrack where the horse competes the fact that the horse has been low-nerved and it is the responsibility of each track member to provide a space in the racing office where the fact of nerving can be posted in accordance with this rule.

Only the palmar (posterior) digital neurectomy (low nerving) by surgical or other physical (example: freezing) or chemical (example: injecting alcohol) means will be permitted in horses to be raced. Only the posterior digital nerve and middle branches to the palmar (posterior) (back) part of the foot may be desensitized. This procedure must be done below the fetlock. The dorsal (anterior) (front) branches must be preserved so the horse has feeling at the coronary band at the front of the foot on both sides of the midline. Lack of feeling at the coronary band on the front of the foot is prima facie evidence that a horse has been nerved in contravention of this rule. Incisions over nerves at or above the fetlock are evidence that the horse has been high nerved, even if partial or complete feeling is present at the front of the coronary band of the foot. No “high nerving” (at or above the fetlock, including volar, palmar or plantar nerves) is permitted by any means: surgical, physical, including but not limited to freezing (cryosurgery) or chemical, including but not limited to injection of alcohol. The use or injection of snake venom as a chemical means of nerving is strictly prohibited.

§ 20.11 Change of Sex Requirement.—The fact that a horse has been gelded or a mare has been spayed must be recorded with the USTA. It shall be the

responsibility of the owner or authorized agent to report within thirty (30) days, the date that the horse has been gelded or the mare has been spayed to the USTA and return its papers for correction.

§ 20.12 Coggins Test.—When it is determined that a horse is infected with and/or is a carrier of equine infectious anemia by means of the “Gel Immuno-Diffusion” method developed by Dr. Leroy Coggins hereinafter known as the “Coggins Test” and conducted by an approved laboratory such horse shall thereafter be prohibited from racing and/or being stabled at a track member.

A negative “Coggins Test Certificate” properly identifying the horse by lip tattoo, freeze brand or microchip number issued by an approved laboratory certifying that within the prior 12 months the horse has been tested negative shall be presented to a track member for any horse before it will be allowed entrance to or remain upon the grounds of a track member conducting meetings.

§ 20.13 Equine Infectious Anemia Positive Horse.—No owner, trainer, driver, attendant or other person representing a horse which has previously tested positive for equine infectious anemia shall knowingly cause said horse to be declared into any race; and no owner, trainer, driver, attendant or other person shall seek to bring about the transfer of such a horse without first notifying the prospective purchaser or transferee of the fact that the horse had previously tested positive for equine infectious anemia.

§ 20.14 Furnish Negative Coggins Test Certificate.—It shall be the responsibility of the trainer of a horse to furnish to the racing office all pertinent information regarding the Coggins Test of the horse so that it may be entered on the electronic eligibility of the horse prior to the horse’s first start in the current year.

§ 20.15 Trainer Responsibility for Horse Safely 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.

§ 20.16 Trainer of Horse for Disbarred Person.—A trainer who trains and races a horse knowing said horse to be owned wholly or in part by a person or persons barred or otherwise disqualified from participating in racing shall be suspended from USTA membership for a minimum of 1 year.

§ 20.17 False Ownership.—Any person who knowingly makes a false representation or knowingly causes a false representation to be made that a horse is not owned wholly or in part by a person or persons barred or otherwise disqualified from participating in racing when, in fact, the horse is so owned, shall be suspended from membership in this Association for a minimum of one year.

§ 20.18 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 services 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 from membership for a minimum of sixty (60) days, with the possible exception that the payee is the spouse; parent; sibling; domestic, contractual, or otherwise legal partner, and a currently licensed trainer who is in good standing with the Association and state racing authority.

An individual shall be considered ineligible because of, but not limited to, denial,

revocation, or suspension of thirty (30) days or more by the Association, or as may be mandated by the state racing authority.

§ 20.19 Violation Action.—Any violation of any of the provisions of this rule shall be punishable by a fine, suspension or both, or by expulsion.

RULE 21.—MEDICATION AND DRUGS.

Section

21.01 Testing of Horses

21.02 Collection of Test Sample/Split Sample

21.03 Report of Positive Test Finding

21.04 Administration of Prohibitive Substance

21.05 **Presumption of Trainer's Responsibility for Control and Custody of Horse**

21.06 Trainer Held Responsible as the Absolute Insurer

21.07 Refusal to Submit Horse for Testing

21.08 Forfeiture of Horse's Winnings/Redistribution of Purse

21.09 Pre-Race Blood Test

21.10 Penalty Provisions

21.11 Veterinarian Practices

21.12 Prohibition Against Tubing or Dosing a Horse

§ 21.01 Testing of Horses.—The testing of horses at pari-mutuel meetings and certain non-pari-mutuel meetings is governed by the rules of the applicable state racing commission or other state regulatory body. Nevertheless the judges at any other meetings may with the approval or authorization of the Executive Vice President order any horse in any heat or race to be subjected to a blood or urine test for the purpose of determining thereby the presence of any drug, stimulant, depressant, sedative or other unapproved medication. The rules of the applicable racing authority or other governmental agency shall govern.

§ 21.02 Collection of Test Sample/Split Sample.—During the taking of the urine or other sample by the veterinarian, the owner, trainer or authorized agent may be present. Samples so taken shall be placed in two containers and shall immediately be sealed and the evidence of such sealing indicated thereon by the signature of the representative of the owner or trainer. One part of the sample is to be placed in a depository under the supervision of the presiding judge and/or any other agency the racing authority may designate to be safeguarded until such time as the report on the chemical analysis of the other portion of the split sample is received.

Should a positive report be received, an owner or trainer shall have the right to have the other portion of the split sample inserted in with a subsequent group being sent for testing or may demand that it be sent to another chemist for analysis, the cost of which will be paid by the party requesting the test.

§ 21.03 Report of Positive Test Finding.—Whenever at a non-pari-mutuel meeting there is a positive test finding any drug, stimulant, depressant, sedative or

other unapproved medication present in the post race test the laboratory shall immediately notify the presiding judge who shall immediately report such findings to the USTA Executive Vice-President.

When such positive report is received by the presiding judge, the persons held responsible shall be notified and a time shall be set by the judges for a hearing to dispose of the matter. The time set for the hearing shall not exceed 4 racing days after the responsible persons were notified. The hearing may be continued if in the opinion of the judge's circumstances justify such action.

Should the chemical analysis of urine or other sample of the post-race test taken from a horse indicate the presence of any drug, stimulant, depressant, sedative or other unapproved medication it shall be considered prima facie evidence that such has been administered to the horse. The horse shall stand suspended for the duration of its **trainer's suspension if any up to a maximum of 30 days.** However, other horses registered under the care of such trainer may with the consent of the judges of the meeting be released to the care of another licensed trainer and may race.

§ 21.04 Administration of Prohibitive Substance.—Any person or persons who shall administer or influence or conspire with any other person or persons to administer to any horse any drug, stimulant, depressant, sedative or other unapproved medication to any horse within forty-eight hours of its race shall be subject to the penalties provided in Rule 21.10. In any state where the racing authority has promulgated permissive medication rules which permit the use of certain drugs and/or medications (e.g. Bute and/or Lasix) at the pari-mutuel meetings within the state those same drugs and/or medications will be permitted for horses racing at county fairs or other non-pari-mutuel meetings within the state provided said drugs or medications are administered in accordance with the requirements of the racing authority rules.

§ 21.05 **Presumption of Trainer's Responsibility for Control and Custody of Horse.**—Whenever the post-race test or tests prescribed in Rule 21.01 hereof disclose the presence in any horse of any drug, stimulant, depressant, sedative or other unapproved medication in any amount whatsoever it shall be presumed that the same was administered by the person or persons having the control and/or care and/or custody of such horse with the intent thereby to affect the speed or condition of such horse and the result of the race in which it participated.

§ 21.06 Trainer Held Responsible as the Absolute Insurer.—A trainer shall be responsible at all times for the condition of all horses trained by him/her. No trainer shall start a horse or permit a horse in his/her custody to be started if he/she knows, or if by the exercise of reasonable care he/she might have known or have cause to believe, that the horse has received any drug, stimulant, depressant, sedative or other unapproved medication that could result in a positive test. Every trainer must guard or cause to be guarded each horse trained by him/her in such manner and for such period of time prior to racing the horse so as to prevent any person not employed by or connected with the owner or trainer from administering any drug, stimulant, sedative, depressant or other unapproved medication that might result in a post-race positive test. Whenever a trainer of a horse names a substitute trainer for program purposes due to his/her inability to be in attendance with the horse on the day of the race or for any other reason both trainers shall be responsible for the condition of the horse should the horse test positive. For the purpose of this section, the trainer of

record (programmed trainer) shall be any individual who receives any compensation for training the horse.

§ 21.07 Refusal to Submit Horse for Testing.—Any owner, trainer, driver or authorized agent of the owner having the care, custody and/or control of any horse who shall refuse to submit such horse to a urine or blood test ordered by the judges shall be guilty of the violation of this rule. Any horse that refuses to submit to a prerace blood test shall be scratched and shall be required to submit to a urine and blood test.

§ 21.08 **Forfeiture of Horse's Winnings/Redistribution of Purse.**—All winnings from a particular race of a horse as to which an offense was detected under any section of this Rule shall be forfeited and redistributed among the remaining horses in the race entitled to same. The judges shall notify the USTA in writing of the redistribution of winnings, giving the following information:

(a) The name and electronic eligibility number of the horse charged with the positive test.

(b) Names of horses and electronic eligibility numbers of all horses affected by the re-distribution of purse.

(c) The amount of money to be added or subtracted from each horse's earnings.

(d) The time of the race shall be corrected to read "time disallowed" unless the actual race time of the horse placed first can be determined by photo finish or electronic timing in which case that time shall be the time of the race.

(e) The actual time of the horse finishing first shall be corrected to read "Time Disallowed" (TDIS).

When the positive test does not affect the winner of the race, the foregoing provisions relative to the disallowance of time shall not apply.

No forfeiture and re-distribution of winnings shall affect distribution of the pari-mutuel pools at member tracks where pari-mutuel wagering is conducted when such distribution of pools is made upon the official placing at the conclusion of the race.

§ 21.09 Pre-Race Blood Test.—Where there is a pre-race blood test which shows that there is an element present in the blood indicative of a drug stimulant, depressant, sedative or any other unapproved medication the horse shall immediately be scratched from the race and an investigation conducted by the officials to determine if there was a violation of Rule 21.04.

§ 21.10 Penalty Provisions.—The penalty for violation of any sections of this rule shall be a fine or suspension for a fixed or indeterminate time, or both, or expulsion. In addition, if a horse tests positive for any non-FDA equine approved drug, the horse will also be suspended from racing for 30 days. This suspension shall start upon confirmation of test results.

§ 21.11 Veterinarian Practices.—Any veterinarian practicing veterinary medicine on a racetrack where a race meeting is in progress or any other person using a needle or syringe shall use only one-time disposable type needles or syringe and a disposable needle shall not be re-used.

§ 21.12 Prohibition Against Tubing or Dosing a Horse.—The tubing or dosing of any horse for any reason within 24 hours prior to its scheduled race is prohibited unless administered for medical emergency purposes by a licensed veterinarian in which case the horse shall be scratched. The practice of administration of any

substance via a tube or dose syringe into a horse's stomach within 24 hours prior to its scheduled race is considered a violation.

RULE 22.—FINES, SUSPENSIONS, AND EXPULSION.

Section

22.01 Fines, Suspension Until Paid

22.02 Recording and Posting Penalties

22.03 Effect of Minor Suspension on Future Engagements

22.04 Effect of Suspension Penalty

22.05 Effect of Penalty on Horse

22.06 Participation by a Suspended, Disqualified, Excluded or Expelled Person or Horse

22.07 Penalty of Other Racing Authorities

22.08 Reciprocity of Penalties

§ 22.01 Fines, Suspension Until Paid.—All persons who shall have been fined under these Rules shall be suspended until said fine shall have been paid in full.

§ 22.02 Recording and Posting Penalties.—Notice of ruling thereof shall be delivered to the person penalized and be posted immediately at the office of the track member and forwarded to the USTA. The USTA shall record the information and make the information available to all members. The offender thus punished shall suffer the same penalty and disqualification with each and every track member.

§ 22.03 Effect of Minor Suspension on Future Engagements.—Where the suspension is for a driving violation and does not exceed in time a period of 5 days, the driver may complete the engagement of all horses programmed to race in before the penalty becomes effective. Such driver may drive in stake, futurity, early closing and feature races, during a suspension of 5 days or less but the suspension will be extended 1 day for each date he drives in such a race.

§ 22.04 Effect of Suspension Penalty.—Whenever the penalty of suspension is prescribed in these rules it shall be construed to mean an unconditional exclusion and disqualification from any participation either directly or indirectly in the privileges and uses of the course and grounds of a track member during the progress of a race meeting, unless otherwise specifically limited when such suspension is imposed, such as a suspension from driving only.

§ 22.05 Effect of Penalty on Horse.—No horse shall have the right to compete while owned or controlled wholly or in part by a suspended, expelled, disqualified or excluded person. An entry made by or for a person or of a horse suspended, expelled or disqualified, shall be held liable for the entrance/starting fee thus contracted without the right to compete unless the penalty is removed. A suspended, disqualified or excluded person who shall drive or a suspended or disqualified horse which shall perform in a race shall be fined for each offense.

§ 22.06 Participation by a Suspended, Disqualified, Excluded or Expelled Person or Horse.—Any member willfully allowing a suspended, disqualified or

excluded person to participate in a race or a suspended or disqualified horse to start in a race shall be subject to a fine or suspension.

§ 22.07 Penalty of Other Racing Authorities.—All penalties imposed by the racing authority of the various states may be recognized and enforced by the USTA.

§ 22.08 Reciprocity of Penalties.—All persons and horses under suspension or expulsion by any racing authority or by a reputable trotting association of a foreign country upon notice from such authority or association to the Executive Vice-President, may be suspended or expelled by the USTA. For good cause shown, the District Board may upon consideration of the record of the proceedings had before such state racing authority or foreign association modify or so mold the penalty imposed to define the applicability thereof beyond the jurisdiction of the state racing authority or foreign association.

RULE 23.—PROTESTS AND APPEALS.

Section

23.01 Protests

23.02 Horse Permitted to Start Under Protest

23.03 Protesting a Horse Falsely

23.04 Appeals

23.05 Distribution of Pari-Mutuel Pools

23.06 Appeal Statement and Bond

23.07 Refusal to Accept Protest or Appeal

23.08 Request for Stay of Penalty

§ 23.01 Protests.—Protests may be made only by an owner, manager, trainer or driver of one of the contending horses at any time before the winnings are paid over, and shall be reduced to writing, and sworn to, and shall contain at least one specific charge which if true would prevent the horse from winning or competing in the race.

§ 23.02 Horse Permitted to Start Under Protest.—Unless the judges find satisfactory evidence to warrant excluding the horse they shall allow him to start. Where no action is taken to sustain the protest within 30 days payment may be made as if such protest had not been filed.

§ 23.03 Protesting a Horse Falsely.—Any person found guilty of protesting a horse falsely and without cause, shall be punished by a fine or by suspension or expulsion.

§ 23.04 Appeals.—All decisions and rulings of the judges of any race, at non pari-mutuel track members may be appealed to the District Board within 10 days after the notice of such decision or ruling. The appeal may be taken upon any question in the conduct of a race, interpretation of the Rules, decisions relative to the outcome of a race, application of penalties or other action affecting owners, drivers or horses but it must be based on a specific charge which if true would warrant modification or reversal of the decision. The District Board may vacate, modify or increase any penalty imposed by the judges and appealed to the District Board.

In multiple heat racing where heats of the same race are raced on the same day or **where there is no opportunity for review of the matter an appeal of the judges' decision** relative to the official placings based upon an alleged violation of Rule 18 or other rule shall not represent a stay of such official placings in order to qualify a horse or driver for any subsequent heat of the race.

§ 23.05 Distribution of Pari-Mutuel Pools.—Nothing herein contained shall affect the distribution of the pari-mutuel pools at tracks where pari-mutuel wagering is conducted when such distribution is made upon the official placing at the conclusion of the heat or race.

§ 23.06 Appeal Statement and Bond.—All appeals shall be in writing and sworn to before a notary public or one of the judges of the meeting. At the time the appeal is filed a deposit of \$100.00 or an agreement to forfeit the sum of \$100.00 in the event the District Board determines the appeal is not justified must accompany the appeal. In the event the District Board feels that the appeal was justified it will refund the money to the appellant. This procedure does not apply to protests.

§ 23.07 Refusal to Accept Protest or Appeal.—The license of any presiding judge may be revoked for refusal to accept a protest or appeal, or for refusing to act as witness for a person seeking to swear to a protest or appeal.

§ 23.08 Request for Stay of Penalty.—In every case where a penalty is imposed and the penalty has been appealed to any appropriate appellate body, the appeal if requested shall stay imposition of the penalty until a hearing has been held and the merits of the appeal ruled upon. The stay will begin when the person appealing files in writing with the notice of appeal a request for a stay with the presiding judge such notice to be filed within 48 hours after the posting of the decision or penalty from which the appeal is taken. Notice shall be sworn to and shall state the grounds of the appeal. Security of \$100.00 or an amount equal to the fine, if greater than \$100.00 shall be posted with the filing of the notice of appeal and the request for stay. Upon final disposition of the appeal the security posted will be first applied to the monetary penalty imposed if any and the balance returned to the person appealing. Failure of the appellant to pursue the appeal shall result in a forfeiture of the security.

RULE 24.—TIME AND RECORDS—RACE WINNERS.

Section

24.01 Timing of Races

24.02 Timing Procedure

24.03 Timing of Lead Horse Only

24.04 Error in Reported Time

24.05 Track Measurement Certificate

24.06 Race Winner

24.07 Time for Dead Heat

24.08 Fraudulent Misrepresentation of Time

24.09 Time Trial Performances

§ 24.01 Timing of Races.—In every race, the time of each heat or race, shall be accurately taken by three 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 posted. Effective January 1, 2016 and thereafter, all times shall be announced and recorded in 100ths of seconds (tabled in 2016). No unofficial timing shall be announced or admitted to the record and when the timers fail to act no time shall be announced or recorded for that heat.

§ 24.02 Timing Procedure.—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.

§ 24.03 Timing of Lead Horse Only.—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.

§ 24.04 Error in Reported Time.—In any case of alleged error in the recording, 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, and then only by order of the District Board, or the Executive Vice-President.

§ 24.05 Track Measurement Certificate.—In order that the performances thereon may be recognized and/or published as official every track member not having done so shall forthwith cause to be filed with the Executive Vice-President the certificate of a duly licensed civil engineer or land surveyor that he or she has measured the said racetrack from wire to wire 3 feet out from the pole or inside hub rail thereof and certifying in linear feet the result of such measurement. Each racetrack shall be measured and recertified in the event of any changes or relocation of the hub rail. The times of horses obtained on tracks which have not been recertified after a request for recertification by the USTA shall not be recognized.

§ 24.06 Race Winner.—A horse shall be deemed the winner of a race as soon as the judges have determined the official placings and the "official" sign has been posted. Pari-mutuel pools shall be distributed according to the official placings. Purse money shall be awarded according to the final official placings, recognizing that the original official placings by the judges may be changed or revised by the judges or the District Board due to an appeal, protest, positive test or other finding.

Races and/or purse money awarded to a horse after the official sign has been posted shall be considered a winning performance. The horse placed first shall no longer be considered a maiden, and the horse placed first by virtue of a disqualification shall acquire a win-race record only if such horses' actual time can be determined by photo finish or electronic timing in accordance with the provisions of Rule 24.03. The horse that finished first and subsequently placed shall revert back to its status as a maiden.

§ 24.07 Time for Dead Heat.—In case of a dead heat for the win, the time shall constitute a record for the horses making the dead heat and all shall be considered winners.

§ 24.08 Fraudulent Misrepresentation of Time.—Any person or track member

who shall be guilty of fraudulent misrepresentation of time or the alteration of the record thereof in any public race may be fined, suspended or expelled, and the time declared not a record.

§ 24.09 Time Trial Performances.—Time trial performances are permitted subject to the following:

(a) A Urine and/or blood tests are required for all horses starting for a time performance. The provisions of Rule 21, with the exception of Rule 21.04 relative to stimulants and drugs shall apply to time trial performances and a violation of any section of that rule shall result in a disallowance of the time trial performance. In addition further penalties may be imposed under the provisions of Rule 21.10.

(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 may be permitted immediately prior to or following a regularly scheduled meeting provided a full complement of licensed officials is in the judges' stand.

(d) Time trial performances are limited for two-year-olds who go to equal or to beat 2:10 and three-year-olds and over who go to equal or beat 2:05.

(e) In any race or performance against time excessive use of the whip shall be considered a violation.

(f) Time trial performance records shall not be included in the performance lines in a race program.

(g) Time trial performances shall be designated by preceding the time with two capital T's.

(h) When a horse performs against time it shall be proper to allow another horse or horses to accompany him in the performance but not to precede or to be harnessed with or in any way attached to him. No horse may be used as a prompter for more than two time trial performances each time he is hitched, and no prompter may be hitched more than three times in a single day with at least 40 minutes between each such use. It shall be the responsibility of the presiding judge to see that prompters are not abused.

(i) A break during a time trial is a losing effort and a losing performance shall not constitute a record.

(j) If there is a failure or malfunction of the electric timing device and it is discovered prior to the completion of the first half-mile of the trial there shall be a recall and it is the responsibility of the tracks sponsoring time performances to provide a signal plainly visible and distinguishable to the driver at or near the quarter and half-mile poles which shall be flashed when a recall is in order.

RULE 25.—INTERNATIONAL REGISTRATION.

Section

25.01 Issuance of Export Certificate

25.02 Giving False Information to Obtain Export Certificate

25.03 Conversion of Foreign Earnings/Record

25.04 Export Certificate Required

25.05 Imported Horses

§ 25.01 Issuance of Export Certificate.—The export certificate shall be issued and signed by the Registrar of the USTA and the corporate seal affixed thereto. No such certificate will be issued for the export of any horse under expulsion or for any horse currently under suspension by the USTA.

No export certificate will be granted to any horse that is not lip tattooed, freeze branded, microchipped, or otherwise permanently identified and parentage verified as authorized by the USTA.

In the case of the export of mares which have been bred, a properly executed mating certificate shall be furnished in addition to the aforementioned requirements.

§ 25.02 Giving False Information to Obtain Export Certificate.—Any party or parties giving false information to procure an export certificate shall be deemed guilty of fraud and upon conviction thereof shall be fined or expelled and the horse in question may be expelled.

§ 25.03 Conversion of Foreign Earnings/Record.—For horses bred in North America and subsequently exported, foreign earnings shall be converted to U.S. dollars and credited to the horse on USTA records. A winning performance at a mile (1609 meters) or greater distance, expressed at a mile rate, shall receive recognition as the **horse's record**. The USTA will accept these foreign earnings and winning records from Australia, New Zealand, and Union of European Trotting Member countries, with such earnings and winning records being preceded by a symbol designating them as foreign.

§ 25.04 Export Certificate Required.—If any horse registered with the USTA is exported from the United States or Canada to any other country without making application for an export certificate, then the said horse will be stricken from the records of the USTA.

§ 25.05 Imported Horses.—Horses imported into the United States from countries other than Canada, Australia, New Zealand, Norway, Sweden, Finland and France may be registered with the USTA as Non-Standardbred, provided the following requirements are complied with by the person or persons seeking such registration.

(a) Horse must be registered in the country of birth and certificate of such registration must accompany application.

(b) Complete history of breeding including sire, and first, second and third dams and chain of ownership must accompany application if not fully set forth on registration of origin.

(c) Clearance or export certificate from country of origin including markings, positive identification of horse and veterinarian certificate must accompany application.

(d) If horse is leased a valid executed lease signed by all parties must accompany application. If lease is signed by agents written authorization from their principals must be submitted.

(e) Person or persons seeking such registration must be USTA members.

(f) A standard USTA application for registration must be filed, signed by the person to whose ownership the horse was cleared from the foreign registry and the requisite fee paid.

RULE 26.—REGISTRATION OF HORSES.

Section

- 26.01 Membership Requirements to Register Horse
- 26.02 Standardbred
- 26.03 Non-Standardbred
- 26.04 Mating Certificates
- 26.05 Artificial Insemination
- 26.06 Breeding Requirements
- 26.07 Names
- 26.08 Registration of Horses from Standardbred Canada
- 26.09 Photograph Requirements
- 26.10 Notice of Sale
- 26.11 Skipping Transfers
- 26.12 Fraudulent Transfer
- 26.13 Penalty for Executing False Application for Registration or Transfer
- 26.14 Careless Reporting of Markings
- 26.15 Cancellation of Incorrect Registrations
- 26.16 Failure to Submit Information
- 26.17 Death of Registered Horse
- 26.18 Withholding Registration
- 26.19 Report on Unregisterable Foal
- 26.20 Twins Born
- 26.21 Parentage Verification Test
- 26.22 Identification of Mare for Breeding
- 26.23 Embryo Transfer
- 26.24 Parentage Verification
- 26.25 Parentage Verification Prior to Registration
- 26.26 Reciprocal Registration with Standardbred Canada
- 26.27 Freeze Branding at the Time of DNA Genotyping
- 26.28 **Prohibition Against “Cloning”**
- 26.29 Prohibition Against Sperm Sorting
- 26.30 **Registrar’s Signature**
- 26.31 Breeder of Record

§ 26.01 Membership Requirements to Register Horse.—In order to register a horse the owner thereof must be a USTA member. In the case of a registered farm or stable owned by a limited partnership the requirement with respect to the registration of horses shall be met if all general partners of such partnership and the corresponding officer of such farm or stable are USTA members. Any person authorized to sign a mating certificate, an application for registration or any of the required breeding or registration reports must be a USTA member. Provided a foal is being put into the registered ownership of the breeder/registered owner of the mare, and the stud fee is paid, the foal may be registered without the owner of the mare's signature. This does not apply where the ownership is changing.

§ 26.02 Standardbred.—Horses may be registered as Standardbred with any of the following qualifications:

(a) The progeny of a registered Standardbred horse and a registered Standardbred mare. Registration papers will not be issued until the foal is permanently identified and confirmation of parentage verification is received from the testing facility approved by this Association.

(b) A stallion sired by a registered Standardbred horse, provided his dam and granddam were sired by registered Standardbred horses and he himself has a Standard record and is the sire of three performers with Standard records from different mares.

(c) A mare whose sire is a registered Standardbred horse and whose dam and granddam were sired by a registered Standardbred horse provided she herself has a Standard record.

(d) A mare sired by a registered Standardbred horse provided she is the dam of two performers with Standard records.

(e) A mare or horse sired by a registered Standardbred horse provided its first, second and third dams are each sired by a registered Standardbred horse.

(f) In order for a foal to be registered the application for registration, the mating certificate and the fee for registration must be submitted to the USTA no later than December 31st of the foaling year. The foal may be registered after the December 31st deadline upon payment of the additional fee for late registration.

(g) Horses registered Standardbred with Standardbred Canada, the New Zealand Trotting Conference, the Australian Stud Book, the Stud Books of Norway, Finland, Sweden, France, Italy, Belgium, Denmark, Holland, Germany and Argentina, or the Stud Books of other selected European countries may be re-registered Standardbred with the USTA provided their records and/or qualifications meet the standards of the USTA and are approved by the President, Executive Vice-President or Registration Committee.

(h) The status of a previously registered Standardbred may be changed to Pleasure Horse upon application by the owner and surrender of the registration certificate to the USTA. Owners can exercise one of two options:

1. Pleasure Registration: Owners prohibit registration of future offspring and terminate any electronic eligibility previously issued.
2. Pleasure Registration No Racing: Owners terminate any electronic eligibility previously issued. No prohibition on registration of offspring. Any transferee must be a member of the USTA.

(i) The Registration Committee may register as Standardbred any horse which does not qualify under the above sections if in their opinion he or she should be registered Standardbred.

§ 26.03 Non-Standardbred.—Any horse may be registered as Non-Standardbred upon filing application showing satisfactory identification of the horse. This identification may be accomplished by furnishing the name, age, sex, sire, dam, color and markings and history of the previous owners. A mating certificate must accompany this application showing the sire to be some type of a registered horse. Any owner standing a Non-Standardbred stallion for service must include the fact that it is Non-Standardbred in all advertisements of such service.

Other provisions of these rules notwithstanding, the Registration Committee may register as Non-Standardbred any horse which does not qualify for such registration under this section if in their opinion such horse should be registered Non-Standardbred.

§ 26.04 Mating Certificates.—Mating certificates shall be signed by the registered owner or designated agent or if the horse is under lease a copy of the lease signed by the owner(s) and lessee(s) must be filed with the USTA. In such event the lessee must sign the mating certificate. A mating certificate must be on file with the USTA before a certificate of registration will be issued.

§ 26.05 Artificial Insemination.—A foal conceived by transported fresh or frozen semen shall be eligible for registration. The fact that the foal is the product of transported fresh or frozen semen shall be annotated on all documents relative to that foal, including but not limited to stallion reports, mating certificates, registration certificates and eligibility certificates.

In the event of the castration or death of a stallion no foal conceived by semen from that stallion in a year after said death or castration is eligible for registration.

§ 26.06 Breeding Requirements.—It shall be the responsibility of stallion owners to have each stallion properly DNA genotyped at a USTA approved laboratory. Failure to comply with this requirement may subject the stallion owner or lessee of a stallion to suspension and/or a fine not to exceed \$5,000.00, and applications for registration may be refused from any person not complying with this requirement.

Stallion owners shall keep a stallion record showing the mare's name, sire and dam, color, markings, owner, breeding dates, and color, sex and foaling date of any foals born on the stallion owner's premises. The records shall be available for inspection by Officers or authorized representatives of the USTA, and shall be kept at least 10 years or filed with the USTA.

All persons standing a stallion at either public or private service shall file with the USTA a list of all mares bred to each stallion together with the dates of service. This list must be filed by September 1st of the year of breeding. Failure to comply with this provision may subject the owner or lessee of the stallion to a fine of not less than \$10.00 or more than \$50.00. Application for registration may be refused from any person not complying with this rule.

All brood mares must be blood typed or DNA genotyped at a USTA-approved laboratory.

The total mares bred to a stallion standing in the United States that has never bred a mare or had a list of mares bred filed previously shall not exceed 140.

These limits on total mares bred may only be exceeded in the event of death of a mare which has been bred in which case a new mare may be added to the mares bred list and bred to the stallion. In any such extraordinary circumstances a signed certificate from a licensed veterinarian, which the Registration Committee may require to be notarized; verifying the death of the mare must be submitted to the Registration Committee. The Registration Committee shall have the sole authority to determine if such extraordinary circumstances did in fact exist. In the absence of extraordinary circumstances approved by the Registration Committee, each mare bred in excess of the above limits shall constitute a separate violation of this section and for each violation a fine in the amount of twice the pertinent stud fee or \$25,000.00, whichever is greater shall be applicable to the violating stallion syndicate, syndicate manager, stallion owner or stallion manager as the Registration Committee may determine.

§ 26.07 Names.—

(a) Names for proposed registration shall be limited to four words and a total of 18 spaces.

(b) Horses may not be registered under a name of an animal previously registered and active unless 15 years have elapsed since any such activity except where the applicant is able to establish to the satisfaction of the Registrar that one or the other of the following circumstances has occurred:

1. That the horse has died or had its name changed prior to becoming 2 years of age.
2. That the horse has died or had its name changed before racing or being used for breeding purposes.

(c) Names of outstanding horses may not be used again nor may they be used as a prefix or suffix unless the name is a part of the name of the sire or dam. A prefix or a suffix such as “Junior,” etc., is not acceptable.

(d) Use of a farm name in registration of horses is reserved for the farm that has registered that name.

(e) Names of living persons will not be used unless the written permission to use their name is filed with the application for registration.

(f) No horse shall be registered under names if spelling or pronunciation is similar to names already in use.

(g) Names of famous or notorious persons, trade names or names claimed for advertising purposes, except names, or parts of a name of a registered breeding farm will not be used.

(h) The USTA reserves the right to refuse any name indicating a family or strain which may be misleading, or any name which may be misleading as to the origin or relationship or sex of an animal, or any name which might be considered offensive, vulgar or suggestive.

(i) Horses may be named by January 1st, subsequent to their foaling without penalty.

(j) The foregoing provisions of this section notwithstanding, foals may be

registered unnamed provided an application for a name is submitted prior to January 1st of the two-year-old year.

(k) When nominating, advertising, cataloging, selling or otherwise representing an un-registered horse, the use of a name for the horse in identifying said horse is prohibited. Whoever violates this rule may be punished by a fine or suspension or both.

§ 26.08 Registration of Horses from Standardbred Canada.—Horses registered with Standardbred Canada Records and complying with the conditions of Rule 26.02(g) may be registered or re-registered with the USTA on presentation of the Canadian certificate.

§ 26.09 Photograph Requirements.—At the discretion of the Registrar, photographs may be required to obtain a registration of a foal. At least four photographs are required, one from each side, one from the front and one from the rear. All photographs must show leg markings.

§ 26.10 Notice of Sale.—Any party acquiring ownership of a registered Standardbred horse shall immediately notify the USTA giving the full name and address of the new owner and the date of acquisition. No horse shall be transferred unless a registration certificate, together with a transfer signed by the registered owner is filed with the USTA.

In the case of a claimed horse the Registrar shall have the authority to waive the signed statement as described above and record the transfer of ownership to the new owner without the original certificate.

In the event a horse's registration certificate is recorded by the Registrar as a paperless certificate and no registration certificate is outstanding, any party acquiring ownership of a registered Standardbred horse shall immediately notify the USTA giving the full name and address of the new owner and the date of acquisition using a USTA application for transfer form.

§ 26.11 Skipping Transfers.—Any person who is a party whether acting as agent or otherwise, to skipping or omitting transfers in the chain of ownership of any horse may be subjected to the penalties and procedures set forth in Rule 26.13 hereof.

§ 26.12 Fraudulent Transfer.—The fraudulent transfer of a horse by any person or persons under suspension, in order to circumvent said suspension shall constitute a violation and shall be punishable by a fine, further suspension or a combination thereof.

§ 26.13 Penalty for Executing False Application for Registration or Transfer.—The President, Executive Vice-President, Registration Committee or District Board may summon persons who have executed applications for registration or transfer or alterations of registration certificates that have become subject to question as well as any other person who may have knowledge thereof. Failure to respond to such summons may be punished by a fine, suspension, or expulsion. If the investigation reveals that an application for registration or transfer contains false or misleading information, the person or persons responsible may be fined, suspended, or expelled and in addition may be barred from further registration or transfer of horses in USTA records and such animal may be barred from registration. The decision of the President, Executive Vice-President, Registration Committee, or District Board,

as the case may be, shall be reduced to writing and shall be final unless the person or persons aggrieved thereby shall, within 10 days, appeal provided in Article VIII of the Bylaws.

§ 26.14 Careless Reporting of Markings.—Any person filing an application for registration with incorrect information shall be required to pay a fee in the amount of \$10.00 for the correction of each such incorrect application.

§ 26.15 Cancellation of Incorrect Registrations.—If, upon any proceeding under the provisions of Rule 26.14, it shall be determined that any outstanding registration is incorrect, the Executive Vice-President shall order immediate cancellation of such outstanding incorrect registration and shall forthwith forward notice of such cancellation to the owner of the horse which is incorrectly registered.

§ 26.16 Failure to Submit Information.—Failure by a member to submit requested information or additional aids to identification relative to the breeding, registration and/or transfer of a horse to the USTA may subject the member to suspension by the USTA.

§ 26.17 Death of Registered Horse.—When a registered horse dies or is disposed of without the registration certificate accompanying the horse the owner of the horse must notify the USTA in writing and forward the registration certificate of the horse to the USTA for proper cancellation.

§ 26.18 Withholding Registration.—Any person withholding a registration certificate from the owner or lessee of a horse after proper demand has been made for the return thereof may be suspended until such time as the certificate is returned.

§ 26.19 Report On Unregisterable Foal.—If a mare is bred in a given year and fails to produce a registerable foal, the owner of such mare shall, prior to December 31st of the succeeding year report to the USTA on the form provided for that purpose the fact that the mare was bred and whether the mare was barren, foaled a dead foal, foaled a live foal which subsequently died, aborted or otherwise.

§ 26.20 Twins Born.—It shall be the responsibility of an individual seeking to register a foal which is a twin to so designate that fact on the application for registration and that information shall be noted on the foal's registration certificate by the Registrar. It shall be the responsibility of the owner of such a foal to furnish such information to a prospective purchaser. For the purpose of the rule, twins shall be defined as two full term foals from the same pregnancy, whether dead or alive. Only one foal per mare per year will be registered with the exception of twins carried to term by the natural mother.

§ 26.21 Parentage Verification Test.—Where a horse becomes the subject of a parentage verification test the owner of the horse shall be required to bear the expense of conducting said test.

§ 26.22 Identification of Mare for Breeding.—The owner of a mare offered for breeding shall bear the obligation and responsibility to inspect and make certain that said mare bears the tattoo or freeze brand number assigned to her by the USTA prior to offering her for breeding.

§ 26.23 Embryo Transfer.—A foal that results from an embryo/ovum transfer shall be eligible for registration only if the following requirements are met:

- (a) The donor mare is at least two (2) years of age or older at the time of the

embryo/ovum transfer.

(b) Prior to the embryo/ovum transfer, the Application for Embryo Transfer is completed and submitted with the application fee to the USTA and approved by the registrar. Failure to comply with this requirement shall result in a penalty fee.

(c) Subsequent to all embryo/ovum transfers, a Certificate of Embryo Transfer is completed and filed with the registrar within thirty-five (35) days following each embryo/ovum transfer. Failure to comply with this requirement shall result in a penalty fee.

(d) Only a donor mare's first-born embryo/ovum transfer foal each year will be eligible for registration. A maximum of one embryo per donor mare will be permitted to be transferred to a recipient mare per heat cycle of the donor mare regardless of the number of embryos successfully recovered. Pregnancy in the recipient mare terminates the embryo collection process for the donor mare and also terminates the breeding of the donor mare for the duration of the same breeding season unless the recipient mare is subsequently determined not to be pregnant in which case the transfer process may be reinitiated. The person having responsibility for the relevant breeding records must keep records adequate to enable the USTA to verify compliance with this requirement. Failure to comply with this requirement shall result in a penalty fee.

(e) A donor mare shall not be exported or be entered to race in claiming races during the recipient mare's gestation period.

(f) All other normal registration requirements are met.

(g) For purposes of USTA registration, an embryo/ovum transfer foal shall be considered to be the property of the owner of the donor mare at the time of mating.

(h) A foal resulting from a frozen embryo/ovum transfer shall not be eligible for registration.

§ 26.24 Parentage Verification.—The parentage of all foals shall be verified by either a parentage verification blood test or a DNA positive identification conducted by a USTA-approved laboratory after the permanent identification (tattooing, freeze branding or microchip) of the foal and prior to the issuance of an electronic eligibility or the use of the foal for breeding purposes, whichever occurs first.

§ 26.25 Parentage Verification Prior to Registration.—No transfer of a registered foal will be recorded by USTA unless the parentage of said foal has been verified by either a parentage verification blood test or a DNA positive identification by a USTA-approved laboratory after a permanent identification of the foal by either tattooing, freeze branding or microchip.

§ 26.26 Reciprocal Registration with Standardbred Canada.—Other provisions of these rules notwithstanding reciprocity of registration between the USTA and Standardbred Canada shall require registration of the horse with the registry in the country in which the owner resides.

§ 26.27 Freeze Branding at the Time of DNA Genotyping.—The freeze branding or other identification of foals shall be simultaneous with the drawing of blood from the foal for blood typing or the collection of hair from the foal for DNA genotyping, both of which shall be accomplished under the supervision of a USTA employee, director or other individual so designated by the President or Executive Vice-President. Permanent identification assigned and administered by the USTA or

by Standardbred Canada, including lip tattoo, neck freeze brand, microchip or any future identification method may not be altered or obliterated.

§ 26.28 **Prohibition Against “Cloning.”**—A foal resulting from the process known as “cloning” shall not be eligible for registration.

§ 26.29 **Prohibition Against Sperm Sorting.**—A new foal that is the result of “sperm sorting” shall not be eligible for registration.

§ 26.30 **Registrar’s Signature.**—The Board of Directors may designate a proper person as Registrar who may affix his or her signature on registration certificates and documents relating to import and export of horses.

§ 26.31 **Breeder of Record.**—In the event the transfer date of a mare is incorrectly reported by the owner, upon receiving documentation providing proof of the correct transfer date that is acceptable to the USTA Registrar, the Registrar may revise any USTA records and certificates to reflect the correct date. Otherwise, the listed breeder of a horse, as defined in Rule 4.18, shall not be changed after the foal has been registered with the USTA and a registration certificate has been issued.

RULE 27.—FEES AND DUES.

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- 27.01 Individual Membership Fee
- 27.02 Corporation/Stable/Farm/Stallion Syndicate Registration and Membership Fees
- 27.03 Electronic Eligibility
- 27.04 Registration of Horse
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- 27.09 Driver/Trainer License
- 27.10 Color Registration
- 27.11 Official License—Extended Pari-Mutuel Meetings
- 27.12 Official License—Non-Extended Meetings

The following dues and fees have been duly enacted in accordance with the Rules and Regulations:

§ 27.01 Individual Membership.	
(a) New Member (1 year)	\$ 90.00
(b) New Member (3 years)	\$222.00
(c) Renewal (1 year)	\$ 75.00
(d) Renewal (3 year)	\$200.00

§ 27.02 Corporation/Stable/Farm/Stallion Syndicate Registration.

Initial Registration	\$173.00
(a) Annual Membership Fee (1 year)	\$25.00
(b) Annual Membership Fee (3 years)	\$75.00

§ 27.03 Electronic Eligibility.

(a) Lifetime (first time as U.S. starter)	\$100.00
(b) Conversion from Standardbred Canada	\$35.00

§ 27.04 Registration of Horse.*

	<i>Member</i>	<i>Non-Member</i>
(a) Suckling (within 4 months of foaling date)	\$150.00	
(b) Weanling (between 4 months and 12/31 of year foaled)	\$185.00	
(c) Yearling (after 12/31 of year foaled)	\$450.00	
(d) Duplicate	\$50.00	\$140.00
(e) Hard Copy Registration	\$10.00	\$10.00

**For foals born prior to 2019, the registration fees are \$140.00 for a suckling, \$175.00 for a weanling, and \$440.00 for a yearling.*

§ 27.05 List of Mares Bred.

(a) Submitted prior to 9/1 (per mare)	\$5.00
(b) Submitted after 9/1 (per mare)	\$10.00

§ 27.06 Transfer of Ownership.

	<i>Member</i>	<i>Non-Member</i>
(a) Within 90 Days of Sale	\$35.00	\$125.00
(b) 90 Days to 6 months	\$65.00	\$155.00
(c) 6 months to 1 Year	\$120.00	\$210.00
(d) Over 1 Year	\$200.00	\$290.00
(e) Lease	\$50.00	

§ 27.07 Change of Horse Name.

	<i>Member</i>	<i>Non-Member</i>
(a) Prior to 2 Years of Age (not including unnamed)	\$25.00	\$115.00
(b) 2 Years of Age and Older	\$35.00	\$125.00

§ 27.08 Import/Export of Horse.

(a) Export Certificate	\$350.00
(b) Import Registration	\$325.00

§ 27.09 Driver/Trainer License. *(Does Not Include Membership Fee)*

(a) New License (1 year)	\$85.00
(b) New License (3 years)	\$195.00
(c) Renewal (1 year)	\$50.00
(d) Renewal (3 years)	\$150.00
(e) Matinee (1 year)	\$17.50
(f) Matinee (3 years)	\$52.50

§ 27.10 Color Registration.

(a) Original Application	\$115.00
(b) Change in Colors/Design	\$58.00
(c) Duplicate Card	\$12.00

§ 27.11 Official License—Extended Pari-Mutuel Meetings.

(a) Presiding Judge	\$50.00
(b) Associate Judge	\$50.00
(c) Starter	\$50.00
(d) Race Secretary	\$50.00
(e) Program Director	\$30.00
(f) Paddock Judge	\$30.00
(g) Assistant Paddock Judge/Identifier	\$20.00
(h) Patrol Judge	\$20.00
(i) Clerk of Course/Charter	\$20.00

§ 27.12 Official License—Non-Extended Meetings.

(a) Presiding Judge—Fair	\$20.00
(b) Starter—Fair	\$20.00
(c) Clerk of Course—Fair	\$15.00

Additional USTA dues/fees/prices are available at www.ustrotting.com.

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ORIGINAL ARTICLES OF INCORPORATION OF
THE UNITED TROTTING ASSOCIATION
FILED MARCH 17, 1932, BEING NO. 150269 IN THE RECORDS
OF THE SECRETARY OF STATE OF OHIO.

ARTICLES OF INCORPORATION
OF
THE UNITED TROTTING ASSOCIATION

The undersigned, a majority of whom are citizens of the United States, desiring to form a corporation, not for profit, under the General Corporation Act of Ohio, do hereby certify:

FIRST. The name of said corporation shall be The United Trotting Association.

SECOND. The place in this State where the principal office of the corporation is to be located, City of Bellefontaine, Logan County.

THIRD. The purpose or purposes for which said corporation is formed are: In order to promote, secure and enforce uniformity in racing rules and conditions in the Agricultural Fair meetings throughout the Western continent; to foster and increase interest in light harness horses and the improvement in the standards of breeding, and to create interest in the improvement and betterment of the harness racing industry generally.

FOURTH. The following persons shall serve said corporation as trustees until the first annual meeting or other meeting called to elect trustees.

George W. RittenourPiketon, OH

Don A. DetrickBellefontaine, OH

T.A. Billingsley Greenville, OH

H.H. Petty Urbana, OH

IN WITNESS WHEREOF, We have hereunto subscribed our names, this 14th day of March, 1932.

Geo. W. Rittenour T.A. Billingsley

H.H. Petty

INCORPORATORS

AMENDMENT TO ARTICLES OF INCORPORATION OF THE
UNITED TROTTING ASSOCIATION
DATED DECEMBER 23, 1938.

The undersigned, Geo. W. Rittenour, President and Mrs. Don A. Detrick, Secretary of The United Trotting Association, do hereby certify that at a meeting of the members of said Corporation, duly called and held on the 23rd day of December, 1938, at ten o'clock A.M., at which meeting a quorum of the members was present, and that by a unanimous vote of the members present, the following Resolution of Amendment was adopted:

“BE IT RESOLVED, that Section One of the original Articles of Incorporation be amended to read—

“The name of said corporation shall be—

THE UNITED STATES TROTTING ASSOCIATION”

That Section Two be amended to read—

“That the place in this State where the principal office of the corporation is to be located is the City of Bellefontaine, Logan County, Ohio.”

That Section Three be amended to read:

“The purpose or purposes of the corporation shall include the improvement of the breed of trotting and pacing horses, the establishment of rules regulating standards and the registration of such horses thereunder, the advancement and promotion of the interest of harness racing in the United States, the investigation, ascertainment and registration of the pedigrees of such horses, the regulation and government of the conduct of the sport of harness racing, the establishment of rules for the conduct thereof, not inconsistent with the laws of the various States, and the sanctioning of the holding of exhibitions of such horses and meetings for the racing thereof, the issuance of licenses to qualified persons to officiate at harness race meetings and exhibitions, the issuance of licenses to the owners of horses permitting the exhibition and racing of such horses and the qualification thereof, the issuance of licenses to drivers of horses participating in such races or exhibitions, and providing for the enforcement of the rules promulgated by the corporation, and providing for the fixing of penalties, fines, and the suspension or expulsion from membership, or privileges or for any other misconduct detrimental to the sport.”

That Section Four be amended to read:

“That the Board of Trustees shall consist of not less than twenty (20) members nor more than forty-five, to be elected in the manner to be provided for in the bylaws of the corporation; and that the following persons shall serve as Trustees until the Trustees are elected in accordance with said bylaws:

Geo. W. Rittenour	Piketon, OH
T.A. Billingsley	Greenville, OH
H.M. Parshall	Urbana, OH
Leo C. McNamara	Indianapolis, IN
S.F. Palin	Indianapolis, IN
Andy Adams	Litchfield, MI
I.L Borden	San Francisco, CA
Frank Lieginger.....	Stockton, CA
C.B. Afflerbaugh	Pomona, CA
Harry Greer	Fargo, ND
O.F. Morrison.....	Anthony, KS
Everett S. Osborn	Valley Center, KS
E.E. Irwin.....	Springfield, IL
Dan W. McLaughlin	Des Moines, IA
Henry Knauf	Ladd, IL

J.F. Malone	Beaver Dam, WI
Eugene R. Flagg	Oshkosh, WI
Reese Blizzard	Parkersburg, WV
B.C. Mayo	Tarboro, NC
Dunbar W. Bostwick	Aiken, SC
Charles W. Swoyer	Reading, PA
W.H. Cane	Hackensack, NJ
Lawrence B. Sheppard	Hanover, PA
E. Roland Harriman	Arden, NY
J.C. Newton	Hamburg, NY
Frank L. Wiswall	Loudonville, NY
R.A. Jewell	Fairfield, ME
Will L. Davis	Rutland, VT
W.H. Dickinson	Hatfield, MA
Lt. Col. D.A. MacKinnon	Charlottetown, P.E.I.
D.W. Griffiths	Fredericton, N.B.
Charles E. Ballard	Sydney Mines, N.S.

IN WITNESS WHEREOF, the said Geo. W. Rittenour, President and Mrs. Don A. Detrick, Secretary of The United Trotting Association, acting for and on behalf of said corporation, have hereunto subscribed their names and caused the official seal of said corporation to be hereunto affixed, this 23rd day of December, 1938.

Geo. W. Rittenour, President
Mrs. Don A. Detrick, Secretary

AMENDMENT TO ARTICLES OF INCORPORATION OF THE UNITED STATES TROTTING ASSOCIATION DATED MAY 4, 1951.

CERTIFICATE OF AMENDMENT TO ARTICLES OF THE UNITED STATES TROTTING ASSOCIATION

Lawrence B. Sheppard, President, and Frank L. Wiswall, Secretary of The United States Trotting Association, an Ohio Corporation organized not for profit, do hereby certify that at a meeting of the members of said corporation duly called and held on the 8th day of March, 1948, at which meeting a quorum of such members were present, and that by the affirmative vote of unanimous of the members present thereat the following resolution of amendment was adopted.

That Section 2, as amended on the 23rd day of December, 1938, be amended to read as follows:

“That the place in this state (Ohio) where the principal office of the corporation is to be located in the City of Columbus, Franklin County, Ohio.”

IN WITNESS WHEREOF, said Lawrence B. Sheppard, President, and Frank L.

Wiswall, Secretary, of The United States Trotting Association, acting for and on behalf of said corporation, have hereunto subscribed their names, and caused the seal of said corporation to be hereunto affixed, this 4th day of May, 1951.

L.B. Sheppard, President

Frank L. Wiswall, Secretary

AMENDMENT TO ARTICLES OF INCORPORATION OF THE
UNITED STATES TROTTING ASSOCIATION
DATED FEBRUARY 10, 1968

CERTIFICATE OF AMENDMENT
TO ARTICLES OF
THE UNITED STATES TROTTING ASSOCIATION

Walter J. Michael, President, and Perley J. Gale, Secretary, of The United States Trotting Association, an Ohio corporation, organized not for profit, do hereby certify that at a meeting of the members of said corporation duly called and held on the 10th day of February, 1968, at 2:00 o'clock P.M., at which meeting a quorum of such members were present, and that by the affirmative vote of a majority of the members present thereat, the following resolution of amendment was adopted:

That Section Four, in the first paragraph thereof, be amended to read:

“That the Board of Trustees shall consist of not less than twenty (20) members nor more than sixty (60), to be elected in the manner to be provided for in the bylaws of the corporation.”

IN WITNESS WHEREOF, said Walter J. Michael, President and Perley J. Gale, Secretary, of The United States Trotting Association, acting for and on behalf of said corporation, have hereunto subscribed their names and caused the seal of said corporation to be hereunto affixed this 21st day of February, 1968.

By Walter J. Michael, President

By Perley J. Gale, Secretary

THE UNITED STATES TROTTING ASSOCIATION

BYLAWS

ARTICLE I.—MEMBERS.

Article

1.01 Qualifications of Members

(a) Track Members

(b) Individual Members

1.02 Application for Individual Membership

1.03 Application for Extended Pari-Mutuel Track Membership

1.04 Rejection of Application, Revocation of Membership

(a) Reasons for Rejection of Application

1.05 Conduct of Hearing Request by President

1.06 Referral of Application to the District Board for Recommendation

1.07 Conditional Approval of Track Membership

1.08 Revocation or Suspension of Membership

1.09 Written Notification of Action Against Applicant

1.10 Appeal from the Denial of Membership Application

1.11 Track Membership Dues and Fees/Calculation

(a) Extended Pari-Mutuel Tracks

(b) Non-Extended Meetings/County Fairs

1.12 Choice of Law

1.13 Payment of Dues and Fees

1.14 Voting Privileges of Members

1.15 Obligation to Furnish Data and Services to Non-Member Pari-Mutuel Tracks

§ 1.01 Qualifications of Members.—The following shall qualify for membership in this association.

(a) Track Members.

1. Persons, firms, corporations, and agricultural societies and associations sponsoring and conducting meetings other than extended pari-mutuel harness race meetings.
2. Persons, firms, associations, and corporations conducting extended pari-mutuel harness race meetings.

(b) Individual Members.

1. Owners of registered Standardbred or non-Standardbred horses.
2. Officials licensed by the association.
3. Drivers licensed by the association.
4. Trainers licensed by the association.

5. Corporations, associations, individuals or stake secretaries sponsoring stakes or futurities, but not engaged in conducting race meetings.
6. Officers, directors, managers, speed superintendents, race secretaries and executive employees of corporations or associations conducting harness race meetings.
7. Officers, directors and stockholders of corporations owning and racing horses.
8. Farm managers or persons designated to verify breeding records.

§ 1.02 Application for Individual Membership.—All applications for individual membership shall be made in writing to the executive vice-president and signed by the applicant.

(a) Signature includes, but is not limited to, an electronic or digital signature in a format approved by this association.

(b) The applicant shall show that they have the necessary qualifications for membership and state that they will obey the rules and regulations of the association.

(c) Applicants for renewal of individual active or associate memberships may submit said renewals by telephone or other approved electronic filing.

§ 1.03 Application for Extended Pari-Mutuel Track Membership.—

(a) Application for track membership by any person, firm, corporation or association to conduct race meetings in the United States at which pari-mutuel wagering is permitted shall be made annually and signed by the individual(s) making application or by the president and secretary of the corporation or association making the application.

(b) Said application shall contain the following:

1. Names, occupations and addresses of all persons interested, directly or indirectly, in the said firm, corporation, or association, the extent of their respective financial interests, voting interests and participation in management and control.
2. An agreement, promise and undertaking by the applicant for:
 - a. Compliance with the bylaws and rules of the association.
 - b. Payment by the applicant of all dues, fines, or other sums due or to become due to the association.
 - c. Payment by the applicant of any and all sums due or to become due to the horsemen participating in such meeting.
 - d. An agreement by the applicant to carry driver accident insurance.
3. A statement of the specific dates upon which it is proposed to conduct such meeting.
4. Such other pertinent information which the president shall, from time to time, require.

§ 1.04 Rejection of Application, Revocation of Membership.—

(a) Reasons for Rejection of Application.—For any of the following, the president of the association may reject the application of any applicant who fails to comply with the requirements for membership herein specified;

1. Whose experience, character or general fitness are such that the participation of such person in harness racing will not be consistent with the best interest of the sport
2. Whose membership would be detrimental to or reflect adversely or unfavorably on harness racing or upon the association.
3. Who has been convicted of a crime involving moral turpitude.
4. Who has engaged in bookmaking, touting, or other forms of illegal gambling, or has been a partner of, agent for, or habitual associate of bookmakers, illegal gamblers, racketeers, or known criminals.
5. Who has failed to comply with the bylaws, rules and regulations of this association.
6. Who makes or has made a false or misleading statement in or in connection with any application for membership or any other proceeding before any board, committee, or official of the association.
7. Who fails properly to furnish information requested to supplement such application.
8. Anyone who has either admitted to race fixing in a sworn statement or been found guilty of race fixing in final adjudication, shall be barred from membership in this association for life.
9. Who has information concerning the solicitations or acceptance of a bribe and fails to report the same to the presiding judge at the race meeting shall be suspended from membership for one year.
10. Any person who has admitted to or been adjudicated guilty of participating in causing the intentional killing, maiming or injuring of a horse for the purpose of perpetrating insurance fraud or obtaining other illegal financial gain shall be barred from membership in this association for life.
11. Any person who has been caught in the act of administering a non-FDA equine approved drug to a horse, or directing another person to administer such a drug to a horse, and who has been found guilty thereof in a final adjudication shall be barred from membership in this association for a minimum of five (5) years.
12. Any person who has been the subject of an adverse finding in a final order in a prosecution arising out of treatment of a horse under any state animal welfare statute shall be disqualified from membership in this association for a minimum period of one (1) year with the length of disqualification beyond one (1) year to be determined by the gravity of the offense.

(b) Where criminal proceedings are pending which may result in disqualification under article 1.04(a), the President may suspend action on an application for membership until final judgment in such criminal proceedings.

§ 1.05 Conduct of Hearing Request by President.—In the exercise of the power of the president to grant or suspend or revoke licenses or memberships, the president may designate a proper person to conduct a hearing thereon.

§ 1.06 Referral of Application to the District Board for Recommendation.—The president may refer any new application for membership or any application for

renewal of membership to the board of directors from the district from which the application is made for a recommendation prior to acting thereon. Where an application for membership is referred to the district board for its recommendation under this section and where pursuant to that recommendation the president denies said application for membership, an appeal from such denial shall be heard by the executive committee.

§ 1.07 Conditional Approval of Track Membership.—The president may approve a track membership application conditionally or with modifications as to racing dates.

§ 1.08 Revocation or Suspension of Membership.—The president may revoke or suspend membership upon determining facts based upon which he might have originally rejected the application for membership or suspended action thereon.

§ 1.09 Written Notification of Action Against Applicant.—The president's rejection, revocation, suspension or modification of an application for membership shall be in writing.

§ 1.10 Appeal from the Denial of Membership Application.—An applicant may appeal any adverse decision pursuant to article VIII.

§ 1.11 Membership Dues and Fees/Calculation.—

(a) Extended Pari-Mutuel Tracks.—Extended pari-mutuel track members shall pay sanction fees equivalent to a percentage of the total of the gross purses raced for at meetings conducted by such track members in any year. Extended pari-mutuel meetings of more than ten days duration where total gross purses are more than \$50,000, the membership fee paid shall be based on the number of programs (performances) applied for in the current year (note that a “doubleheader” or two separate programs raced on a single day shall constitute two programs or performances, and the net purse raced for at the meeting for the current year, at the rate of \$69.00 per program plus 0.46% of the first \$4,999,999.00 in net purses paid, plus 0.29% of the amount of net purses from \$5,000,000.00 to \$9,999,999 plus 0.21% of the amount of net purses thereafter. For purpose of this rule net purses is defined as gross purses less the sum of nominating fees, sustaining fees, starting fees, and any other amount paid into gross purses by stake sponsors, state agencies or any source other than gaming revenue.

1. The 0.46%, 0.29%, or 0.21% of net purses shall be paid upon receipt of prorated statements which will be rendered to track members at monthly intervals beginning following the first month of each track member's meeting with the balance, if any, due and payable upon receipt of final statement at the conclusion of such meetings.
2. Interest at the rate of 1% per month, compounded, will be charged on any unpaid portion of any such statement computed following thirty (30) days from the date of such pro-rata statement.
3. The definition of “net purses” as set forth herein notwithstanding, a track member may elect to compute its net purses by using a standard deduction of 25% from its gross purses thereby arriving at a “net purse” figure in calculating its membership fees.
4. At all meetings other than those provided for above or in section 1.11(b)

hereafter, the fees shall be three-fourths of one percent.

(b) Non-Extended Meetings/County Fairs.—For meetings of not more than ten (10) days' duration at which no pari-mutuel betting is conducted or meetings at which pari-mutuel betting is conducted simultaneously and in conjunction with the conduct of a bona fide agricultural fair, the annual membership fee shall be \$80.00.

§ 1.12 Choice of Law.—Every applicant for membership and every member shall be confined in any action at law or in equity against this association to the jurisdiction of the courts, federal or state, within which the principal office of the association is situated.

§ 1.13 Payment of Dues and Fees.—Wherever any payment is required to be made to this association pursuant to its rules or bylaws, such payment shall be made in U.S. funds.

§ 1.14 Voting Privileges of Members.—

(a) Track members other than pari-mutuel track members in good standing.

(b) Active members in good standing on September 30th of each year shall each have one vote at the next annual district meeting of the members.

(c) Extended pari-mutuel tracks will vote as set forth in article 4.05.

§ 1.15 Obligation to Furnish Data and Services to Non-Member Pari-Mutuel Tracks.—The association shall be obligated to furnish to non-member pari-mutuel tracks its copyrighted performance and other data as to horses registered with the association and other association services upon an equal and nondiscriminatory basis to all such tracks: (1) upon a showing by the track that it holds a license from an authorized state regulatory agency or commission to conduct a meeting of more than ten (10) days' duration at which pari-mutuel wagering is permitted, (2) upon payment by the track of an amount determined in the same manner and no greater than the dues and fees provided in article 1.11(a), and (3) upon an undertaking by the track to utilize USTA forms and certificates and data for USTA registered horses in accordance with USTA rules and regulations and to furnish to USTA current performance and other data as to the performance at the race meeting conducted at the track of all horses registered with the association, records of penalties and other racing records.

ARTICLE II.—DISTRICTS.

Article

2.01 Districts

§ 2.01 Districts.—Subject to subsequent modifications or additions there are hereby created eleven districts within the United States, and certain sub-districts. Said eleven districts and sub-districts are geographically constituted as follows:

(a) District 1. Ohio.

(b) District 2. Indiana, Michigan.

1. 2A Michigan.

2. 2B Indiana.

(c) District 3. Colorado, California, Nevada, Idaho, Oregon, Washington, Utah, New Mexico, Arizona, Wyoming, Montana, Hawaii and Alaska.

(d) District 4. Kansas, Oklahoma, Arkansas, Nebraska, Iowa, Missouri, Texas, Wisconsin, Minnesota, North Dakota and South Dakota, to be zoned into two sub-districts for the purposes of allocation thereto of representation as follows:

1. 4A Kansas, Oklahoma, Arkansas, Nebraska, Iowa, Missouri and Texas.
2. 4B Wisconsin, Minnesota, North Dakota and South Dakota.

(e) District 5. Illinois.

(f) District 6. Florida, Tennessee, Alabama, Georgia, North Carolina, South Carolina, Kentucky, West Virginia, Louisiana and Mississippi, to be zoned into two sub-districts for the purposes of allocation thereto of representation as follows:

1. 6A Florida.
2. 6B Tennessee, Alabama, Georgia, North Carolina, South Carolina, Kentucky, West Virginia, Louisiana and Mississippi.

(g) District 7. Pennsylvania.

(h) District 8. Zip codes that begin with 12***, 13***, and 14*** plus the following exceptions:

10910	10918	10926	10941	10963	10985
10912	10919	10928	10943	10969	10987
10914	10921	10930	10950	10973	10988
10915	10922	10932	10953	10975	10990
10916	10924	10933	10958	10979	10992
10917	10925	10940	10959	10981	10998

(i) District 8A. Zip codes that begin with 10*** and 11*** less the following exceptions:

10910	10918	10926	10941	10963	10985
10912	10919	10928	10943	10969	10987
10914	10921	10930	10950	10973	10988
10915	10922	10932	10953	10975	10990
10916	10924	10933	10958	10979	10992
10917	10925	10940	10959	10981	10998

(j) District 9. Maine, New Hampshire, Vermont, Massachusetts, Connecticut and Rhode Island.

(k) District 11. Delaware, District of Columbia, Maryland and Virginia.

(l) District 12. New Jersey.

ARTICLE III.—DISTRICT MEETINGS.

Article

3.01 Annual District Meeting

- (a) Filing of Place of Meeting
- (b) Announcement of Meeting Place
- (c) Purpose of Meeting
- (d) Order of Business
- (e) Election of Chairman

3.02 Special District Meeting

- (a) Call of Meeting
- (b) Notice of Meeting
- (c) Business Transacted

§ 3.01 Annual District Meeting.—There shall be held within each district and sub-district 4A and sub-district 4B an annual meeting of the membership between the first day of October and the first day of February following.

(a) Filing of Place of Meeting.—The place and time of such district meeting shall be established by the district board and that information shall be filed with the United States Trotting Association office in Columbus, Ohio no later than July 15th.

(b) Announcement of Meeting Place.—The date and place of the annual district meeting must be announced and communicated to the members at least one (1) month prior to the district meeting by mail or electronic posting.

(c) Purpose of Meeting.—Purpose of the annual district meeting shall be the election of directors and the transaction of such other business as may properly come before such meeting.

(d) Order of Business.—At the annual district meetings of the association, the chairman, or in the event of his/her absence or inability to serve, another director of the district shall preside and the order of business shall be as follows:

1. Filing the proof of notice of meeting.
2. Reports of officers.
3. Reports of committees, if any.
4. Report of election committee.
5. Election of directors.
6. Miscellaneous business.

(e) Election of Chairman.—The district's board of directors shall elect a chairman. If the office of chairman becomes vacant by death, resignation or otherwise, the executive vice-president of the association shall call a meeting of the district board of directors for the purpose of electing a new chairman.

§ 3.02 Special District Meeting.—Special district meetings may be called at any time by a majority of the district's board of directors.

(a) Call of Meeting.—It shall be the duty of the president or executive vice-president of the association to call a special district meeting whenever requested in writing by a majority of the qualified members of the association entitled to vote at such district meeting.

(b) Notice of Meeting.—Written notice of such special district meetings shall be

made in the same manner as provided in article 3.01(b), for the notice of the annual district meeting.

(c) Business Transacted.—At any special district meeting, only the business stated in the notice of the meeting shall be transacted.

ARTICLE IV.—ELECTION OF DIRECTORS/VOTING.

Article

4.01 District Membership Directors

4.02 Election of Membership Directors

(a) Nomination Petition Requirements

(b) Restriction Against Running in more than One District

(c) Incumbent Director

(d) Active Membership Requirement

(e) Official Ballot

(f) Publication of Deadline for Receipt of Ballot

(g) Voting Procedures by Member

1. Voting in Person

2. Electronic Voting

(h) Tabulation of Ballots

4.03 Membership Director Election Committee

(a) Presiding over Election Committee

(b) Place of Registration

(c) Candidates May Be Represented

(d) Election Committee's Report of Vote

1. Questionable Ballots

2. Custody of Ballots

(e) Tie Vote

4.04 District Track Directors

4.05 Election of Track Directors

(a) Notice of Election

(b) Calculation of Votes

(c) Nominations

(d) Casting of Votes

1. Voting by Proxy

2. Voting for more than One Candidate

(e) Term of Office

(f) Election Results

(g) Limit of Representation

§ 4.01 District Membership Directors.—Membership elected directors shall be elected by the membership of each district at the annual meeting held in each of the districts.

(a) In district 4, any election for the sub-district 4A membership director shall take place at the sub-district 4A meeting, any election for the sub-district 4B membership director shall take place at the sub-district 4B meeting, and any election for the at-large membership director shall take place at whichever of the two meetings is held first in the year of the election.

§ 4.02 Election of Membership Directors.—Membership directors shall be elected as follows:

(a) Nomination Petition Requirements.—Candidates for membership director other than incumbent membership director shall be made by filing a written petition signed by at least twenty-five (25) voting members from the district for which the person seeks to become a candidate to be filed at the main office of the association in Columbus, Ohio at least fifty (50) days before the election. In computing the fifty (50) day period, the day of filing shall be counted and the day of the district meeting excluded.

Nominating petitions forwarded by mail shall be by registered mail return receipt requested and shall be considered filed as of the postmark date. All others shall be considered filed at the time they are actually received at the main office of the association.

(b) Restriction Against Running in more than One District.—An individual can only run in one district at one time.

(c) Incumbent Director.—The incumbent membership director shall automatically become a candidate unless at least fifty (50) days prior to said election he files a written declination at the office of the association.

(d) Active Membership Requirement.—Any candidate for membership director must be an individual member of this association, and upon election, must maintain that membership throughout the term of office.

(e) Official Ballot.—The association will then prepare an official ballot listing thereon all candidates for the position of membership director for any vacancy where there is a contest. Votes to be valid must be cast using the official ballot prepared by the association and returned in the official return envelope provided by the association.

In the event there is not a contested election for the position of the membership director, the sole nominee shall be automatically elected at the annual meeting of the district.

(f) Publication of Deadline for Receipt of Ballot.—The dates of the mail ballot deadline and the certified public accounting firm to which the ballots must be sent shall be announced and communicated to the members electronically or by another method approved by the executive vice president. The deadline for receipt of ballots shall be four (4) days prior to the annual district meeting unless otherwise established by the board of directors.

(g) Voting Procedures by Member.—In order to vote, each member will complete the mail ballot by marking thereon his/her choice for director. The member will then

place the ballot in the unmarked envelope furnished for that purpose, seal the envelope, place that envelope in the return address envelope furnished for that purpose, seal the return address envelope, and must affix their signature in the upper left-hand corner of the front of the return address envelope. The member will then mail the ballot to the office of an appointed and announced certified public accounting firm in Columbus, Ohio. Ballots actually received on the fourth day prior to the district meeting and no later, shall be considered as received by the deadline.

1. Voting in Person.—Where a member receives a ballot by mail and chooses not to vote by mail in accordance with the provisions of these bylaws said member may take said ballot to the annual district meeting and cast said ballot in person in accordance with the provisions of article 4.03(b) of the bylaws.
2. Electronic Voting.—The association may also approve and offer a suitable means of voting electronically in an election of director, for those who wish to vote electronically.

(h) Tabulation of Ballots.—The association shall appoint and announce a certified public accounting firm in Columbus, Ohio where the ballots will be held until after the four-day deadline, then opened and counted by the certified public accounting firm which will then certify the tabulated results in a sealed envelope to the district chairman along with all those ballots that are questioned by the accounting firm and not counted in the tabulation furnished by said accounting firm. In the event a return address envelope is received by the certified public accounting firm with the name typed or printed, it shall be immediately returned to the voter together with a letter of instruction on the procedure to vote by mail ballot.

§ 4.03 Membership Director Election Committee.—If there is a contest for membership director, the chairman of the district board shall appoint an election committee of three from the qualified membership in good standing to determine the validity of all ballots that are questioned by the certified public accounting firm referred to in article 4.02(h) of these bylaws and not counted in the tabulation furnished by said accounting firm and to determine the qualifications of any members entitled to vote in person.

(a) Presiding over Election Committee.—The chairman of the district board shall preside at and have charge of the election committee, unless that person is a candidate in which event that person shall appoint another director from such district, who shall preside and appoint the election committee.

(b) Place of Registration.—The election committee shall open and maintain a place of registration at the designated place of meeting, and shall receive personal votes from those entitled to vote in person for one hour prior to the meeting. Voting in person at the meeting shall be limited to those members who bring those ballots which they received by mail to the polling place and deliver them to the election committee. All members voting in person in this manner shall register with the election committee at the time they deposit their ballots.

(c) Candidates May Be Represented.—Each candidate may personally, or by representative appointed by the candidate monitor the activities of the election committee.

(d) **Election Committee's Report of Vote.**—The election committee shall report in writing to the chairman of the district board the final vote.

1. **Questionable Ballots.**—It shall then be the responsibility of the election committee to rule on the validity of the questioned ballots and report the final results to the district chairman.
2. **Custody of Ballots.**—In case any question is raised as to the legality of the election, the certified public accounting firm shall take into custody the ballots cast and keep the same safely for a period of at least ninety days.

(e) **Tie Vote.**—If an election fails to elect a membership director due to a tie vote between two or more candidates, a runoff election between those candidates shall be conducted within forty-five (45) days after the election committee has reported the final results to the district chairman. Those candidates automatically become the only candidates at the runoff election. The runoff election between those candidates will be conducted in conformity with the procedures set forth in article 4.02 and article 4.03 for the initial election.

§ 4.04 **District Track Directors.**—District track directors shall be elected at least 30 days prior to the annual meeting of the Board of Directors.

§ 4.05 **Election of Track Directors.**—Any candidate for the position of pari-mutuel track director should be an individual member of this association, and upon election, must maintain individual membership in this Association throughout the term of office. In the districts that have track directors, the pari-mutuel track in the district with the highest net purses in the previous calendar year shall be offered an opportunity to designate a qualified person to be automatically seated as a district track director. If this opportunity is exercised, said track shall not be entitled to vote any of its votes it would otherwise be eligible to cast among other nominees. Track directors shall be nominated and elected by the extended pari-mutuel tracks in each qualifying district as follow:

(a) **Notice of Election.**—Notice of the election shall be sent to each track member eligible to vote in the election to include a breakdown of the number of available votes to be cast by each track member along with a ballot calling for the election of the track directors by January 10 of the election year. Such election shall take place no later than February 1 of the election year.

(b) **Calculation of Votes.**—Pari-mutuel track members shall be entitled to cast votes on a proportional basis determined in direct relation to total net purses paid by track members in each district during the previous calendar year. The number of votes to be cast shall be determined as follows:

1. Total net purses less than \$1,000,000—1 vote
2. Total net purses at or above \$1,000,000 shall be entitled to cast 1 vote for every \$1,000,000 increment in net purses.

(c) **Nominations.**—Nominations for pari-mutuel track directors shall be made by pari-mutuel track members of each district.

(d) **Casting of Votes.**—The votes on behalf of any pari-mutuel track member shall be cast by the track's designee.

1. **Voting for more than One Candidate.**—Each track may cast all its votes for one director or may divide its votes among various directors to be

nominated.

2. Electronic Voting.—The association may conduct track director elections electronically.

(e) Term of Office.—The terms of office for track director shall be three (3) years.

(f) Election Results.—The candidate receiving the highest number of votes for each vacancy shall be deemed to be elected to the pari-mutuel track directorships of that district.

(g) Limit of Representation.—With the exception of district 8A, pari-mutuel track members shall be limited to one representative on the Board of Directors.

ARTICLE V.—DISTRICT DIRECTORS.

Article

5.01 Qualifications of Directors

(a) Qualification of Board Members

(b) Director Emeritus

5.02 Terms of Directorship

5.03 Number of Directors in Each District and Their Terms of Office

5.04 Vacancies—Membership Elected Directors

5.05 Vacancies—Track Elected Directors

5.06 Effective Date

§ 5.01 Qualifications of Directors.—All directors must be individual members of this association in good standing and must maintain that membership throughout the term of office. District track directors must represent a track member of this Association in good standing and must continue to do so throughout the term of office.

(a) Qualifications of Board Members.—The full board of directors shall be the sole judge of the election and qualifications of its members.

(b) Director Emeritus.—All directors holding office for a period of (10) years and who are not subsequently re-elected shall automatically become director emeritus and may participate in all proceedings of the district board and shall be eligible to all duly constituted committees of the board of directors, but shall not be entitled to vote.

§ 5.02 Terms of Directorship.—All directors will be elected for a three (3) - year term. Terms shall begin with the seating of the directors at the annual meeting of the full board of directors following the elections and to run until the third annual meeting following the seating.

§ 5.03 Number of Directors in Each District and Their Terms of Office.—There shall be not less than three (3) nor more than nine (9) directors from each district. The district board of directors in the respective districts shall be as follows:

(a) The district board of directors of district 1 shall consist of eight (8) members of

which three (3) shall be elected by pari-mutuel track directors.

(b) The district board of directors of district 2 shall consist of six (6) members, of which one (1) shall be elected by the combined pari-mutuel track members in Michigan and Indiana.

(c) The district board of directors of district 3 shall consist of three (3) members, one (1) to be elected by pari-mutuel track members.

(d) The district board of directors of district 4 shall consist of three (3) members, one (1) to be elected from sub-district 4A and one (1) to be elected from sub-district 4B and a third to be elected at large.

(e) The district board of directors of district 5 shall consist of four (4) members of which one (1) shall be elected by the pari-mutuel track members.

(f) The district board of directors of district 6 shall consist of five (5) members, of which one (1) shall be elected by pari-mutuel track members of sub-district 6A and one (1) of which shall be elected by the pari-mutuel tracks of sub-district 6B. Of the other three (3) general membership elected directors, one (1) shall be elected from sub-district 6A, one (1) from sub-district 6B with one (1) to be elected at large.

(g) The district board of directors of district 7 shall consist of five (5) members, of which two (2) shall be elected by pari-mutuel track members.

(h) The district board of directors of district 8 shall consist of seven (7) members, of which three (3) shall be elected by pari-mutuel track members.

(i) The district board of directors of district 8A shall consist of five (5) members, of which two (2) shall be elected by pari-mutuel track members.

(j) The district board of directors of district 9 shall consist of five (5) members, of which two (2) shall be elected by pari-mutuel track members.

(k) The district board of directors of district 11 shall consist of four (4) members, of which one (1) shall be elected by pari-mutuel track members.

(l) The district board of directors of district 12 shall consist of five (5) members, of which two (2) shall be elected by pari-mutuel track members.

§ 5.04 Vacancies—Membership Elected Directors.—Any vacancy on the district board of a membership director through death, written resignation filed with the United States Trotting Association office in Columbus, Ohio, removal, or other cause, may be filled from the membership of such district by the remaining membership directors for such district, with the individual so elected to serve until the next scheduled district meeting, at which time an election shall be held for the purpose of electing a membership director for the balance of the term or a new term if the existing term has expired, as provided in article 4.02 herein.

A successor director so elected by the remaining membership directors shall not serve beyond the date of the district meeting following the next scheduled annual district meeting without standing for election by the membership.

§ 5.05 Vacancies—Track Directors. Any vacancy of a track director who through death, written resignation, (which resignation shall be filed with the United States Trotting Association office in Columbus, Ohio), removal or other cause shall be filled by the extended pari-mutuel track members of such district by designation or election as appropriate. Provided, however, that a pari-mutuel track that has a director

serving on the board of directors who was automatically seated pursuant to article 4.05 will not be entitled to vote to fill the vacancy occurring in a different track directorship seat.

If an election is required, the chairman of the district board shall call a meeting of the track members of the district for the purpose of electing a track director for the balance of the term as provided in article 5.02.

§ 5.06 Effective Date.—These bylaw amendments shall become effective as of May 1, 2017, with the following exceptions:

1. New elections for all track directors from district 2 and 5 shall be conducted no later than May 1, 2017.

2. The current terms of all track directors from district 2 and 5 shall expire when the new elections for all track directors from their districts take place.

3. The election of new track directors for the newly authorized track director positions in district 1 and 7 shall be conducted no later than May 1, 2017.

4. These new elections in district 1, 2, 5 and 7 shall be conducted in accordance with these bylaws as amended.

5. The terms of the track directors elected in these new elections shall commence upon their election as track directors and run until the 2020 annual meeting of the full board of directors.

6. These effective date provisions will be part of the bylaws until the 2020 annual meeting of the full board of directors, after which they will automatically be removed from the bylaws.

ARTICLE VI.—CONDUCT OF HEARINGS.

Article

6.01 Location of Hearing

6.02 Subpoena Powers

(a) Investigatory Powers

(b) Notice of Hearing

(c) Failure of Witness to Appear

(d) Inability of Witness to Appear

6.03 Hearing Procedures

(a) Legal Rules

(b) Attorneys

1. Right to Counsel

2. Conduct of Attorneys

3. Objectionable Conduct of Attorneys

4. Effect of Dismissal of Attorney

(c) Record of Hearing

(d) Testimony—Administration of Oath

(e) Exhibits

(f) Depositions and Affidavits

(g) Adverse Party's Right to Answer

(h) Decision of Appeal Board

6.04 Expenses of Appeal Board

§ 6.01 Location of Hearing.—The district boards shall hold all hearings within the geographic boundaries of the district. The location of hearings before the executive committee shall be determined by the president.

§ 6.02 Subpoena Powers.—The district board or the executive committee shall have the power to subpoena witnesses.

(a) Investigatory Powers.—In addition to the above, the district board or executive committee may conduct an investigation in a summary or ex parte manner

(b) Notice of Hearing.—A subpoena, served personally by mail, or electronically prior to the date set for hearing shall constitute proper and sufficient notice to compel the attendance of the witness served.

(c) Failure of Witness to Appear.—Any member who, being served with a subpoena, fails to attend the said hearing may be immediately suspended from the association.

(d) Inability of Witness to Appear.—The inability of a witness to appear at a hearing for which they was subpoenaed must be upon good and sufficient cause which must be communicated immediately to the executive vice president or the chairman of the district board before whom he was subpoenaed to appear.

§ 6.03 Hearing Procedures.—

(a) Legal Rules.—No legal rules of evidence, as such, shall apply to hearings. The appeal body may conduct the hearings within its best judgment and discretion to decide the credibility of any evidence as well as determination of the ultimate issue.

(b) Attorneys or Representatives.—Either party may be represented by an attorney or other representative upon any hearing.

1. Right to Counsel.—The right to an attorney or other representative is permissive only, and no party is required to be represented by an attorney. The failure of any party to employ an attorney shall not in any way militate against them, nor in any respect, affect, alter or invalidate the proceedings or decision.
2. Conduct of Attorneys.—Any attorney or other representative appearing before an district board or the executive committee shall govern themselves and their conduct by the rulings made by the district board or the executive committee.
3. Objectionable Conduct of Attorneys.—The district board or the executive committee may cause any attorney or other representative to be ejected from the hearing whose conduct is objectionable, or who fails to conform to and abide by the rulings of the Board.

(c) Record of Hearing.—A record shall be made of the testimony, stipulations, waivers and all rulings by the district board or the executive committee.

(d) Testimony—Administration of Oath.—All testimony before a district board or the executive committee shall be under oath. The oath shall be administered to the witness by the presiding chairman in the following style and manner:

“Do you solemnly swear to tell the truth, the whole truth and nothing but the truth on this proceeding, or affirm so help you God?”

(e) Exhibits.—Any party to a proceeding before a district board or the executive committee may offer in evidence any exhibit, and if the board rules that such exhibit is pertinent and material it may be received in evidence.

1. All exhibits received in evidence by the district board or the executive committee shall be dated and initialed by the presiding chairman thereof and shall constitute a part of the record.

(f) Depositions and Affidavits.—Testimony by deposition or affidavit may be offered and received in evidence for such weight and consideration as the district board or the executive committee may see fit to give it. Any testimony in deposition or affidavit form shall be received as an exhibit and marked as such as hereinabove provided.

(g) **Adverse Party’s Right to Answer.**—The party against whom testimony in deposition or affidavit form will be offered, shall be allowed to submit opposing testimony in deposition or affidavit form or to call witnesses in opposition to such testimony.

(h) Decisions of Appeal Board.—All decisions shall be filed with the record on appeal in the main office of the association. Notice of the decision may be given to the parties to the appeal in any manner agreed upon.

§ 6.04 Expenses of Appeal Board.—All expenses incurred by members of the district board or the executive committee in the discharge of their duties and functions as herein provided shall be chargeable to and payable by the association. The district board or the executive committee shall certify their expenses, and wherever possible attach vouchers, memoranda and receipted bills, and forward the same to the main office of the association.

ARTICLE VII.—APPEALS FROM FINDINGS OF JUDGES.

Article

7.01 Appeals to District Boards of Review From Findings of Judges

- (a) Time to File Appeal
- (b) Jurisdiction of State Racing Authority
- (c) Determination of Facts
- (d) Conduct of Hearings

7.02 Modification of Penalties Imposed by Judges

§ 7.01 Appeals to District Boards From Findings of Judges.—As hereinafter provided by the rules of this association the Judges of any race that is conducted pursuant to the rules and regulations of The United States Trotting Association are

authorized and empowered to make decisions and rulings with respect to the enforcement of the rules of the association.

(a) Time to File Appeal.—In all such cases the decisions and rulings of the judges may be appealed to the district board of the district within which such race was held by notice of appeal in writing filed in the office of the association at Columbus, Ohio, within ten (10) days after notice of such decision or ruling.

(b) Jurisdiction of State Racing Authority.—Where the races are conducted pursuant to the rules and regulations of a state racing authority, any appeal from the judges' decisions or rulings shall be to the state racing authority in accordance with the applicable rule or regulation.

(c) Determination of Facts.—The district board may consider and decide all the facts, decisions and interpretations of the rules in question.

(d) Conduct of Hearing.—Appeals to district boards from findings of judges shall be conducted in accordance with the provisions of article 6.03.

§ 7.02 Modification of Penalties Imposed by Judges.—Upon any appeal to a district board from a finding by the Judges, the district board shall have the power to vacate, modify, or increase any penalties imposed by the judges.

ARTICLE VIII.—APPEALS FROM EXECUTIVE ORDER.

Article

8.01 Right of Appeal

8.02 Filing of Appeal

8.03 Hearing the Appeal

8.04 Time for Hearing Appeal

8.05 Appeal Decisions

8.06 Prohibition Against Further Appeal

§ 8.01 Right of Appeal.—Any suspension, fine, denial of membership, denial of license, reprimand, termination of office, or other penalty ordered by the president, executive vice-president, or a committee designated by the board may be appealed; provided, however, that any such disciplinary action that is taken against any person by the board as a whole may not be appealed. *(Effective 05/01/2019)*

§ 8.02 Filing of Appeal.—A request for an appeal hearing shall be filed in writing or other approved method with the executive vice president of the association within thirty (30) days from the date of the decision or ruling. *(Effective 05/01/2019)*

§ 8.03 Hearing the Appeal.—The executive committee shall hear any appeal of an action taken under Article XII of the bylaws. The district board of the district from which the application was received or the subject matter of the determination arose shall hear all other appeals. *(Effective 05/01/2019)*

§ 8.04 Time for Hearing Appeal.—Appeals shall be heard at the next scheduled meeting of the appropriate district board or executive committee after an appeal is filed, unless a continuance is requested by the appellant. Each appellant shall

only be entitled to one continuance. *(Effective 05/01/2019)*

§ 8.05 Appeal Decisions. – Decisions of all appeals heard by a district board shall be final unless the president or executive vice president refuses to concur, in which case such decisions shall be referred for further hearing to the executive committee. The executive committee shall have the power to vacate, modify, increase or reduce any penalty, in its discretion. Decisions of all appeals heard by the executive committee shall be final, whether as an initial appeal or as a further hearing of an appeal initially heard by a district board. *(Effective 05/01/2019)*

§ 8.07 Prohibition Against Further Appeal.— After the district board or executive committee has made a final determination of an appeal, no further hearing on the same matter shall be granted, except that a denial of membership may be appealed by the same applicant after the expiration of two (2) full years following the previous appeal hearing. *(Effective 05/01/2019)*

ARTICLE IX.—COMMITTEES.

Article

9.01 Executive Committee Composition

9.02 Executive Committee Meetings

(a) Bi-Annual Meetings

(b) Quorum

(c) Provide Report Prior to the Meeting

(d) Chairman Presides

(e) Report of Action taken by the Executive Committee

9.03 General Powers

9.04 Prohibition

9.05 Standing Committees

9.06 Special Committees

§ 9.01 Executive Committee Composition.—

(a) The executive committee of the full board of directors shall consist of:

1. The president.

2. The chairman of the board.

3. The vice-chairman of the board.

4. The treasurer.

5. One director from each of the district boards, who shall be appointed by the president at each annual meeting of the full board of directors.

a. Four of those so appointed shall be *pari-mutuel* track directors.

(b) The president shall be the chairman of the executive committee and the chairman of the full board shall be the vice-chairman of the executive committee.

§ 9.02 Executive Committee Meetings.—Meetings of the executive committee may be called by the chairman of the executive committee, the vice-chairman of the executive committee, executive vice-president, or upon the request of any five (5) members thereof.

(a) Bi-Annual Meetings.—The executive committee shall meet at least two times each year between meetings of the full board of directors to discuss specific issues or to be consulted and informed of action, developments, and progress of the association completed or contemplated. The executive committee shall meet at any time or place upon due notice given to each member of the executive committee.

(b) Quorum.—The presence of a majority of the members of the executive committee either in person or by means of communication equipment shall be necessary to constitute a quorum for the transaction of business. Meetings of the executive committee may be held through any communications equipment if all persons participating can hear each other. Such participation shall constitute presence at such meeting.

(c) Provide Report Prior to the Meeting.—The executive committee shall be provided with a report from the executive vice-president prior to the meeting.

(d) Chairman Presides.—At meetings of the executive committee the chairman of the executive committee or in his absence the vice-chairman of the executive committee shall preside.

(e) Report of Action taken by the Executive Committee.—The executive vice-president shall promptly report in writing to the board of directors any action taken by the executive committee at such meetings.

§ 9.03 General Powers.—The executive committee shall be empowered to take such action as may be necessary or appropriate consistent with the charter, bylaws and rules of the association, except that it shall require the affirmative vote of at least eight members of the executive committee to authorize the expenditure of any amount in excess of \$25,000.00.

§ 9.04 Prohibition.—The executive committee shall have no authority to change the charter, bylaws or rules of the association.

§ 9.05 Standing Committees.—Members of the board of directors shall constitute the following standing committees: Communication/Marketing; Driver/Trainer, Fairs, Finance, Owners/Breeders, Pari-Mutuel, Registration, Regulatory and Rules.

§ 9.06 Special Committees.—The president may create special committees, which may include members of the board of directors and any member, or non-member of the association, duly appointed by the president.

ARTICLE X.—BOARD OF DIRECTORS.

Article

10.01 Board of Directors

10.02 Meetings of the Full Board

10.03 Quorum

10.04 Powers of the Board of Directors

10.05 Roll Call Vote

10.06 Officer and Director Indemnification/Reimbursement of Expenses

§ 10.01 Board of Directors.—The directors elected from each of the separate districts shall constitute the board of directors of this association and the board of trustees of this corporation.

§ 10.02 Meetings of the Full Board.—The board of directors of the association shall meet annually at a time and place to be fixed by the president unless provided by resolution at the previous annual meeting of the board.

(a) The board of directors shall meet whenever called together by the president or executive vice-president upon due notice given to each director.

(b) On the written request of any ten directors, the secretary shall call a special meeting of the board.

(c) At any meeting of the board of directors other than its regular annual meeting, only the business stated in the notice of the call of meeting shall be transacted.

(d) At all meetings of the board of directors, the chairman of the board, or in his absence, vice-chairman, or if neither be present, a chairman chosen by the directors present, shall preside.

§ 10.03 Quorum.—The presence of a majority of the board of directors either in person or by means of communication equipment shall be necessary to constitute a quorum for the transaction of business. Meetings of the board of directors may be held through any communications equipment if all persons participating can hear each other. Such participation shall constitute presence at such meeting.

§ 10.04 Powers of the Board of Directors.—The board of directors shall exercise all of the powers of the association and upon them is conferred the management, direction, and control of all of the business and affairs of the association except as otherwise provided herein.

(a) They shall make, promulgate, and publish rules governing the sport of harness racing and the conduct of meetings for the racing or exhibition of harness horses and for the licensing of officials, drivers and horses participating in such meetings, and the fees to be paid for such licenses.

(b) The said rules shall further provide penalties for the infraction thereof to be imposed upon members of the association, officials, owners, drivers and horses, and such other disciplinary measures as the said board shall deem to be in the best interests of the sport of harness racing.

(c) The directors and officers of this association shall be entitled without charge to the privilege of access to the grounds and facilities of each and every track member during any meeting.

§ 10.05 Roll Call Vote.—At the request of any five members of the board of directors, the vote on any rule, bylaw, or resolution shall be by roll call.

§ 10.06 Officer and Director Indemnification/Reimbursement of Expenses.—All reasonable expenses and any adjudicated liabilities incurred in the defense of any suit or action brought against any officer or director by reason of performance of his duty as an officer or director will be reimbursed upon filing a proper voucher with the treasurer of this Association.

ARTICLE XI.—OFFICERS, FUNCTIONS AND POWERS.

Article

11.01 Qualifications of Officers

11.02 Election of Officers

11.03 Filing for Candidacy

11.04 President

11.05 Executive Vice-President

11.06 Treasurer

11.07 Assistant Treasurer

11.08 Secretary

11.09 Assistant Secretary

§ 11.01 Qualification of Officers.—No officer of the association need be a director of the association.

§ 11.02 Election of Officers.

(a) The board of directors shall elect the following officers to the following terms at its annual meeting:

1. President for a term of four (4) years.
2. Chairman of the board to a one (1) year term.
3. Vice-Chairman to a one (1) year term.
4. Secretary to a one (1) year term.
5. Treasurer to a one (1) year term.

(b) The President shall appoint the following:

1. Assistant Secretary to a one (1) year term.
2. Assistant Treasurer to a one (1) year term.

§ 11.03 Filing for Candidacy.—Individuals desiring to be candidates for election as chairman or vice-chairman, or as an officer of the association shall submit a letter declaring their interest in such candidacy, said letter to be delivered to the secretary of the association not later than thirty (30) days prior to the annual meeting.

(a) Each candidate shall provide a description of his/her qualifications and how the candidate is best suited to carry out the duties and functions of the office for which they are a candidate.

(b) The executive vice president shall provide the information submitted by each candidate to all board members forthwith but not later than fifteen (15) days prior to the annual board meeting.

(c) In the event any declared candidate withdraws for good cause shown, is determined to be or becomes ineligible, or is incapacitated, then and in that event, nominations shall be opened at the annual meeting at the time and place for the election of officers.

§ 11.04 President.—The president shall have general management of the affairs of the association and shall appoint and discharge all employees, sign certificates of membership, countersign all checks drawn on the association's funds, have general supervision over the conduct of race meetings, of officials and other persons licensed

by the association, and the general enforcement of the bylaws and rules and Regulations of the association and the transaction of the business of the association, reporting to the board of directors and the executive committee of the said board. He shall have the power to suspend any official or licensee or member with due cause, with the right of appeal to the executive committee. He may delegate any of his duties to any of the elected officers of the association or the executive vice president. If a vacancy occurs in the office of the president, a meeting of the executive committee shall be called immediately to elect an interim president who shall serve until the next annual meeting of the full board of directors, at which time a president shall be elected for the balance of the term or a new four-year term if the existing term has expired. However, if the vacancy occurs within sixty (60) days of the next scheduled annual meeting, the chairman of the board shall serve as president until said meeting.

§ 11.05 Executive Vice-President.—The executive vice president shall be appointed by a majority vote of the full board of directors and shall serve pursuant to an approved contract adopted by the full board of directors. The executive vice-president shall perform all of the duties of the president in the event of the incapacity of the latter, also all the duties delegated by the president and such functions as may be prescribed by the bylaws and rules. He shall have charge of racing records, registrations and office management.

§ 11.06 Treasurer.—The treasurer shall have the care and custody of all of the funds and securities of the association and shall deposit the same in the name of the association in such national bank, banks, or trust company or trust companies as the directors may elect; with respect to the reserve funds of the association the treasurer shall invest and re-invest such funds in U.S. government bonds, bills and notes, and additionally with prior specific approval of the president, the treasurer may deposit reserve funds in interest bearing accounts in federal regulated commercial banks whose capital surplus and undivided profits total at least \$50,000,000.00 or whose total assets exceed \$1,000,000,000.00. He shall cause to be maintained books of account and shall exhibit the same at any reasonable time to any director or member of the association upon application at the office of the association during business hours. He shall give and furnish such bond or bonds for the faithful performance of his duties as the board of directors may require. He shall report annually a statement to the board and membership.

§ 11.07 Assistant Treasurer.—The assistant treasurer shall during the absence of the treasurer, or when delegated by the treasurer to do so, perform any and all of the duties of the treasurer.

§ 11.08 Secretary.—The secretary shall keep the minutes of the meetings of the board of directors and of the members. The secretary shall have charge of the membership roll of the association and such other books and papers as the board may direct.

§ 11.09 Assistant Secretary.—The assistant secretary shall, during the absence of the secretary or when delegated by the secretary to do so, perform any or all duties of the secretary.

ARTICLE XII.—ASSOCIATION GOVERNANCE.

Article

12.01 Duties and Responsibilities of Directors and Officers

12.02 Conflicts of Interest

12.03 Abuse and Harassment

12.04 Whistleblower Policy

12.05 Document Retention

§ 12.01 Duties and Responsibilities of Directors and Officers.—

(a) Directors and officers of the association have a fiduciary responsibility to the association and to the Standardbred breeding and racing industry as a whole. That responsibility consists of the duty to exercise his or her decision-making powers in good faith and in a manner that the individual reasonably believes to be in the best interests of the association and the industry. Although the director or officer should be aware of the consensus of opinion on an issue of the association members that he **or she represents, the director's or officer's ultimate duty is to the association and the industry, even if an action or decision is contrary to an individual's personal interests.**

(b) An individual should not seek or consent to become a director unless he or she is willing to devote sufficient time and attention to the job. That includes familiarity with the personnel and programs of the association and the careful and timely review of materials in order to be informed about the issues that are then under consideration. Each director should also be prepared and willing to communicate with the members in his or her district about those issues.

(c) Directors and officers must consistently attend the annual district meetings in their districts and the annual meetings of the association. Directors and officers are also expected to prepare for meetings by reviewing the meeting agenda and materials in advance. Regardless of extenuating circumstances, if a director or officer (i) fails to attend or otherwise participate in three (3) or more consecutive annual district meetings in his or her district or (ii) fails to attend three (3) or more consecutive annual meetings of the association, he or she shall be automatically removed from office. Directors and officers may participate in a district meeting through a telephone, video conference or similar connection that permits instantaneous communication with other attendees.

(d) Unless and until internal discussions and materials are made public, directors and officers shall protect the confidentiality of all such discussions and materials.

§ 12.02 Conflicts of Interest.—

(a) **Any director or officer of the association who has a direct or indirect “financial interest” is deemed to be an “interested person.” An interested person consists of the director or officer and his or her spouse, parent or child, or a business entity in which the director or officer or the spouse, parent or child holds a significant ownership interest. A financial interest consists of an existing transaction or arrangement with the association or one that is under negotiation, or a compensation arrangement with**

the association, other than transactions or arrangements that are generally and uniformly available to all association members or to one or more categories of association members. Any interested person who has a direct or indirect financial interest is deemed to have a conflict of interest under these bylaws.

(b) In the event of such an actual or potential conflict of interest, the interested person must disclose the existence of the financial interest in writing to the president of the association. Upon making that disclosure, the interested person shall be afforded the opportunity to describe all material facts relating to the financial interest to the board and to any committee that is considering the transaction or arrangement. Following that disclosure, the interested person shall, at the request of the president or the chairman of the committee, leave the room to allow a free discussion of the matter. The interested person shall also refrain from voting on the matter. However, the existence of a conflict of interest shall not prevent the board or the committee from voting to enter into the financial interest with the interested person.

(c) If it is determined that an interested person has failed to disclose a conflict of interest, the interested person shall be subject to disciplinary or corrective action by the board or by a committee designated by the board, at their discretion. Such action may include, without limitation, the reprimanding or removal from office of the interested person and the rescission of the transaction or arrangement between the interested person and the association.

(d) The board may, in its discretion, require some or all of the association's directors and officers to periodically sign a written statement confirming their understanding and acceptance of the association's conflict of interest policy.

§ 12.03 Abuse and Harassment.— No director or officer of the association shall abuse or harass any other director or officer, or any agent or employee of the association. Abuse or harassment shall be deemed to have occurred if the offending person (i) commits or threatens physical violence on another person, (ii) makes or engages in slurs, epithets, name calling, intimidation, ridicule, mockery, insults or put-downs that a reasonable person would consider to be offensive, (iii) makes physical contact or verbal statements that are sexual or suggestive in nature and are offensive or inappropriate, (iv) commits other acts that a reasonable person would consider intimidating, hostile or abusive, or (v) commits any act that would be considered to be harassment under Title VII of the Civil Rights Act of 1964 or the Age Discrimination in Employment Act of 1967. Any offending person shall be subject to disciplinary action by the board or by a committee designated by the board, at their discretion. Such disciplinary action may include, without limitation, the reprimanding or removal from office of the offending person. The disciplinary action shall be subject to appeal to the executive committee in accordance with Article VIII of the bylaws.

§ 12.04 Whistleblower Policy—

(a) In order to promote openness, honesty, integrity and ethical conduct by directors, officers, agents and employees of the association in their administration of the business of the association and their dealings with the association, its members and each other, the association strongly encourages the disclosure of information about

any conduct that pertains to association matters and is illegal, unethical, fraudulent, or contrary to the policies of the association, or concerns financial discrepancies. The goal is to discourage conduct that may damage the interests and reputation of the association and its ability to be a positive influence on the Standardbred breeding and racing industry. This is intended to supplement and not replace the usual personnel policies and operating procedures of the association.

(b) Complaints or information regarding illegal, fraudulent, dishonest or other unethical conduct or financial discrepancies that is not appropriate for handling **through the association's normal administrative procedures should be reported in writing**, with or without identifying the reporting person, to the president or executive vice president. Verbal contact alone is discouraged. Although a reporting person is not expected to prove the truth of an allegation, the reporting person needs to demonstrate reasonable grounds for the report. Persons who make allegations with intentional or reckless disregard for their truth or falsity may be subject to disciplinary action by the association. However, if the allegation is made in good faith and with a reasonable belief that the allegation is true, the reporting person will be protected from retaliation, harassment and adverse employment consequences. Any attempted retaliation or harassment will be treated as an act of abuse or harassment under §12.03.

(c) After receiving such an allegation, the president or executive vice president will make or direct initial inquiries to determine if a full investigation is warranted. Any full investigation will be undertaken by a standing committee designated by or a special committee appointed by the president. The committee will provide the board with a report summarizing the allegation and the findings of the investigation, and recommend actions to be taken in response, if any. While anonymous allegations will be received, special consideration in their investigation will be given to the seriousness of the allegation, the credibility of the person who is the subject of the allegation, and the likelihood of confirming the allegation in the absence of a complaining witness.

§ 12.05 Document Retention.— The association shall adopt policies and procedures for the systematic review, retention and destruction of documents and other records received and created by the association in connection with the transaction of its business and the conduct of its affairs. The policy shall include guidelines for how long various documents and records are to be kept and how they should be destroyed. In accordance with 18 U.S.C §1519 and the Sarbanes-Oxley Act of 2002, the association shall not knowingly destroy a document or record with the intention of obstructing or influencing the investigation or administration of any matter within the jurisdiction of a department or agency of the United States. (*Effective 05/01/2019*)

ARTICLE XIII.—AMENDMENTS.

Article

13.01 Amendments to the Bylaws

§13.01 Amendments to the Bylaws.—These bylaws may be amended at any meeting of the board of directors by the vote of two-thirds of those present at the roll call of such meeting, provided a quorum is present at the time of the vote and further provided that the two-thirds vote is at least equivalent to a majority of the total board membership.

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THE UNITED STATES TROTTING ASSOCIATION

OFFICERS

President

Russell C. Williams, Hanover, PA

Executive Vice-President

Michael J. Tanner, Columbus, OH

Chairman

Ivan L. Axelrod, Tarzana, CA

Vice Chairman

Don G. Marean, Standish, ME

Treasurer

Richard Brandt Jr., Logan, OH

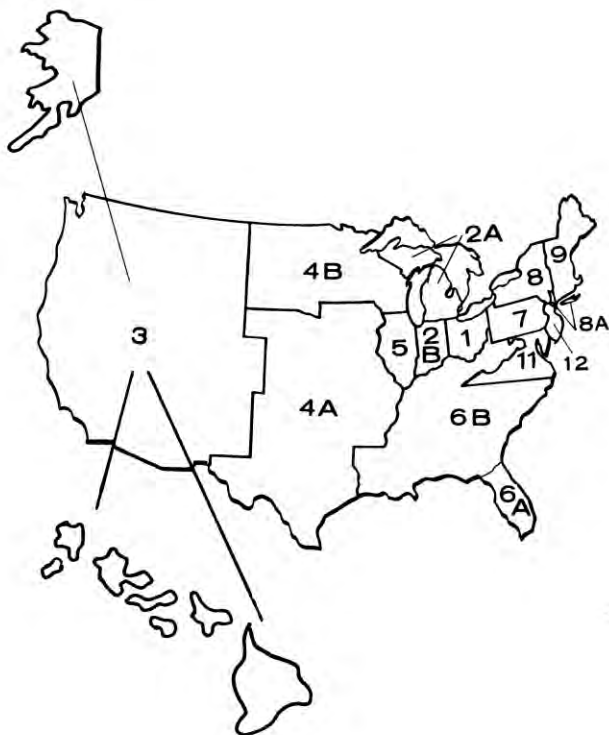
Secretary

Sally Stauffer, Columbus, OH

Counsel

Donald C. Brey, Columbus, OH

GEOGRAPHIC DISTRICTS UNITED STATES



THE UNITED STATES TROTTING ASSOCIATION

DIRECTORS

All terms expire at the USTA annual board of directors meeting in the year indicated.

District 1—Ohio

Richard Brandt, Jr., Chairman, Logan OH (E)	(2020)
Dan Ater, Clarksburg, OH	(2020)
Dave Bianconi, Northfield, OH (E)(T)	(2020)
Stacy C. Cahill, Grove City, OH (T)	(2022)
Donald (Skip) W. Hoovler, Pataskala, OH	(2021)
Mark J. Loewe, Kent, OH (T)	(2022)
Steven J. McCoy, Columbus, OH	(2021)
Dr. John C. Mossbarger, Bloomingburg, OH	(2021)

District 2—Michigan 2A, Indiana 2B

Marilyn Breuer-Bertera, Chair, Northville, MI (E)	(2022)
Jay D. Cross, Middlebury, IN	(2021)
Sam Hedington, Claypool, IN	(2021)
Stephen E. Oldford, Port Huron, MI	(2021)
Scott J. Peine, Anderson, IN (T)	(2021)
Patrick M. (Mike) Sweeney, Davison, MI	(2020)

District 3—Alaska, Arizona, California, Colorado, Hawaii, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington and Wyoming

Ivan L. Axelrod, Chairman, Tarzana, CA (E)	(2022)
Ben R. Kenney, Sacramento, CA (T)	(2020)
David Siegel, Palo Alto, CA (E)	(2021)

District 4—Arkansas 4A, Iowa 4A, Kansas 4A, Missouri 4A, Nebraska 4A, Oklahoma 4A, Texas 4A, Minnesota 4B, North Dakota 4B, South Dakota 4B and Wisconsin 4B

Gabe J. Wand, Chairman, Dodgeville, WI (E)	(2022)
Bruce Alexander, Westfield, WI	(2021)
Royal Roland, Grinnell, IA	(2022)

District 5—Illinois

Sam Lilly, Chairman, Downers Grove, IL (E)	(2020)
Casey Leonard, Harvard, IL	(2021)
James Miller, Lockport, IL (T)	(2020)
James J. Reynolds, Watseka, IL	(2020)

District 6—Florida 6A, Alabama 6B, Georgia 6B, Kentucky 6B, Louisiana 6B, Mississippi 6B, North Carolina 6B, South Carolina 6B, Tennessee 6B and West Virginia 6B

Joseph Pennacchio, Chairman, Delray Beach, FL (E)	(2022)
Christopher Antonacci, New York, NY (T)	(2021)
Joe Frasure, Jr., Pompano Beach, FL (T)	(2020)
Jerry M. Haws, Wilmore, KY	(2021)
Dein Spriggs, Jupiter, FL	(2021)

District 7—Pennsylvania

Samuel A. Beegle, Chairman, East Earl, PA (E)	(2022)
Barry Brown, Chester, PA (T)	(2020)
Richard D. Gillock, Belle Vernon, PA.....	(2020)
Tom Leasure, Eighty Four, PA (T).....	(2020)
Russell C. Williams, Hanover, PA (E).....	(2021)

District 8—New York (as identified by Article II of the Bylaws)

Michael Kane, Chairman, Batavia, NY (T)	(2020)
Kim L. Crawford, Stillwater, NY	(2022)
Mark Ford, Slate Hill, NY	(2021)
John Matarazzo, Saratoga, NY (T) (E)	(2020)
Ray Schnittker, Middletown, NY	(2022)
Jason Settlemoir, Cream Ridge, NJ (T)	(2020)
Bruce Tubin, Hamburg, NY.....	(2021)

District 8A—New York (as identified by Article II of the Bylaws)

Joseph A. Faraldo, Chairman, Kew Gardens, NY (E)	(2022)
Robert C. Haughton, Yonkers, NY (T)	(2021)
Michael P. Kimelman, New York, NY	(2021)
Timothy J. Rooney, Jr., Yonkers, NY (T)	(2020)
Jordan D. Stratton, Middletown, NY	(2021)

District 9—Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island and Vermont

Don G. Marean, Chairman, Standish, ME (E)	(2022)
Lenny Calderone, Coventry, RI (T)	(2022)
George G. Ducharme, Norfolk, MA.....	(2021)
Stephen K. O'Toole, Clinton, MA (T) (E).....	(2021)
Dr. Timothy C. Powers, Pittsfield, ME	(2020)

District 11—Delaware, District of Columbia, Maryland and Virginia

E. Dan Bittle, Chairman, Frederick, MD	(2021)
Corey Callahan, Middletown, DE	(2021)
John Hensley, Jr., Dover, DE (T) (E)	(2020)
Russell J. MacKinnon, Dagsboro, DE.....	(2022)

District 12—New Jersey

John R. Brennan, Chairman, Little Ferry, NJ (E)	(2022)
Jeff Gregory, East Windsor, NJ	(2021)
Jacque Ingrassia, Allentown, NJ.....	(2022)
Peter Koch, Neptune, NJ (T)	(2021)
Christopher McErlean, Hummelstown, PA (T)	(2020)

(T) - Track Elected Director (E) - Executive Committee

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