



**U S T A**

**US Trotting Association**

**2003**

**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 or Provincial 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 or Provincial Regulatory Bodies which promulgate and enforce their own rules.

A list of the various State and Provincial Racing Commissions is included in the Appendix of this book, and the reader is invited to contact either USTA, or the appropriate State or Provincial Racing Commission, if there are any questions concerning the rules applicable to race meetings in a particular State or Province.

## **CHAPTER ONE**

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**RULES AND REGULATIONS**  
**OF**  
**The United States Trotting**  
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**2001**

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**RULES AND REGULATIONS  
OF  
THE UNITED STATES TROTTING ASSOCIATION**

**RULE 1.—MANDATE**

Section 1. 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 United States Trotting Association which shall apply to and govern the registration of standardbred horses and the conduct of racing at non-parimutuel member tracks. 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. 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 Commission, 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.

§ 2. In the event there is a conflict between the rules of The United States Trotting Association and the rules or conditions promulgated by any of its members, the rules of The United States Trotting Association shall govern.

§ 3. In the event that U.S.T.A. 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 commission determines that such person fully meets its requirements and licenses such person to participate at meetings under the jurisdiction of such commission, U.S.T.A. 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. Provided further that licenses and/or electronic eligibility issued pursuant to this rule and section shall also be valid at fairs and other meetings within the geographical boundaries of those states whose racing commissions have licensed said individual.

§ 4. Beginning January 1, 1998, other provisions of these rules notwithstanding, residents of Canada, other than those residing in USTA District 10, who are members in good standing and/or duly licensed by the Canadian Trotting Association and/or Canadian Standardbred Horse Society as owners, trainers, drivers or officials shall not be required to obtain USTA membership and/or USTA driver, trainer, or official licenses as a prerequisite for participating in such capacities at USTA member race tracks in the United States and the Maritime Provinces of Canada. The purpose and intent of this rule is to accomplish total reciprocity by lending full faith and credit to memberships and licenses issued by the Canadian Trotting Association and the Canadian Standardbred Horse Society.

**RULE 2.—AUTHORITIES AND TERMS**

Section 1. The term of "President" or "Executive Vice-President" in these Rules refers to the President or Executive Vice-President of The United States Trotting Association. "Board of Review" refers to the Board comprised of the

Directors from the Association District where the matter originated. The term "Association" when used in these rules refers to The United States Trotting Association.

### RULE 3.—VIOLATIONS

Section 1. Any Member of this Association 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 Association, unless otherwise limited in the rules.

The conviction of any Corporate Member of this Association 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 is hereinabove provided.

§ 2. Any attempt to violate any of the Rules and Regulations of this Association falling short of actual accomplishment, shall constitute an offense, and, upon conviction, shall be punishable as hereinabove provided.

### RULE 4.—DEFINITIONS.

Section 1. **Added Money Early Closing Event.**—An event closing in the same year in which it is to be contested in which all entrance and declaration fees received are added to the purse.

§ 2. **Age, How Reckoned.**—The age of a horse shall be reckoned from the first day of January of the year of foaling, except that for foals born in November and December of any year in which case the age shall be reckoned from January 1 of the succeeding year effective November 1, 1970 and thereafter. Provided further that for foals foaled after December 31, 1980, the exception for foals of November and December shall not apply.

§ 3. **Appeal.**—A request for the Board of Review to investigate, consider, and review any decisions or rulings of Judges or officials of a non parimutuel meeting. The appeal may deal with placings, penalties, interpretations of the rules or other questions dealing with conduct of races.

§ 4. **Claiming Race.**—One in which any horse starting therein may be claimed for a designated amount in conformance with the rules.

§ 5. **Classified Race.**—A race regardless of the eligibility of horses, entries being selected on the basis of ability or performance.

§ 6. **Conditioned Race.**—An overnight event to which eligibility is determined according to specified qualifications. Such qualifications may be based upon, among other things;

(a) Horses' money winnings in a specified number of previous races or during a specified previous time.

(b) A horse's finishing position in a specified number of previous races or during a specified period of time.

(c) Age.

(d) Sex.

(e) Number of starts during a specified period of time.

(f) Special qualifications for foreign horses that do not have a representative number of starts in the United States or Canada.

(g) Or any one or more combinations of the qualifications herein listed.

(h) Except for USTA sanctioned Standardbred Driving Club races, the use of records or time bars as a condition is prohibited.



§ 7. **Dash.**—A race decided in a single trial. Dashes may be given in a series of two or three governed by one entry fee for the series, in which event a horse must start in all dashes. Positions may be drawn for each dash. The number of premiums awarded shall not exceed the number of starters in the dash.

§ 8. **Declaration.**—A declaration is the naming of a particular horse to a particular race as a starter.

§ 9. **Declarations, When Taken.**—Except where the conditions provide otherwise declarations shall be taken not more than three days in advance for all races except those for which qualifying races are provided.

§ 10. **Disqualification.**—It shall be construed to mean that the person disqualified is debarred from acting as an official or from starting or driving a horse in a race, or in the case of a disqualified horse, it shall not be allowed to start.

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

§ 12. **Elimination Heats or Two Divisions.**—Heats of a race split according to Rule 13, Sections 2 and 3, to qualify the contestants for a final heat.

§ 13. **Coupled Entry.**—Two or more horses starting in a race when owned or trained by the same person, or trained in the same stable or by the same management.

§ 14. **Expulsion.**—Whenever the penalty of expulsion is prescribed in these rules, it shall be construed to mean unconditional exclusion and disqualification from any participation, either directly or indirectly, in the privileges and uses of the course and grounds of a member.

§ 15. **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 ten days duration with pari-mutuel wagering.

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

§ 17. **Guaranteed Stake.**—Same as a stake, with a guarantee by the party opening it that the sum shall not be less than the amount named.

§ 18. **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.

§ 19. **Heat.**—A single trial in a race two in three, or three heat plan.

§ 20. **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, Section 37 and Rule 18, Section 25 of these rules.

§ 21. **Late Closing Race.**—A race for a fixed amount to which entries close less than six weeks and more than three days before the race is to be contested.

§ 22. **Length of Race and Number of Heats.**—Races or dashes shall be given at a stated distance in units not shorter than a sixteenth of a mile. The length of a race and the number of heats shall be stated in the conditions. If no distance or number of heats are specified all races shall be a single mile dash except at fairs and meetings of a duration of 10 days or less, where the race will be conducted in two dashes at one mile distance.

§ 23. **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. Races or purse money awarded to a horse after the “official sign” has been posted shall not be considered winning performance or affect status as a maiden. Provided however, that effective with races conducted after June 1, 1997, other provisions of these rules notwithstanding, races and/or purse money awarded to a horse after the “Official Sign” has been posted shall be considered winning performance and effect status as a maiden, and in such cases a 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, Section 4 herein.

§ 24. **Match Race.**—A race which has been arranged and the conditions thereof agreed upon between the contestants.

§ 25. **Matinee Race.**—A race where an entrance fee may be charged and where the premiums, if any, are other than money. Performance in a matinee race shall not be considered an official start.

§ 26. **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 of 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.

§ 27. **Overnight Event.**—A race for which declarations close not more than three days (omitting Sundays) or less than one 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.

§ 28. **Protest.**—An objection, properly sworn to, charging that a horse is ineligible to a race, alleging improper entry or declaration, or citing any act of an owner, driver, or official prohibited by the rules, and which, if true, should exclude the horse or driver from the race.

§ 29. **Record.**—The fastest time made by a horse in a heat or dash which he won. A Standard Record is a record of 2:20 or faster for two-year-olds and 2:15 or faster for all other ages.

§ 30. **Stake.**—A race which will be contested in a year subsequent to its closing in which the money given by the track conducting the same is added to the money contributed by the nominators, all of which except deductions for the cost of promotion, breeders or nominators awards belongs to the winner or winners. In any event, except as provided in Rule 11, Section 7, all of the money contributed in nominating, sustaining, and starting payments must be paid to the winner or winners.

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

§ 32. **Two-Year-Olds.**—No two-year-old shall be permitted to start in a dash or heat 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 member track to a fine of not less than \$25.00 and the winnings of such two-year-old shall be declared unlawful.

§ 33. **Walk Over.**—When only horses in the same interest start, 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.

§ 34. **Winner.**—The horse whose nose reaches the wire first. If there is a dead heat for first, both horses shall be considered winners. Where two horses are tied in the summary, the winner of the longer dash or heat shall be entitled to the trophy. Where the dashes or heats are of the same distance and the horses are tied in the summary, the winner of the faster dash or heat shall be entitled to the trophy. Where the dashes or heats are of the same distance and the horses are tied in the summary and the time, both horses shall be considered the winners.

§ 35. **Wire.**—The wire is a real or imaginary line from the center of the judges' stand to a point immediately across, and at right angles to the track.

§ 36. **Contract Track.**—A pari-mutuel track, not a member of this Association, which receives data and services pursuant to Article VII, Section 7 (c) of the Association's Bylaws.

§ 37. **Sulky Defined.**—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. Provided however, effective September 1, 1994, the provisions of U.S.T.A. Rule 18, Section 25 shall govern.

§ 38. **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 the original official placings by the judges may be changed or revised by the judges, or other Review Board due to an appeal, protest, positive test or other finding.

## **RULE 5.—TRACK MEMBERS.**

Section 1. Whenever races are conducted each member track and contract track shall display its certificate of membership or contract with U.S.T.A. for the current year and specified dates.

§ 2. **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 and no obstruction shall be permitted upon the track, or the centerfield which shall obscure the officials' vision of any portion of the track during the race. Any violation of this section shall subject the member to a fine not exceeding \$500 and immediate suspension from membership by the President or Executive Vice-President, subject to appeal.

§ 3. **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. 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. Provided further that 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.

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

§ 5. **Time to File Claims for Unpaid Purses.**—Unless claims for unpaid premiums shall be filed with this Association within sixty days after the date the race is contested the Association may release any performance bond that had been required.

§ 6. 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 members as if the race had been offered by the track member.

§ 7. **Dishonored Checks.**—Any track member who shall pay any purse, or charges due The United States Trotting Association, 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.

§ 8. **Minimum Advertised Purse or Schedule of Purses.**—When any member track advertises minimum purses or purses for a class and conducts any race for that class for less than said advertised minimum or class purse, such track member shall be fined by the Executive Vice-President that difference between the advertised minimum or advertised purse and the lesser purse for which such race was conducted unless there is a contract with a horseman's association concerning purse distributions.

§ 9. **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.

§ 10. **Awards by Race Tracks.**—Except as herein stated, no member track in the United States shall advertise to pay or pay any awards other than to the Owners, Nominators, or Breeders of money winning horses. Awards may be made to drivers of horses breaking or equaling track or world records, or to leading drivers at meetings. Provided further that where the advertised conditions of a race or a series of races so stipulate, awards may be made or bonuses paid to trainers and/or grooms of winning horses.

§ 11. **Paddock Rules.**—Every extended pari-mutuel track shall:

(1) Provide a paddock or receiving barn.

(2) 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.

(3) Horses must be in the paddock at the time prescribed by the Presiding Judge, but in any event at least one 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.

(4) Persons entitled to admission to the paddock:

(a) Owners of horses competing on the date of the race.

(b) Trainers of horses competing on the date of the race.

(c) Drivers of horses competing on the date of the race.

(d) Grooms and caretakers of horses competing on the date of the race.

(e) Officials whose duties require their presence in the paddock or receiving barn.

- (f) Any person or persons (not more than two) approved by the Presiding Judge and Track Member who is a guest of an owner of a horse competing that day.

(5) No driver, trainer, groom, or caretaker, once admitted to the paddock or receiving barn, shall leave the same other than to warm up said horse until such race, or races, for which he/she was admitted is contested except with the permission of the presiding judge.

(6) No person except an owner, who has another horse racing in a later race, or an official, shall return to the paddock until all races of that program shall have been completed except with the permission of the presiding judge.

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

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

(9) Each track shall see that the provisions of this rule are rigidly enforced and a fine not to exceed \$500.00 for each violation of this rule may be imposed.

§ 12. **Photo Finish, Head Numbers—Starting Gate.**—At all member tracks where pari-mutuel wagering is allowed, a photo finish, head numbers, and starting gate must be used. At all extended pari-mutuel meetings, the member must provide for a back-up starting gate as well. Whenever the Judges use a photo to determine the order of finish, it shall be posted for public inspection. 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. 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.

§ 13. **Payment of Dues.**—If a track member fails to pay the dues prescribed by the Bylaws of the Association within thirty (30) days of notice of the amount due, the member together with its officers and directors may be suspended from membership in the Association.

§ 14. **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.

§ 15. **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.

§ 16. **Breath Analyzer Requirements.**—(a) **For Extended Pari-Mutuel Tracks.** Every extended pari-mutuel track shall be equipped with a breath analyzer device and all Drivers, Judges, Starters, drivers of the starting gate and

Marshals shall be required to submit to a breath analyzer 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 .05 percent of alcohol in the blood, such driver shall not be permitted to drive and an investigation will be started to determine if there has been a violation of Rule 17, Section 7 (c). In the case of Judges, Starters, drivers of the starting gate and Marshals, if the result of a breath analyzer test results in a reading of more than .05 percent of alcohol in the blood, that individual shall be relieved of his duties for that program and a report shall be made to the respective State Racing Commissions and the U.S.T.A. for appropriate action.

(b) **For Other Than Extended Pari-Mutuel Meetings.** Drivers, Judges, Starters, drivers of the starting gate and Marshals shall submit to a breath analyzer test when requested by the Presiding Judge or an authorized agent of this Association. The results of the test will be governed by the provisions of the preceding paragraph.

§ 17. The personal use of any illegal drug, medicant, stimulant, depressant, narcotic or hypnotic is prohibited. At all member tracks any individual may be required to submit to a urine and/or blood sample or to any other recognized detection test relative to the detection of the above.

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

§ 19. **Warming Up Horses.**—At all member tracks the Presiding Judge shall be responsible to see that wherever possible, a minimum period of two hours is allocated for the warming up of horses immediately preceding the beginning of each racing program.

§ 20. **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.

§ 21. Effective September 1, 1987, every extended pari-mutuel track shall be equipped with a system of beacon style warning lights for use in the event of an accident.

§ 22. Effective January 1, 1994, the saddle pads in use at member tracks conducting extended pari-mutuel meetings shall be standardized consistent with a format to be established by U.S.T.A.

## **RULE 6.—RACE OFFICIALS.**

Section 1. **Officials Required.**—In every race over the track of a member, the Manager shall appoint or authorize the appointment of three persons familiar with the rules to act as Judges, one of whom shall be designated as Presiding Judge, who shall be in charge of the stand. He shall also appoint a licensed Starter, three Timers, and a competent person to act as Clerk of the Course.

At all matinees there shall be at least one licensed official in the Judges’

stand. Provided, however, that at all meetings where races are charted the track member shall provide both a licensed Charter and a licensed Clerk of the Course.

§ 2. No officials license shall be granted to any person not in membership with this Association.

§ 3. Any member or contract track permitting an unlicensed person to officiate when a license is required shall be fined not exceeding \$100 for each day such unlicensed person officiates. Any member officiating without being licensed as required by these rules or acting as an official at any track not in membership or contract with U.S.T.A. or the Canadian Trotting Association, shall be fined not exceeding \$100 for each day he acts as such an official. At a track in contract with U.S.T.A., the person who handles U.S.T.A. forms or certificates submitted by U.S.T.A. members must be licensed by U.S.T.A. and the person who enters data regarding U.S.T.A. registered horses on U.S.T.A. forms or certificates must be licensed by U.S.T.A. U.S.T.A. shall have the authority to inspect and to examine the use and handling of U.S.T.A. documents and to observe the conduct of the meet during race meetings at all member and contract tracks.

§ 4. **Officials at Extended Meetings.**—No Presiding Judge, Associate Judge, Starter or Race Secretary shall be qualified to serve as such at an extended pari-mutuel harness race meeting or a grand circuit meeting without a license valid for pari-mutuel meetings or grand circuit meetings. A Patrol Judge, Clerk of Course, Identifier or Paddock Judge who serves at an extended pari-mutuel meeting or at pari-mutuel meetings totaling more than ten days during a race season must have a license valid for pari-mutuel meetings. Starters, Presiding Judges and Race Secretaries holding pari-mutuel licenses are authorized to officiate at all meetings, and Associate Judges holding pari-mutuel licenses are authorized to serve as Presiding Judges at pari-mutuel meetings of ten days or less and at non pari-mutuel meetings. No person shall be licensed as an Associate Judge for any pari-mutuel meeting in the United States unless he is a member of the U.S.T.A. The Executive Vice-President may permit an exchange of license in the various capacities above, upon proper application. The fee for each such license shall be \$40.00 for all categories with the exception of the Identifier, Patrol Judge and Clerk of the Course which shall be \$15.00 and the Paddock Judge and Program Director which shall be \$25.00, which fees shall be in addition to the fees for active membership in this Association. The applicant for such license must satisfy the Executive Vice-President that he 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, and knowledge of the rules and of the duties of a racing official. No official acting as Judge at a pari-mutuel meeting shall serve as a Race Secretary or Clerk of the Course at such meeting. 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. Any refusal to grant this license to a person who had been so licensed in the past may be reviewed by the Board of Appeals as provided in Article IX of the Bylaws.

§ 5. **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. In event of such disqualifica-

tion the management shall be notified by the disqualified person and shall appoint a substitute. Any person who violates this restriction shall be fined, suspended or expelled.

§ 6. **Suspension or Revocation of Official's License.**—An official may be fined, suspended, or his license may be revoked or denied at any time by the President or Executive Vice-President for incompetence, failure to follow or enforce the rules, or any conduct detrimental to the sport including drinking within 4 hours prior to the time he starts work as an official. Such license may be reinstated by the President or Executive Vice-President in his discretion upon such terms as he may prescribe. Any revocation or suspension of license hereunder may be reviewed by the Board of Appeals as provided in Article IX of the Bylaws.

§ 7. **Ban on Owning or Dealing in Horses.**—No employee of any pari-mutuel track whose duties include the classification of horses shall directly or indirectly be the owner of any horse racing at such meeting, nor shall he participate financially, directly or indirectly in the purchase or sale of any horse racing at such meeting. Any person violating this rule shall be suspended by the Executive Vice-President.

§ 8. **Judges' Stand Occupants.**—None but the Judges, the Clerk of Course, the Secretary, Starter and Timers, Official Announcer, and Officers, Officials, and Directors of this Association, and the State Racing Commission having jurisdiction shall be allowed in the Judges' stand during a race. Any association violating this rule shall be fined not to exceed \$100.

§ 9. **Improper Acts by an Official.**—If any person acting as Judge or an official shall be guilty of using insulting language to an owner, driver, or other person, or be guilty of other improper conduct, he shall be fined not exceeding \$500, or be expelled.

§ 10. **Presiding Judge.**—No person shall act as Presiding Judge where purses are raced for unless he is a member of and holds a license for the current year from this Association.

A Presiding Judge's license shall be issued by the Executive Vice-President upon payment of an annual fee of \$45.00 (\$17.00 for other than extended pari-mutuel meetings), which fee shall be in addition to the fee for active membership in this Association, when the applicant therefor has established that his character and reputation, knowledge of the rules, harness horse experience, temperament and qualifications to perform the duties required are satisfactory.

(a) The Presiding Judge shall have supervision over:

- |                      |                    |
|----------------------|--------------------|
| 1) Associate Judges  | 5) Clerk of Course |
| 2) Patrol Judge      | 6) Timers          |
| 3) Paddock Judge     | 7) Identifier      |
| 4) Finish Wire Judge | 8) Starter         |

(b) Shall examine the official track license issued by the Association and if the license is not produced shall make public announcement that the meeting shall not proceed.

(c) Notify owners and drivers of penalties imposed.

(d) Report in writing to the Executive Vice-President violations of the rules by a member, its officers or race officials giving detailed information.



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(e) Make such other reports as required by the Executive Vice-President.

(f) Sign each sheet of the judges' book verifying the correctness of the information contained therein and at all meetings be responsible for forwarding the judges' sheets to the U.S.T.A. no later than the day following the contesting of the race.

(g) Be responsible for the maintenance of the records of the meeting and the forwarding thereof to The United States Trotting Association except in cases of a contract track in which the contract provides otherwise.

(h) It shall be the responsibility of the Presiding Judge or his designee to fill out the requisite form evaluating each drive made by a qualifying or provisional driver and, when requested, forward such written evaluation to the Association.

Services of the Presiding Judge shall be paid for by the track employing him and he shall not act as a Starter, announcer or an officer at any meeting at which he officiates as Presiding Judge.

Failure of the Presiding Judge to see that the rules of the Association and the rules of any Racing Commission are complied with may be grounds for revocation and may be grounds for denial of a license for the subsequent year.

§ 11. The Judges shall have authority while presiding 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 shall develop. A reversal or change of decision after the official placing at the conclusion of the heat or dash shall not affect the distribution of betting pools made upon such official placing. When pools and bets are declared off for fraud, the guilty parties shall be fined, suspended or expelled.

(e) Control the horses, drivers, and assistants and punish by a fine not exceeding \$100.00 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 or members of punishment prescribed in the rules, but the same shall be strictly enforced. 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.

(f) Examine under oath 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 as provided in (e) above.

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

§ 12. 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 may race unless he had 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, Section 1, whether or not complaint has been made by the driver.

(c) Investigate any act of cruelty seen by them or reported to them, by any member 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 member not to exceed \$500.00 and submit a written report within ten 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 member whether on or off the premises of any racetrack.

(d) Immediately thereafter or on the day of the race 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 Association 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 inflict 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.

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 this Association. The Executive Vice-President may impose a penalty not to exceed 10 days without a hearing based upon the report of the Judges. No penalty in excess of 10 days shall be imposed before a hearing is granted.

It shall be the duty of the Judges to submit in writing, a complete list of all witnesses questioned by them at any hearing, which list of witnesses, along with the testimony of such witnesses, shall be forwarded to the Executive Vice-President along with the reports required in Rule 6, Section 10.

The testimony of all witnesses questioned by the Judges shall be recorded by one of the following methods: written, signed statements, tape recorders or court reporter's transcript. At all extended pari-mutuel tracks Judges shall use tape recorders to record their hearings.

No decision shall be made by the Judges in such cases until all of the witnesses called by the Judges and the person so required to appear before the Judges have given their testimony. 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 wording of the rule violated.

(g) It shall be the duty of the Judges to declare a dash or heat of a race no contest in the event the track is thrown into darkness during the progress of a race by failure of electricity.

§ 13. It shall be the procedure of the Judges to:

(a) Be in the stand fifteen minutes before the first race and remain in the stand for ten minutes after the last race, and 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) Designate one of their members to lock the pari-mutuel machines immediately upon the horses reaching the official starting point. The Presiding Judge shall designate the post time for each race and the horses will be called at such time as to preclude excessive delay after the completion of two scores.

(d) Be in communication with the Patrol Judges, by use of patrol phones, 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 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.

(e) 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 and the horse or horses involved. As soon as the Judges have made a decision, the objection 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.

(f) 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. After the photo has been examined and a decision made, a copy or copies shall be made, checked by the Presiding Judge, and posted for public inspection.

§ 14. **Patrol Judges.**—At the discretion of the Judges, patrol may be appointed by the member, but such patrols shall be approved by the Presiding Judge and work under his direction. At extended pari-mutuel meetings and at other meetings conducting one or more races with a purse value of \$5,000 or over, at least two (2) Patrol Judges shall be employed. It shall be their duty to phone or repair to the Judges' stand and report all fouls and improper conduct. The result of a heat or dash shall not be announced until sufficient time has elapsed to receive the reports of the patrols. Where there is a Patrol car, only one Patrol Judge shall be required.

§ 15. **Emergency Appointment of Official.**—If any licensed official is absent or incapacitated, the member or director, or officer of the association, may appoint a substitute at such meeting, or until another licensed official can

be procured. If such official acts for more than three days, he shall apply for a license in that capacity. Notice of any temporary appointment shall be wired immediately to the main office of this Association. This power may only be used in case of unavoidable emergencies. Any Director of this Association, in an emergency, may exercise any or all of the functions of any official or licensee.

§ 16. **Starter.**—No person shall be permitted to start horses on a track in membership with this Association unless he holds a Starter's license for the current year. Upon sufficient information as to good character, knowledge of these rules and ability to do the work, a license to start horses may be issued by the Executive Vice-President upon payment of an annual fee of \$45.00 (\$17.00 for other than extended pari-mutuel meetings), which fee shall be in addition to the fee for active membership in this Association.

§ 17. The Starter shall be in the stand or starting gate fifteen minutes before the first race. The Starter, prior to starting any race at a meeting, shall examine the official track license issued by this Association and in the event the same is not produced, shall make public announcement that the meeting shall not proceed. He 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. He may assist in placing the horses when requested by the Judges to do so. He shall notify the Judges and the drivers of penalties imposed by him. He shall report violations of the rules by a member or its officers, giving detailed information. His services shall be paid for by the member employing him. An Assistant Starter may be employed when an association deems it necessary. At all meetings at which the premiums do not exceed three thousand dollars, the Starter may also act as an Associate Judge.

§ 18. **Clerk of the Course.**—Under the direction and supervision of the Presiding Judge, the Clerk of the Course shall have the following duties and responsibilities:

- (a) Keep the Judges' Book provided by the U.S.T.A. and record therein the following information:
  - (1) The date and place of the race.
  - (2) Total purse and money division.
  - (3) Track condition and temperature.
  - (4) Type of race (trot or pace).
  - (5) Classification of race.
  - (6) Distance.
  - (7) Number of starters.
  - (8) Names of horses and electronic eligibility numbers.
  - (9) Names of drivers and driver license numbers, and names of trainers, trainers license numbers and stable names.
  - (10) Names and addresses of owners.
  - (11) Official order of finish.
  - (12) Money won by each horse.
  - (13) The fractional times of the leading horse including the race time.
  - (14) In claiming races the price for which the horse is entered to be claimed less allowances for age and sex.
  - (15) The standard symbols for breaks, park outs and free legged pacers where applicable.

- (16) Notations of placings, disqualifications and claimed horses.
- (17) Notations of scratched or ruled out horses.
- (18) The following information when the races are charted:
  - (a) The horse's post position, position at the quarter, half, three quarters, head of the stretch with lengths behind the leader and finish with lengths behind the leader.
  - (b) The individual time of each horse.
  - (c) Closing dollar odds where applicable.

- (b) Verify the correctness of the Judges' Book and see that it is properly signed.
- (c) Notify owners and drivers of penalties assessed by the officials.
- (d) Upon request, may assist Judges in placing horses.
- (e) Upon request, may assist in drawing post positions.

Failure to comply with any part of this rule and/or to make the aforementioned entries in a legible, clear and accurate fashion may subject the Clerk of the Course and/or the member track to a fine not to exceed \$50 for each violation. The annual fee for a Clerk's license limited to fairs or other non-extended meeting shall be \$11.00.

§ 19. **Timers.**—At each race there shall be three Timers in the Judges' or Timers' stand except when an electric timing device approved by the Executive Vice-President of the Association is used, in which event there shall be one Timer. The chief timer shall sign the Judges' Book for each race verifying the correctness of the record. All times shall be announced and recorded in fifths of seconds. An approved electronic or electric timing device must be used where horses are started from a chute.

The Timers shall be in the stand fifteen minutes before the first heat or dash 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 leading horse at the quarter, half, three-quarters, and the finish shall be taken. If odd distances are raced the fractions shall be noted accordingly.

§ 20. **Paddock Judge.**—Under the direction and supervision of the Presiding Judge, the Paddock Judge will have complete charge of all paddock activities as outlined in Rule 5, Section 10. The Paddock Judge is responsible for:

- (a) Getting the fields on the track for post parades in accordance with the schedule given to him by the Presiding Judge.
- (b) Inspection of horses for changes in equipment, broken or faulty equipment, head numbers or saddle pads.
- (c) Supervision of paddock gate men.
- (d) Proper check in and check out of horses and drivers. Check the identification of all horses coming into the Paddock including the tattoo or freeze brand number.
- (e) Direction of the activities of the paddock blacksmith.
- (f) The Paddock Judge will immediately notify the Presiding Judge of anything that could in any way change, delay or otherwise affect the racing program.

The Paddock Judge will report any cruelty to any horse that he observes to the Presiding Judge.

- (g) The Paddock Judge shall see that only properly authorized persons are

permitted in the paddock and any violation of this rule may result in a fine, suspension or expulsion.

§ 21. **Program Director.**—Each extended pari-mutuel track shall designate a Program Director.

(a) It shall be the responsibility of the Program Director to furnish the public complete and accurate past performance information as required by Rule 7, Section 2.

(b) No person shall act as a Program Director at an extended pari-mutuel meeting unless he has secured a license from this Association. A license may be granted to any person who, by reason of his knowledge, experience and industry, is capable of furnishing accurate and complete past performance information to the general public.

(c) The annual fee for such license shall be \$28.00, which fee shall be in addition to the fee for active membership in this Association.

§ 22. **Duties of Patrol Judges.**—The Patrol Judges shall observe all activity on the race track in their area at all times during the racing program. They shall immediately report to the Presiding Judge:

(a) Any action on the track which could improperly affect the result of a race.

(b) Every violation of the racing rules.

(c) Every violation of the rules of decorum.

(d) The lameness or unfitness of any horse.

(e) Any lack of proper racing equipment.

The Patrol Judges shall, furthermore:

(a) 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.

(b) Submit individual daily reports of their observations of the racing to the Presiding Judge.

(c) When directed by the Presiding Judge shall attend hearings or inquiries on violations and testify thereat under oath.

§ 23. **Licensed Charter.**—The charting of races shall be done only by a licensed charter and he shall be responsible for providing a complete and accurate chart. A license may be granted only to a person who has the knowledge, training and industry to accomplish this. The annual fee for such a license shall be \$17.00, which fee is in addition to the fee for active membership in this Association.

An accurate chart shall include the following:

(1) Horse's name.

(2) Driver's name.

(3) Date and place of race.

(4) Size of track if other than a half-mile track.

(5) Track condition and temperature.

(6) Type of race (trot or pace).

(7) Classification of race.

(8) Distance.

(9) The fractional times of the leading horse, including the race time.

(10) Post position, position at the quarter, half, three quarters, 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 favorite designated by an asterisk).

(14) The standard symbols for breaks, park outs and free legged pacers 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 less allowances for age and sex.

(17) Notations of placings, disqualifications and claimed horses.

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 Charter and/or track member to a fine not to exceed \$50.00 for each violation.

§ 24. **Mandatory Charting.**—At all extended pari-mutuel meetings and Grand Circuit Meetings the charting of races is mandatory and the track shall employ a licensed Charter to fulfill the requirements of this section.

§ 25. **Identifier.**—At all extended pari-mutuel meetings the track member shall employ an identifier licensed by this Association, whose duty it shall be to check the identification of all horses coming into the paddock, to include the tattoo or freeze brand number, color, and any markings. The identifier shall be under the immediate supervision of the Paddock Judge and the general supervision of the Presiding Judge. Any discrepancy detected in the tattoo number, color, or markings of a horse shall be reported immediately to the Paddock Judge, who shall in turn report same forthwith to the Presiding Judge.

§ 26. The Association shall review the credentials of licensed officials when called upon to do so by at least two directors of the Association, one of whom shall be from the District in which the official resides.

## **RULE 7.—HORSE IDENTIFICATION AND PROGRAM INFORMATION**

Section 1. **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 this Association. Persons violating this rule may be fined, suspended or expelled.

§ 2. **Program Information.**—A 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.

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

(f) In claiming races the price for which the horse is entered to be claimed, less allowances for age and sex, must be indicated.

(g) At least the last six (6) performance and accurate chart lines. [See Rule 14, Section 2, Sub-Section (d)]. An accurate chart line shall include: Date of race, place, size of track if other than a half-mile track, symbol for free-legged pacers, track condition, type of race, distance, the fractional times of the leading horse including race time, post position, position at one quarter, one half, three quarters, stretch with lengths behind leader, finish with lengths behind 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.

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

(i) Indicate pacers that are racing without hobbles.

(j) 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.

(k) The name of the trainer and stable.

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

(m) At Fair and other non-extended meetings where pari-mutuel wagering is permitted the printed program shall contain at least a current summary on each horse to include the number of starts, firsts, seconds and thirds in the current year and also the earnings and best winning time for the current year.

(n) Wherever a horse races under permissive medication, that fact shall be recorded on the horse's eligibility certificate and Judges' Sheet for the race, 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.

§ 3. **Failure to Furnish Reliable Program Information** may subject the track and/or Program Director to a fine not to exceed \$500.00 and/or the track and/or the Program Director may be suspended until arrangements are made to provide reliable program information.

§ 4. **Inaccurate Information.**—Owners, drivers, 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.

§ 5. **Check on Identity of Horse.**—Any track official, officer of this Association, or owner, trainer, or driver of any horse declared in to race wherein the question arises may call for information concerning the identity and eligibility of any horse on the grounds of a member, and may demand an opportunity to examine such horse or his eligibility certificate 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, and suspended or expelled by the President or Executive Vice-President.

§ 6. **False Chart Lines.**—Any official, clerk, 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. **Tattoo/Freeze Brand Requirements.**—No horse that has not been tattooed or freeze branded as authorized by this Association 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. Any person refusing to allow a horse to be tattooed/freeze branded by a U.S.T.A. 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 Grand Circuit 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, Sections 20 and 25.

§ 8. **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.

## **RULE 8.—RACING, FARM, CORPORATE OR STABLE NAME**

Section 1. Racing, farm, corporate, or stable names may be used by owners or lessees if registered with this Association giving the names of all persons who are interested in the stable or will use the name. The fee for such registration is \$165.00. Except as provided in Rule 9, Sections 3 and 6, all stockholders of a corporation formed after April 1, 1962, and racing a horse, must be members of this Association. The Executive Vice-President shall be notified immediately if additional persons become interested in a registered stable or if some person listed in a registration disassociates himself from the stable. Failure to do so will place the stable in violation of Rule 12, Section 3. Two 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. All owners and persons listed in a registered stable, whether incorporated or not, shall be liable for entry fees and penalties against the registered stable. In the event one of the owners or persons listed in a registered stable is suspended, all the horses shall be included in accordance with Rule 22, Section 6. When a stable name is inactive for a period of 5 years it will be presumed to be abandoned and may be reissued upon proper application.

§ 2. **Signature on Transfers and Other Documents Relating to Racing, Farm, Corporate and Stable Names.**—Only the signature of the corresponding officer of a racing, farm, corporate 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.

Each member of a registered farm, corporate or stable should sign a document designating the name and address of the corresponding officer thereof — for future applications only.

## RULE 9.—ELIGIBILITY AND CLASSIFICATION.

Section 1. **Electronic Eligibility.**—No horse shall be permitted to start in any race at a member track unless a USTA or Standardbred Canada electronic eligibility at the proper gait is obtained.

§ 2. **Fee for Electronic Eligibility.**—Applications for electronic eligibility must state the name and address of the owner and the sex, age and breeding of the horse. Provided however, other provisions of these rules notwithstanding, effective 10/2/00 electronic eligibility shall be issued for the life of the horse and the fee for such lifetime electronic eligibility shall be \$95.00. Provided further, other provisions of these rules not withstanding, traditional paper eligibility certificates shall neither be issued nor required after October 2, 2000, and the fee for lifetime electronic eligibility for a horse not previously issued an eligibility certificate or lifetime electronic eligibility shall be \$95.00. Whenever the words “Eligibility Certificate” are recited within these rules, they shall be construed to mean Electronic Eligibility as of October 2, 2000.

### § 3. **Issuance of Electronic Eligibility.**

(a) **Member.**—Except as otherwise provided in the Bylaws and Rules of the Association, each “beneficial owner” (as such term is defined in Section 6(a) of this Rule 9) of a horse must be a member in good standing of this Association prior to the issuance of electronic eligibility.

(b) **Change in a “Beneficial Owner” During Current Year.**—At extended paramutuel meetings, in the event there is a change in one or more “beneficial owner(s)” (as such term is defined in Section 6(a) of this Rule 9) of a horse after an electronic eligibility has been issued, the current registration certificates of the horse shall be immediately delivered to any licensed official of this Association. 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 “beneficial owners” are members of this Association 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 (20) days after the change of a “beneficial owner” of a horse which is racing will subject each new “beneficial owner” to a fine not to exceed \$100.00

(c) **Leased Horses.**—Any horse on 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 Association. For purposes of issuance of electronic eligibility and/or transfers of ownership, a lease for an indefinite term shall be considered terminable at the will of either party unless extended or reduced to a term certain by written documentation executed by both lessor and lessee.

(d) **Corrections on Electronic Eligibility.**—Corrections on electronic eligibility may be made only by a representative of this Association or a licensed official.

§ 4. **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, track 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.

§ 5. (a) **Registration of Standard and Non-Standard Bred Horses.**—All foals of 1937 and thereafter shall be registered in current ownership either as Standard or Non-Standard.

(b) **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 in a "matinee" as defined in Rule 4, Section 26, or in a race that is exclusively for Amateur or Club drivers as sanctioned by USTA, and no electronic eligibility shall be issued for such a horse except for a performance in such races.

(c) **Bar On Racing of Yearlings.**—No electronic eligibility will be issued on any horse under two years of age.

(d) Except as provided in paragraph (a) of this Section, no eligible certificate will be issued on any horse not registered with this Association.

§ 6. (a) **"Beneficial Owners" To be Listed In Application.**—Each application for the issuance of electronic eligibility shall list the names of all "beneficial owners" of the horse. The term "beneficial owners" as used herein includes: (1) the owner and, in the case of multiple ownership, all co-owners, (2) all shareholders owning five percent (5%) or more of any class of stock and all officers and directors of any corporation which is a "beneficial owner," (3) 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," (4) all lessees of such horse, and (5) all "corresponding officers."

(b) **Names On Electronic Eligibility.**—The names of all such "beneficial owners" shall be listed on the electronic eligibility except that electronic eligibility shall not be issued in the names of more than four (4) persons. In the event five (5) or more names are reported to the Association pursuant to Section 6(a) of this Rule 9 or otherwise, the electronic eligibility shall be issued only in four (4) or fewer racing, farm, corporate or stable names, which names must be registered in accordance with Rule 8.

§ 7. **Eligibility.**—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.

§ 8. **Time Bars Prohibited.**—No time records or bars shall be used as an element of eligibility.

§ 9. **Date When Eligibility Is Determined.**—Horses must be eligible when entries close but winnings on closing date of eligibility shall not be considered.

In mixed races, trotting and pacing, a horse must be eligible to the class at the gait at which it is stated in the entry the horse will perform.

§ 10. **Conflicting Conditions.**—In the event there are conflicting published conditions and neither is withdrawn by the member, the more favorable to the nominator shall govern.

§ 11. **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 two seconds allowance in relation to pacers.

§ 12. **Posting of Overnight Conditions.**—Conditions for overnight events must be posted at least 18 hours before entries close at meetings other than extended pari-mutuel meetings.

At extended pari-mutuel meetings, condition books will be prepared and races may be divided or substituted races may be used only where regularly scheduled races fail to fill, except where they race less than 5 days a week. Such books containing at least three days racing program will be available to horsemen at least 24 hours prior to closing declarations on any race program contained therein.

§ 13. **Types of Races to be Offered.**—In presenting a program of racing, the racing secretary shall use exclusively the following types of races:

1. Stakes and Futurities.
2. Early Closing and Late Closing Events.
3. Conditioned Races.
4. Claiming Races.
5. Preferred races limited to the fastest horses at the meeting. These may be Free-For-All Races, JFA, or Invitationals. 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 in overnight purses during such period and not more than 10 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. 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.

No 2-year-old or 3-year-old will be eligible to be placed on the preferred or invitational list to race against older horses until it has won 7 races unless requested by the owner or authorized agent. The owner or authorized agent may withdraw such request at his discretion.

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.

6. Classified races are permitted when authorized by the State Racing Commission.

§ 14. **Limitation on Conditions.**—Conditions shall not be written in such a way that any horse is deprived of an opportunity to race in normal preference cycle. Where the word “preferred” is used in a condition it shall not supersede date preference. Not more than three also eligible conditions shall be used in writing the conditions for any overnight event.

§ 15. **Dashes and Heats.**—Any dash or any heat shall be considered as a separate race for the purposes of conditioned racing.

§ 16. **Named Races.**—Named races are not permitted except for preferred races for the fastest horses at a meeting as set forth in Section 13 (5) above, and invitational two, three or four-year-old races with a purse at least 15% higher than the highest purse offered for a conditioned race programmed the same racing week.

§ 17. **Selection or Drawing of Horses.**—For all overnight events, starters and also eligibles shall be drawn by lot from those properly declared in, except that a Race Secretary must establish a preference system for races as provided for in Rule 14, Section 5. However, where 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.

§ 18. **Supplemental Purse Payments.**—Supplemental purse payments made by a track 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 effect the current eligibility until officially credited to the horse.

§ 19. **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.

§ 20. **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 a race divided into two divisions 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.

§ 21. **Opportunities to Race.**—A fair and reasonable racing opportunity shall be afforded both trotters and pacers in reasonable proportion from those available and qualified to race. Claiming races may be carded to the proportion of each week’s racing program as the number of claiming authorizations on file with the Racing Secretary bears to the total number of horses on the grounds which are qualified and available for racing.

§ 22. **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.

§ 23. **Definition of “Start”.**—The definition of the word “start” in any type of condition unless specifically so stated will include only those performances in a purse race. Qualifying and matinee races are excluded.

§ 24. **Sandwiching Races.**—Not more than five races may be sandwiched. Provided, however, that where extraordinary circumstances exist, the

Presiding Judge, in the exercise of his sound discretion, may permit the sandwicheing of up to a maximum of seven races.

§ 25. **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) A negative “Coggins Test Certificate” properly identifying the horse by tattoo number issued by an approved laboratory, certifying that within the prior twelve 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.

(b) 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 sub-section (a) above.

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

§ 26. **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.

§ 27. **Duties of 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.

§ 28. **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.

## RULE 10.—CLAIMING RACES.

Section 1. **Persons Eligible to Claim.**—Any current active member of this Association and/or other individual properly licensed to claim by the State Racing Authority having primary jurisdiction over the race meeting, may make a claim for any horse subject to claim at such meeting. 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.

**§ 2. 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 agent shall claim a horse for another person.

(d) No owner shall cause his horse to be claimed directly or indirectly for his 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 Clerk of the Course of the Association 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.

**§ 3. Claiming Procedure.—**

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

(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 to the Stewards prior to receiving proceeds from the claim and the registration shall be immediately forwarded to the USTA registrar for transfer.

(c) **On Program.**—The basic claiming price for which each horse is entered shall be printed on the program, but all claims shall be for the adjusted price after the prescribed allowances made for sex and/or age have been added to the basic price.

(d) **Claim Box.**—All claims shall be in writing, sealed and deposited at least fifteen minutes before the time originally scheduled for the race to begin,

in a locked box provided for this purpose by the Clerk of the Course.

(e) **Opening of Claim Box.**—No official shall open said box or give any information on claims filed until after the race. Immediately after the race, the claim box shall be opened and the claim, if any, examined by the Judges.

(f) **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.

(g) **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.

(h) **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.

(i) **Vesting of Title to Claimed Horse.**—Every horse claimed shall race in all heats or dashes 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 or dash, 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 10, Section 3 (n).

(j) **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.

(k) **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.

(l) **Return of Claimed Horse to 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 thirty 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.

(m) **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.

(n) **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.

§ 4. **Claiming Price.**—Subject to the conditions of Rule 10, Section 3 (n) the track shall pay the claiming price to the owner at the time the registration certificate is delivered for presentation to the successful claimant.

§ 5. **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.

§ 6. **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.

§ 7. **Determination of Claiming Price.**—Except as provided in Rule 9, Section 19 no horse owner shall be prohibited from determining the price for which his horse shall be entered.

§ 8. (a) If the Judges determine that the declaration 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.

(b) 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.

§ 9. 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.

§ 10. Any person violating any of the provisions of this rule, shall be fined, suspended, or expelled.

## **RULE 11.—STAKES AND FUTURITIES.**

Section 1. All stake and futurity sponsors or presentors, except contract tracks:

- (a) Shall be members of this Association.
- (b) Shall make an annual application for approval containing:
  - (1) Satisfactory evidence of financial responsibility.
  - (2) Proposed conditions.
  - (3) Sums to be deducted for organization or promotion.

- (4) **Bond.**—An agreement to file with the Association a surety bond in the amount of the fund conditioned on faithful performance of the conditions, including a guarantee that said stake or futurity will be raced as advertised in said conditions unless unanimous consent is obtained from owners of eligibles to transfer or change the date thereof, or unless prevented by an act of God or conditions beyond the control of the sponsor, segregation of funds and making all payments. In any instance where an association furnishes to the U.S.T.A. substantial evidence of financial responsibility satisfactory to the U.S.T.A., such evidence may be accepted by U.S.T.A. in lieu of a surety bond.

**State Agency.**—Where funds are held by a state or an authorized agency thereof, this provision will not apply.

**Trust Funds.**—Collections resulting from the forfeiting of any bond will be paid to the contestants according to the order of finish, or in the event the race is not contested, will be divided equally among owners of eligibles on the date the breach of conditions occurs.

- (5) **Waiver of Bond.**—The requirement of a bond may be waived by the President of the Association upon written request of a sponsor who is a track member and whose financial statement shows a net worth of five times the amount of trust funds received from payments in stakes and futurities. Where this is permitted, the sponsor will furnish a certified copy of the bank deposit in lieu of the bond.

(c) **Rejection of Application.**—May appeal the rejection of an application to the Executive Committee within 20 days after the mailing of the notice of rejection by registered mail.

(d) **Receipt of Printed Conditions.**—U.S.T.A. must receive printed conditions of all stakes and futurities by closing date of said stakes and futurities. Printed conditions not received by closing date may be refused printing in the Stakes Guide.

(e) **Conflicting Conditions.**—Stakes and Futurities conditions which conflict with U.S.T.A. rules and regulations may be refused printing in the Stakes Guide.

(f) **List of Nominations.**—Shall mail list of nominations within (60) days after the date of closing to this Association.

(g) **Financial Statement.**—Shall within (30) days following day of race submit a final financial statement to this Association.

(h) **Failure to Fill.**—Shall notify all nominators and this Association within 20 days if the stake or futurity does not fill.

(i) **List of Eligibles.**—Shall mail within 45 days after the closing date a complete list of all horses nominated, and shall mail within 45 days following all sustaining payment closing dates a complete list of all horses remaining eligible to this Association. In addition, a list of all eligible horses shall be mailed upon request to all owners or agents of all eligible horses.

(j) **Nominating and Sustaining Payment Dates.**—Shall set the nominating date and the dates for all sustaining payments except the starting fee on the fifteenth day of the month, and 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. Before taking any sustaining payments during the year the race is to be contested, the date and place of the race shall be stated. 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. 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 effective in the year 1974 and thereafter.

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. 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.

Beginning with stakes and futurities closing in 1973 and thereafter, 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.

(k) **Notice of Place and Date of Race.**—Shall, 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.

(l) **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 average estimated purse.

(m) Beginning with any new Stakes and Futurities which originate after January 1, 1978 and for which nominations close after January 1, 1978, no conditions shall be written so as to permit a horse to race in more than two heats or dashes in a single day. This provision shall not apply to Stakes and Futurities in existence as of March 8, 1977.

(n) Beginning with stakes and futurities for which nominations close after January 1, 1979, no conditions shall be written so as 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.

§ 2. **Sponsor's Contribution.**—The sum contributed by a sponsor who is not a track member 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.

Effective with stakes and futurities opened in 1969 and thereafter, no stake or futurity shall be approved for extended pari-mutuel meetings if the added money is not at least 30 percent of the purse and for all other meetings at least 10 percent of the purse shall be added.

In the event a stake or futurity is split into divisions, the added money for each division shall be at least 20 percent of all nomination, sustaining and

starting fees paid into such stake or futurity; provided, however, that in the case of a stake with a value of \$20,000 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.

If an event is not raced due to circumstances beyond the control of a non-track operating 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.

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

§ 4. **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.

§ 5. **Registration of Names.**—All names of stakes and futurities, including names of specific events which are raced as part of any stake or futurity, may be registered with this Association for a fee of \$25. Such registered names shall not be used to identify any other stake, futurity, early closer, late closer or overnight event. Names of farms or active horses, including stallions and brood mares, may not be registered as names for stakes and futurities without written permission of the owner or owners. Names of living persons may not be used without written permission of the person involved. Names of inactive horses, farms or persons no longer living must be approved by this Association before being registered.

§ 6. **Nominators' or Breeders' Awards.**—Beginning with stakes and futurities closing in 1973, and thereafter, no sponsor shall pay monetary awards to nominators or breeders out of stake or futurity funds.

§ 7. **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.

§ 8. **Money Division.**—Unless otherwise specified in the conditions of a stake or futurity, the money division shall be: 5 or more starters: 50-25-12-8-5%; 4 starters only: 50-25-15-10%; 3 starters only: 60-30-10%; 2 starters only: 65-35%.

§ 9. If the sponsor has failed to comply with the provisions of the within rules, the Executive Vice-President shall be authorized to refuse renewals of such Stakes and Futurities and/or to impose a fine not to exceed \$100.00.

## RULE 12.—ENTRIES AND NOMINATIONS.

Section 1. All entries must:

- (a) Be made in writing.
- (b) Be signed by the owner or his authorized agent except as provided in Rule 14, Section 1.
- (c) Give name and address of both the bona fide owner and agent or registered stable name or lessee.
- (d) Give name, color, sex, sire and dam of horse.
- (e) Name the event or events in which the horse is to be entered.

(f) Entries in overnight events must also comply with the provisions of Rule 14, Section 1.

§ 2. **Payment of Starting Fee.**—Starting fee shall be due at time of declaration and payable not later than one hour prior to post time of the race to be contested. The 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, starting fee shall be defined as the payment due with declaration to start.

§ 3. **Penalties.**—The penalty for noncompliance with any of the above requirements is a fine of not less than \$5.00 nor more than \$50.00 for each offense. If the facts are falsely stated for the purpose of deception, the guilty party shall be fined and/or suspended or expelled.

§ 4. **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**) or those by telegraph, the telegram 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. Provided further that in no event shall the provisions of this section be construed as applying to declarations to start. **For purposes of this rule payments made via commercial delivery services shall be treated the same as those made by letters bearing a postmark.**

**Postage Meter.** Where an entry 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 an entry by letter bearing the metered postmark date shall not be a valid entry or payment to any event. The metered date, of course, must conform to the postmark date as set forth above in order to be valid.

§ 5. **Deviation from Published Conditions.**—All entries and payments not governed by published conditions shall be void and any proposed deviation from such published conditions shall be punished by a fine not to exceed \$50 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 the Secretary or other persons who allowed such privileges shall be deemed to have been parties to a fraud.

§ 6. **Where Ineligible Horse Races.**—A nominator is required to guarantee the identity and eligibility of his nominations and declarations 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 this Associ-

ation, if demanded by the Executive Vice-President, or he, together with the parties implicated in the wrong, and the horse or horses shall be suspended until such demand is complied with and such purse or money shall be awarded to the party justly entitled to the same. However, where any horse is ineligible as a result of the negligence of the Race Secretary, the track shall reimburse the owner for the resultant loss of winnings.

§ 7. **Transfer of Ineligible Horse.**—A horse entered 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.

§ 8. **Withholding Purse on Ineligible Horse.**—Members shall be warranted in withholding the premium of any horse, without a formal protest, if they shall receive information in their judgment tending to establish that the entry or declaration was fraudulent or ineligible. Premiums withheld under this rule shall be forthwith sent to The United States Trotting Association to await the result of an investigation by the member or by the District Board of Review, and if the eligibility of the horse is not established within thirty days he shall be barred from winning unless the case is appealed to the Board of Appeals.

§ 9. **Agreement to Race Under Rule.**—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 these Rules and Regulations and will submit all disputes and questions arising out of such entry to the authority and the judgement of this Association, whose decision shall be final.

§ 10. **Early Closing Events and Late Closing Races.**—

(a) **Date and Place.**—The sponsor shall state the place and day the event will be raced and no change in date, program, events or conditions can be made after the nominations have been taken without the written consent of the owners or trainer of all horses eligible at the time the conditions are changed.

(b) **File Conditions.**—A copy of the conditions shall be filed with this Association.

(c) **Payments on the Fifteenth of the Month.**—All nominations and payments other than starting fees in early closing events shall be advertised to fall on the fifteenth day of the month. Provided further that no payment on two-year-olds shall become due prior to March 15 excluding fairs and sires stakes.

(d) **List of Nominations, Late Closing Event.**—A complete list of nominations to any late closing event shall be published within 20 days after the closing date and mailed to this Association and to each nominator.

(e) **Procedure If Event Does Not Fill.**—If the event does not fill, each nominator and the Executive Vice-President shall be notified within ten (10) days and refund of nomination fees shall accompany the notice.

(f) **Transfer Provisions—Change of Gait.**—Unless a track submits its early closing conditions to the U.S.T.A. at least 30 days prior to the first publication and has such conditions approved the following provisions will govern transfers in the event of a change of gait. If conditions published for early closing events allow transfer for change of gait, such transfer shall be to the slowest class the horse is eligible to at the adopted gait, eligibility to be determined at time of closing of entries, the race to which transfer may be made must be the one nearest the date of the event originally entered.

Two-year-olds, three-year-olds, or four-year-olds, entered in classes for their age, may only transfer to classes for same age group at the adopted gait to the race nearest the date of the event originally entered, entry fees to be adjusted.

§ 11. **List of Nominations, Early Closing Event.**—A complete list of nominations to any early closing event shall be published within 45 days after closing date or after the date of the last sustaining payment, if any, or not less than 20 days before the race is contested. The list shall be mailed to this Association and to the owners or agents of all eligible horses.

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

§ 13. **Early Closing Events by New Member.**—No early closing events may be advertised or nominations taken therefor for a pari-mutuel meeting that has not had its application approved by the President, unless the track has been licensed for the preceding year. Members accepting nominations to Early Closing Races, Late Closing Races, Stakes and Futurities will give stable space to any horse nominated and eligible to such event the day before, the day of, and the day after such race.

§ 14. **Limitation on Conditions.**—Conditions of Early Closing Events or Late Closing Races that will eliminate horses nominated to an event or add horses that have not been nominated to an event by reason of the performance of such horses at an earlier meeting held the same season, are invalid. Early Closing Events and Late Closing Events shall have not more than two also eligible conditions.

§ 15. **Penalties.**—Any official or member who fails to comply with any provisions of this rule shall be fined, suspended or expelled, unless otherwise provided.

§ 16. **Excess Entry Fees.**—In Early Closing races, Late Closing races, and Overnight races 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 13, Section 2 (b) shall apply. Provided further that where overnight races are split and raced in eliminations rather than divisions, all starting fees payable under the provisions of Section 2 of this rule shall be added to the advertised purse.

## **RULE 13.—ENTRIES AND STARTERS REQUIRED, SPLIT RACES.**

Section 1. An association 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.

In early closing events, or late closing events, if five or more horses are declared 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 declared in to start except when declared off as provided in Rule 15.

In an early closing event, if less horses are declared in than are required to start, and all declarers 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.

### **§ 2. Elimination Heats or Two Divisions.**

(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.

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 track, 12 starters on a 5/8-mile track or 14 starters on a larger track. At a fair or other non-extended meeting where no pari-mutuel wagering is permitted, there shall not be more than 10 starters on a half-mile track.

Provided however, that 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 track, the width of the track and the class of horses participating.

(b) Where a race other than a stake or futurity is divided, each division must race for at least 75 percent of the advertised purse. (For splitting of stakes and futurities see Rule 11, Section 2.)

Provided, however, that at non-extended meetings, in the case of added money early closing events, and early closers and late closers with a value of \$20,000 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.

§ 3. **Elimination Plans.**—(a) 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. That is, the field shall be divided by lot and the first division shall race a qualifying dash for 30 per cent of the purse, the second division shall race a qualifying dash for 30 per cent of the purse and the horses so qualified shall race in the main event for 40 per cent of the purse. The winner of the main event shall be the race winner.

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 per cent 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 per cent of the purse.

Unless the conditions provide otherwise, if there are two elimination dashes, the first four finishers in each dash qualify for the final; if three or more elimination dashes, not more than three horses will qualify for the final from each qualifying dash. Provided further that 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.

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:

1. 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:

2. 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.



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 Subsection 1 above shall apply. 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.

Provided however that 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.

In the event there are three separate heat or dash 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 or dash.

(b) 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 thirty per cent of the purse, the second division shall race for thirty per cent, and the horses qualifying in the first and second divisions shall race the third heat for thirty per cent 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 ten per cent of the purse. The number of horses qualifying to return after each elimination heat will be the same as set out in Section 3 (a) of this rule.

§ 4. **Overnight Events.**—In overnight events at extended pari-mutuel meetings and Grand Circuit meetings not more than eight horses shall be allowed to start on a half-mile track and not more than ten horses on larger tracks. Trailers are not permitted where the track has room to score all horses abreast, allowing eight feet per horse.

§ 5. **Qualifying Race for Stake, Etc.**—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.

## **RULE 14.—DECLARATION TO START AND DRAWING HORSES.**

### **Section 1. Declaration.**

(a) Unless otherwise specified in the conditions, the declaration time shall be as follows:

- (1) Extended pari-mutuel meetings, 9:00 a.m.
- (2) All other meetings, 10:00 a.m.

(b) No horse shall be permitted to start in more than one race on any one racing day except that at county fairs they may declare in so that they race no more than two single dashes in any one racing day. Races decided by more than one heat are considered a single race.

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

(d) **Declaration Box.**—The management shall provide a locked box with an aperture through which declarations shall be deposited.

(e) **Responsibility for Declaration Box.**—The Presiding Judge shall be in charge of the declaration box.

(f) **Search for Declarations by Presiding Judge Before Opening Box.**—Just prior to opening of the box at extended pari-mutuel meetings where futurities, stakes, early closing or late closing events are on the program, the Presiding Judge shall check with the Race Secretary to ascertain if any declarations by mail, telegraph, or otherwise, are in the office and not deposited in the entry box, and he shall see that they are declared and drawn in the proper event. At other meetings, the Presiding Judge shall ascertain if any such declarations have been received by the Superintendent of Speed or Secretary of the Fair, and he shall see that they are properly declared and drawn.

(g) **Entry Box and Drawing of Horses.**—At all member tracks of this Association 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 a declaration in the entry box shall be denied the privilege of being present. Under the supervision of the Presiding Judge, all entries shall be listed, the eligibility verified, preference ascertained, starters selected and post positions drawn. If it is necessary to reopen any race, public announcement shall be made at least twice and the box reopened to a definite time.

(h) **Procedure in The Event of Absence or Incapacity of Presiding Judge.**—At non-extended meetings in the event of the absence or incapacity of the Presiding Judge, the functions enumerated above may be performed by a person designated by said Judge, for whose acts and conduct said Judge shall be wholly responsible. If a substitution is made as herein provided, the name and address of the person so substituting shall be entered in the Judges' Book.

At any extended meeting in the event of the absence or incapacity of the Presiding Judge, the functions enumerated above may be performed by one or more Associate Judges who shall have been designated by the Presiding Judge, prior to the start of the meeting, in the form of a written notice to the governing Racing Commission and to the Chief Officer of the track at which the meeting is being conducted. A record shall be kept in the Judges' Book showing the name of the individual who performed such functions on each day of the meeting.

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

(j) **Declarations by Postal Mail Service, or Telephone.**—Declarations by postal mail service or telephone actually received and evidence of which is deposited in the box before the time specified to declare in, shall be drawn in the same manner as the others. Such drawings shall be final. Postal mail service and telephone declarations must state the name of the owner or lessee; the name of the horse; the name of the trainer and driver; the date and place of last start; and the events in which the horse is to be entered. It shall not be the responsibility of a racing association to accept declarations by telegram, E-mail, voice mail or electronic facsimile.

(k) **Effect of Failure to Declare on Time.**—When a member track requires a horse to be declared at a stated time, failure to declare as required shall be considered a withdrawal from the event.

(l) **Drawing of Horses After Declaration.**—After declaration to start has been made no horse shall be drawn except by permission of the Judges. A fine, not to exceed \$500, or suspension may be imposed for drawing a horse without permission, the penalty to apply to both the horse and the party who violates the regulation.

(m) **Procedure on Unauthorized Withdrawal Where There is No Opportunity for Hearing.**—Where the person making the declaration fails to honor it and there is no opportunity for a hearing by the Judges, this penalty may be imposed by the Executive Vice-President.

(n) **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 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 closers of more than \$10,000 and stake and futurity races, the race shall be re-drawn. This shall not apply at extended pari-mutuel meetings in overnight events.

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

(a) Within 30 days of being declared in, 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 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). Uncharted races contested in heats or more than one dash and consolidated according to (d) will be considered one start.

(c) When a horse has raced at a charted meeting during the current season, then gone to meetings where the races are not charted, the information from the uncharted races may be summarized, including each start, and consolidated in favor of charted lines and the requirements of Section (b) would then not apply.

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

(d) 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.

(e) The Judges may permit a fast 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.

(f) To enable a horse to qualify, qualifying races should be held at least one 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.

(g) 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.

(h) If a horse takes a win race record in either a qualifying race or a matinee race, such record must be prefaced with the letter "Q" wherever it appears, except in a case where, immediately prior to or following the race, the horse taking the record has been submitted to an approved urine, saliva or blood test. It will be the responsibility of the Presiding Judge to report the test on the Judges' Sheet.

§ 3. **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, at the request of the Association and with the approval of the Commission, 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 purse race in which he/she has an ownership interest in one or more horses he/she must draw one of the horses in which he/she has an ownership interest.**

§ 4. **Also Eligibles.**—Not more than two horses may be drawn as also eligibles for a race and their positions shall be drawn along with the starters in the race. In the event one or more horses are excused by the Judges, the also eligible horse or horses shall race and take the post position drawn by the horse that it replaces, except in handicap races. In handicap races the also eligible horses shall take the place of the horse that it replaces in the event that the handicap is the same. In the event the handicap is different, the also eligible horse shall take the position on the outside of horses with a similar handicap. No horse may be added to a race as an also eligible unless the horse was drawn as such at the time declarations closed. No horse may be barred from a race to which it is otherwise eligible by reason of its preference due to the fact that it has been drawn as an also eligible. A horse moved into the race from the also eligible list cannot be drawn except by permission of the Judges, but the owner or trainer of such a horse shall be notified that the horse is to race and it shall be posted at the Race Secretary's Office. All horses on the also eligible list and not moved in to race by 9:00 A.M. on the day of the race shall be released.

§ 5. **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 parimutuel track member from adopting a track rule limiting an owner or trainer to one starter in any single overnight event.

§ 6. **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, the Clerk of the Course shall make a note on the Electronic Eligibility of such horse showing the date the horse was put on the Steward's list, the reason therefor and the date of removal if the horse has been removed.

(b) No Presiding Judge or other official at a nonextended 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.

§ 7. **Driver.**—Declarations shall state who shall drive the horse and give the driver's colors. Drivers may be changed until 9:00 A.M. of the day preceding the race, after which no driver may be changed without permission of the judges and for good cause. When a nominator starts two or more horses, the Judges shall approve or disapprove the second and third drivers.

§ 8. It shall be the duty of the Presiding Judge to call a meeting of all horsemen on the grounds before the opening of an extended pari-mutuel meeting for the purpose of their electing a member and an alternate to represent them on matters relating to the withdrawal of horses due to bad track or weather conditions.

§ 9. In case of questionable 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.

§ 10. Upon unanimous decision by this committee of three, that track conditions are safe for racing, no unpermitted withdrawals may be made.

§ 11. (a) Any decision other than unanimous by this committee will allow any entrant to scratch his horse or horses after posting ten per cent 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.

(b) Said money posted shall be forwarded to the The United States Trotting Association and shall be retained as a fine, or refunded to the individual upon the decision of the District Board hearing the case at its next meeting as to whether the withdrawal was for good cause.

THE ABOVE PROCEDURE APPLIES ONLY TO THE WITHDRAWAL OF HORSES THAT HAVE BEEN PROPERLY DECLARED IN AND DOES NOT RELATE TO POSTPONEMENT WHICH IS COVERED ELSEWHERE.

### **RULE 15.—POSTPONEMENT.**

Section 1. In case of unfavorable weather, or other unavoidable cause, track members with the consent of the Judges shall postpone races in the following manner.

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

(b) Any LATE CLOSING RACE, EARLY CLOSING RACE, and STAKE OR FUTURITY (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 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.

(f) (1) At meetings of MORE THAN FIVE DAYS duration, overnight events may be postponed and carried over not to exceed two racing days.

(2) At meetings of a duration of FIVE DAYS OR LESS, overnight events and late closing races shall be cancelled and starting fees returned in the event of postponement, unless the track member is willing to add the postponed races to the advertised program for subsequent days of the meeting.

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.

(g) 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.

Section 1. With Starting Gate. —

(a) **Starter's Control.**—The Starter shall have control of the horses from the formation of the parade until he gives the word “go.”

(b) **Scoring.**—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.

(c) The horses shall be brought to the starting gate no nearer than one-eighth of a mile before the start as the track will permit.

(d) **Speed of Gate.**—Allowing sufficient time so that the speed of the gate can be increased gradually, the following minimum speeds will be maintained.

(1) For the first 1/8 mile, not less than 11 miles per hour.

(2) For the next 1/16 of a mile not less than 18 miles per hour.

(3) From that point to the starting point, the speed will be gradually increased to the maximum speed.

(e) On mile tracks horses will be brought to the starting gate at the head of the stretch and the relative speeds mentioned in sub-section (d) above will be maintained.

(f) **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.

(g) WHEN A SPEED HAS BEEN REACHED IN THE COURSE OF A START THERE SHALL BE NO DECREASE EXCEPT IN THE CASE OF A RECALL.

(h) **Recall Notice.**—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 tracks 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.

(i) 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.

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

(k) **Recall—Reasons For.**—The Starter may sound a recall only for the following reasons:

- (1) A horse scores ahead of the gate.
- (2) There is interference.
- (3) A horse has broken equipment.
- (4) There is a malfunction of the starting gate.
- (5) A horse falls before the word “go” is given.
- (6) A horse comes to the gait out of position.

(l) **Penalties.**—A fine not to exceed \$100, or suspension from driving not to exceed 15 days, or both, may be applied to any driver, by the Starter for:

- (1) Delaying the start.
- (2) Failure to obey the Starter’s instruction.
- (3) Rushing ahead of the inside or outside wing of the gate.
- (4) Coming to the starting gate out of position.
- (5) Crossing over before reaching the starting point.
- (6) Interference with another driver during the start.
- (7) Failure to come up into position.
- (8) 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.

(m) **Riding in Gate.**—No persons shall be allowed to ride in the starting gate except the Starter and his driver or operator, and a Patrol Judge, unless permission has been granted by this Association.

(n) **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.

The penalty for violation of this section shall be a fine of not to exceed \$500.00 or suspension not to exceed thirty days after hearing by the President or Executive Vice-President.

§ 2. **Holding Horses Before Start.**—Horses may be held on the backstretch not to exceed two minutes awaiting post time, except when delayed by an emergency.

§ 3. **Two Tiers.**—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 drawn from any tier, horses on the outside move in to fill up the vacancy. Where a horse has drawn a post position in the the second



tier, the driver of such horse may elect to score out behind any horse in the first tier so long as he does not thereby interfere with another trailing horse or deprive another trailing horse of a drawn position.

§ 4. **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.

§ 5. 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 set down for the heat in which the offense occurs, or for such other period as the Starter shall determine, and may be fined from \$10 to \$100. Whenever a driver is taken down the substitute shall be permitted to score the horse once. A horse delaying the race may be started regardless of his position or gait and there shall not be a recall on account of a bad actor. If the word is not given, all the horses in the race shall immediately turn at the tap of the bell or other signal, and jog back to their parade positions for a fresh start. There shall be no recall after the starting word has been given.

§ 6. **Starters.**—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.

§ 7. **Unmanageable Horse.**—If in the opinion of the Judges or the Starter a horse is unmanageable or liable to cause accidents or injury to any other horse or to any driver it may be sent to the barn. When this action is taken the Starter will notify the Judges who will in turn notify the public.

§ 8. **Bad Acting Horse.**—At meetings where there is no wagering, the Starter may place a bad acting horse on the outside at his discretion. At pari-mutuel meetings such action may be taken only where there is time for the Starter to notify the Judges who will in turn notify the public prior to the sale of tickets on such race. If tickets have been sold, the bad acting horse must be scratched under the provision of Section 7 herein.

§ 9. **Post Positions—Heat Racing.**—The horse winning a heat shall take the pole (or inside position) 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.

§ 10. **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.

§ 11. 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.

§ 12. 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.

## RULE 17.—DRIVERS, TRAINERS AND AGENTS.

Section 1. **Licensing of Drivers.**—No person shall drive a horse in any race on a track in membership with this Association without having first obtained from this Association an Active Membership including a driver's license. Any person violating this rule shall be fined the sum of \$25.00 for each offense, and no license shall be issued thereafter until such fines have been paid.

The proper license shall be presented to the clerk of the course before driving at any matinee, fair, or other non-extended pari-mutuel meeting.

§ 2. **Licensing of Trainers.**—No person shall be programmed as the trainer of a horse at an extended pari-mutuel track in membership with this Association without having first obtained an Active Membership including a trainer's license.

§ 3. **District Track Committee.**—The U.S.T.A. District Chairman may appoint a local District Track Committee of at least three Full licensed drivers where available at any meeting to observe the qualifications, demeanor, and general conduct of all drivers and report in regard thereto to the Presiding Judge, a copy of such report to be in writing and forwarded to this Association.

§ 4. **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 **racess and amateur races subject to the approval of the track and racing commission having jurisdiction over such races.**

(b) **(SL) (Special License)** A license valid for amateur racing at all meetings. Such license shall be issued at the direction of the Executive Vice President upon the filing of an application therefor.

(c) **(QF) (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.

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

(1) Applicants for a Provisional license will only be considered for such a license when they have obtained at least 12 satisfactory qualifying drives within a consecutive 12 month period, or 15 such drives within a 2 year period and the approval of the Presiding Judge and the local district track committee appointed by the U.S.T.A. District Chairman. Amateur races conducted at extended pari-mutuel tracks may be considered as qualifying races for the purpose of meeting this requirement.

(2) At the discretion of this Association 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) In determining the applicant's qualifications for a Provisional 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) Drivers holding a Qualifying-Fair license will not be considered for advancement to a Provisional license until he or she has had at least six months driving experience while holding a Qualifying-Fair license.

(5) Other criteria to be considered by the Presiding Judge and the District 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; such examination to be administered by the District Track Committee.

(6) Upon satisfactory recommendations from both the Presiding Judge and the District Track Committee the applicant shall be granted a Provisional license for a probationary term of 15 pari-mutuel starts.

(7) Upon satisfactory completion of the probationary pari-mutuel races as described above, and with written approval of the Presiding Judge, a Provisional license shall be issued by this Association.

(e) **(A) (Full)** A full license valid for all meetings. Drivers holding a Provisional license will not be considered for advancement to a Full license until he or she has qualified in one of the three following categories:

(1) Had at least one year's driving experience while holding a Provisional driver's license plus 25 satisfactory pari-mutuel starts in the twelve-month period beginning with the issuance of the Provisional license.

(2) Or had less than one year's driving experience while holding a Provisional driver's license, but with at least 50 satisfactory pari-mutuel starts.

(3) Or made 25 satisfactory extended pari-mutuel starts, or starts at Grand Circuit meetings in the two-year calendar period preceding the date of application provided he or she has at least 50 satisfactory Fair starts.

(4) Notwithstanding the foregoing, the applicant must have at least 10 wins at extended pari-mutuel meetings while holding a Provisional license and meet the provisions of Section 9 of this rule or must have at least 5 wins at extended pari-mutuel meetings while holding a provisional license and obtain the unanimous consent of the Presiding Judge and the members of the local District Track Committee.

(f) **(CD) (Conditional)** A probationary license indicating that the driver has been guilty of rule violations and been warned against repetition of such violations. When a driver with a Conditional license commits more than one rule violation, or one major violation, proceedings may be started and he or she will be given a hearing either before the Executive Vice President or the District Board of Review in the District where the last penalty was imposed, to determine if his or her license should be revoked.

(g) An amateur driver is one who has never accepted any valuable consideration by way of or in lieu of compensation for his or her services as a driver.

§ 5. **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 this Association, 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.

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 12 years of age for a (M) license.
- (d) Be at least 16 years of age for a (QF) license.
- (e) Be at least 18 years of age for a (P) or (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 name of a sponsor who shall have at least five years experience as a Full licensed driver, and the names of at least three other active Full licensed drivers for reference. Provided, however, that 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 three supporting references may come from active drivers licensed in a Qualifying-Fair license or higher.

(i) Submit satisfactory evidence of an eye examination **prior to the issuance of their 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 three months prior to the approval of such application.**

**Drivers may submit a valid eye examination certificate with each renewal application. Evidence of each eye examination shall be carried on the individual's driver's license.**

§ 6. **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 this Association.

(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 this Association.

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 and has been warned against repetition of such violations.

§ 7. **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.

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 three years experience working as a groom or second trainer. Applicants for a General trainer's license must satisfactorily complete a written examination.

(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 name of a sponsor who shall have at least five years experience as a Full licensed driver or General licensed trainer, and the names of at least three other active Full licensed drivers and/or General licensed trainers. Provided, however, that when an applicant for a General trainer's license resides in a state where there are fewer than 120 days of extended pari-mutuel racing annually, the three supporting references may come from active General licensed trainers and/or active licensed drivers in a Qualifying-Fair capacity.

§ 8. **Written Examinations.**—Applicants, other than for a Matinee 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 previously submitted to such written tests shall be required to satisfactorily complete a written examination before becoming eligible to obtain a license in a higher category.

Any applicant required to submit to a written examination under this section must demonstrate his or her ability to harness and equip a horse properly and to establish his or her proficiency in handling the animal; such examination to be administered by the local District Track Committee.

§ 9. **Approval for Licensing.**—Subsequent to the issuance of a Provisional driver's license, or a General trainer's license, the applicant must have prior approval of a licensed Presiding Judge to drive and/or train; said approval to be withheld until the license applicant has met the following minimum requirements:

(a) A personal interview with the Presiding Judge and the local District Track Committee.

(b) The Presiding Judge and the local District Track Committee to observe the individual's capacity handling a horse on the track.

(c) The Presiding Judge and the local District Track Committee to observe the individual satisfactorily rating a horse during a warm-up or training mile.

(d) In all cases an individual must have demonstrated professional competence at all times and a licensed Presiding Judge must have submitted a satisfactory written report certifying to such performance.

§ 10. **Physical Examination.**—An applicant for a driver's license may be required to submit to a physical examination as determined by this Association.

(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 Association. If the Association so desires, it may designate the physician to perform such examination. However, in such event, the cost thereof shall be paid by the Association.

(b) In the event any person is involved in an accident on the track, the Association may order such person to submit to a physical examination and such examination must be completed within 30 days from such request or the license may be suspended until compliance therewith.

§ 11. **Fine, Suspension, Revocation or Denial of a Driver or Trainer License.**—The provisions of Rule 17, Section 13 notwithstanding, the following action may be taken by this Association:

(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.

(b) Any licensed driver who shall participate in a meeting or drive a horse at a meeting not in membership with this Association or Standardbred Canada shall be fined not to exceed \$100 for each such offense. Provided however, that nothing herein contained shall prevent any person from driving at a contract track or from participating in a meeting conducted at such a track.

(c) 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 not to exceed \$100 for each such offense.

(d) No driver shall race a horse at a meeting where registered colors are required by Section 12 herein, or use colors registered by any person or persons except himself or his employer without special permission of the Presiding Judge.

(e) 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. Provided further that 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.

(f) The license of any driver or trainer may be revoked or suspended at any time after a hearing by the President or Executive Vice President for violation of the rules, failure to obey the instructions of any official, or for any misconduct or act detrimental to the sport. The President or Executive Vice President may designate a proper person or entity to act as a hearing officer who will conduct a hearing and furnish a transcript to the President or Executive Vice President. The license may be reinstated by the President or Executive Vice President at his discretion upon application made to him and upon such terms as he may prescribe. Any suspension or revocation of license made hereunder may be reviewed as provided in Article IX of the Bylaws.

§ 12. **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 race track unless wearing a protective helmet, painted as registered, or of compatible colors, and a chin strap in place. Where applicable, that helmet shall be as required by the rules or regulations of the appropriate State Racing Commission.

(b) Drivers holding a U.S.T.A. full drivers license including residents of foreign countries who hold an equivalent license with a foreign association, and drivers holding a conditional drivers license who formerly held a full drivers license shall register their driving color design with the Association. Drivers who have their driving color design registered with Standardbred Canada shall be exempt from this requirement.

Any person in membership with this Association or any stable, farm, or corporate name registered with this Association 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 this Association.

Driving color designs registered with this Association may be released for re-registration if the person, registered stable, farm or corporation is inactive for a period of five consecutive years. Inactivity shall mean not in membership with this Association or racing under the provisions of Rule 1, Section 3 of these rules. Provided, however 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.

All logos and trademarks must be in good taste.

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.

§ 13. 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 the Judge's orders that are expressly authorized by the rules of this Association.
- (b) Failure to drive when programmed unless excused by the Judges.
- (c) Drinking intoxicating beverages within four hours of the post time of the first program on which he is carded to drive.
- (d) Appearing in the paddock in an unfit condition to drive.
- (e) Fighting.
- (f) Assaults.
- (g) Offensive and profane language.
- (h) Smoking on the track in driving colors during actual racing hours.
- (i) Warming up a horse prior to a race without driving colors.
- (j) Disturbing the peace.
- (k) Refusal to take a breath analyzer test or, upon probable cause, submit a body fluid sample when directed by the Presiding Judge.

§ 14. **Driver and Trainer Fees.**—Applicants for a driver, trainer, or driver/trainer license other than a Matinee driver's license shall pay a fee in the amount of \$50.00 in addition to their regular annual membership fee of \$66.00 for an original license, and \$45.00 for renewal licenses annually thereafter. The fee for a matinee driver's license shall be \$16.50.

Provided however, that the driver's license fee for foreign drivers, other than those residing in the Maritime Provinces of Canada, shall be \$105.00 for an original license, unless the applicant is already licensed as a driver by the licensing authority of a foreign country in which he resided, in which latter case the fee shall be \$45.00. The fee for a renewal of such a license shall be \$40.00 annually thereafter.

- (a) The fee for a lost or destroyed license shall be \$2.00.
- (b) The fee for registration of driving color design shall be \$110.00. The fee for a duplicate color card shall be \$11.00 and the fee for modifying a design which is registered shall be \$55.00.

**RULE 18.—RACING AND TRACK RULES.**

Section 1. Although a leading horse is entitled to any part of the track except after selecting his position in the home stretch, neither the driver of the first horse or any other driver in the race shall do any of the following things, which shall be considered 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 interfere with another horse or driver.
- (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.
- (e) Crowd a horse or driver by "putting a wheel under him."
- (f) Carry a horse out.
- (g) Sit 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 his position in the race.
- (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 an 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) To drive in a careless or reckless manner.
- (l) Kicking the horse, which 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. Removal of a foot from the stirrups in and of itself shall not constitute the offense of kicking. The penalty for kicking as defined herein shall not be less than 9 days suspension.
- (m) Crossing the inside limits of the course.

§ 2. All complaints by drivers of any foul driving or other misconduct during the heat must be made at the termination of the heat, 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.

§ 3. 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.

§ 4. 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 dash, and in the event such collision or interference prevents any horse from finishing the heat or dash, 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 whom he interfered.

§ 5. (a) 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 has been driven heretofore, with design to prevent his winning a heat or dash which he was evidently able to win, or is being raced in an intentional inconsistent manner, or to perpetrate or to aid a fraud, they shall consider it a violation and the driver, and anyone in concert with him, to so affect the outcome of the race or races, 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) 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 a deliberate inconsistent drive they shall impose a penalty under this sub-section including, but not limited to a fine, suspension or revocation.

§ 6. 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 conduct and endangers the safety of horses or other drivers in the race, he may be removed and another 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.

§ 7. 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.

§ 8. Loud shouting or other improper conduct is forbidden in a race. After the starting gate is in motion, both feet must be kept in the stirrups until after the finish of the race, except that a driver shall be allowed to remove a foot from the stirrups temporarily for the purpose of pulling earplugs.

§ 9. Drivers will be allowed whips not to exceed 3 feet, 9 inches, plus a snapper not longer than 6 inches. Provided further that the following actions shall be considered as excessive or indiscriminate use of the whip:

- a. Causing visible injury.
- b. Whipping a horse after a race.
- c. Whipping under the arch or shafts of the sulky.

The use of the whip shall be confined to an area above and between the sulky shafts, to include the sulky shafts and the outside wheel discs. Drivers shall keep a line in each hand from the start of the race until the head of the stretch finishing the race.

At extended pari-mutuel meetings, under the supervision of the judges,

there shall be a mandatory visual inspection of each horse following each race for evidence of excessive or brutal use of the whip. At all other meetings, the judges shall have the authority to order and/or conduct such visual inspections at their discretion.

§ 10. 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.

§ 11. 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. The mandatory minimum penalty for a whipping violation shall be a fine in the amount of \$100.00 and a 3 day suspension from driving for the first offense, and for each subsequent violation the mandatory minimum penalty shall increase in the amount of \$100.00 and 3 days (e.g. \$200.00 and 6 days for the 2nd offense, \$300.00 and 9 days for the 3rd offense, etc.)

§ 12. No horse shall wear hobbles in a race unless he starts in the same in the first heat, and having so started, he 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. Any horse habitually wearing hobbles shall not be permitted to start in a race without them except by the permission of the Judges. Any horse habitually racing free legged shall not be permitted to wear hobbles in a race except with the permission of the Judges. No horse shall be permitted to wear a head pole protruding beyond its nose.

§ 13. **Breaking.**

(a) When any horse or horses break from their gait in trotting or pacing, their drivers shall at once, where clearance exists, take such horse to the outside and pull it to its gait.

(b) The following shall be considered violations of Section 13 (a):

- (1) Failure to properly attempt to pull the horse to its gait.
- (2) Failure to take to the outside where clearance exists.
- (3) Failure to lose ground by the break.

(c) Any breaking horse shall be set back when a contending horse on its gait is lapped on the hind quarter of the breaking horse at the finish.

(d) Any horse making a break which causes interference to other contending horses may be placed behind all offended horses; if there has been no failure on the part of the driver of the breaking horse in complying with subsection (b) of this rule, no fine or suspension shall be imposed on the driver as a consequence of the interference.

(e) The Judges may set any horse back one or more places if in their judgement any of the above violations have been committed.

§ 14. 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.

§ 15. To assist in determining the matters contained in Sections 13 and 14, it shall be the duty of one of the Judges to call out every break made, and the clerk shall at once note the break and character of it in writing.

§ 16. The time between separate heats of a single race shall be no less than 40 minutes. No heat shall be called after sunset where the track is not lighted for night racing.

§ 17. Horses called for a race shall have the exclusive right of the course, and all other horses shall vacate the track at once, unless permitted to remain by the Judges.

§ 18. In the case of accidents, only so much time shall be allowed as the Judges may deem necessary and proper.

§ 19. A driver must be mounted in his sulky at the finish of the race or the horse must be placed as not finishing.

§ 20. It shall be the responsibility of the owner and trainer to provide every sulky used in a race with unicolored or colorless wheel discs on the inside and outside of the wheel of a type approved by the Executive Vice-President or by a Harness Racing Commission. In his discretion, the Presiding Judge may order the use of mud guards at pari-mutuel tracks.

§ 21. 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 membership in this Association for a minimum of one year.

§ 22. 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.

§ 23. If at a racetrack which does not have a continuous solid inside hub rail, a horse or part of the horse's sulky leaves the course by going inside the hub rail or other demarcation which constitutes the inside limits of the course, the offending horse shall be placed one or more positions where, in the opinion of the judges, the action gave the horse an unfair advantage over other horses in the race, or the action helped the horse improve its position in the race. In addition, when an act of interference causes a horse or part of the horse's sulky to cross the inside limits of the course, and the horse is placed by the judges, the offending horse shall be placed behind the horse with which it interfered.

§ 24. 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. Provided, however, that where a penalty is to be imposed for an act of interference, said penalty shall be in days suspended.

§ 25. **Sulky Performance Standards.**

(a) Approval of Racing Sulkies

1. Effective September 1, 1994 and thereafter, 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 sulky 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 sulky shall be attached to one another in such a way that they remain attached during normal use and testing.
3. No bent shaft style sulky shall be approved for use.

(c) Shafts

1. Each sulky 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.

2. Inside to inside measurement shall be within a range of 42" to 50" at the front of the arch.

*(Also See - Subsection 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" nor 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).

*(Also See - Subsection c) (2)*

2. There shall be a fork assembly on both sides of each wheel.

(f) Stirrups

1. Each sulky shall be equipped with two stirrups.
2. Each stirrup shall not be more than 8" wide.
3. The stirrups shall be attached to the inside of each shaft no closer than 30" from stirrup to stirrup.

*(Also See - Subsection c) (2)*

(g) Seat/Seat Plate

1. The measurement from the ground to the heel of the stirrup 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 unicolor or colorless.
- (i) Mud Fenders
  1. The mud fenders shall be easily attached to the sulky in such a manner as to make them totally secure to the sulky.
- (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.

### **RULE 19.—PLACING AND MONEY DISTRIBUTION.**

Section 1. Unless otherwise provided in the conditions, all purses shall be distributed on the dash basis with the money awarded according to a horse's position in each separate dash or heat of the race.

Purse money distribution in overnight events shall be limited to five monies.

§ 2. **Dashes.**—Except in the case of Stakes or Futurities, unless otherwise specified in the conditions, the money distribution in dashes shall be 45%, 25%, 15%, 10%, and 5%. (For distribution in Stakes and Futurities see Rule 11, Section 8.) In Early Closing Races, Late Closing Races or Added Money Events, if there are less than five (5) starters, the remaining premium shall go to the race winner unless the conditions call for a different distribution. In overnight events if there are less than five (5) starters the premium for the positions for which there are no starters may be retained by the track.

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; provided, however, that 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.

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 paragraph, such premium shall be paid to the winner.

§ 3. **Placing System.**—If the placing system is specified in the conditions, the winner shall be determined and the purse shall be distributed according to the standing of the horses in the summary. In order to share in

the purse distribution, each horse must complete the race and compete in each heat to which he is eligible. In order to be declared the race winner a horse must win two heats and stand best in the summary. Where two or more horses win two heats and are tied in the summary said horses will be considered co-winners of the race. In deciding the rank of the horses, a horse that has been placed first in one heat shall be ranked better than any other horse making a dead heat for first or any other horse that has been placed second in any number of heats; a horse that has been placed second in one heat shall be ranked better than any other horse that has been placed third in any number of heats, etc.; for example, a horse finishing 3-6 would be ranked ahead of another horse finishing 4-4. A horse finishing in a dead heat would be ranked below another horse finishing in the same position and not in a dead heat. If there be any premium for which no horse has maintained a position, it shall go to the race winner, but the number of premiums awarded need not exceed the number of horses that started in the race. Unless otherwise specified in the conditions, the money shall be divided 50%, 25%, 12%, 8% and 5%.

§ 4. **Two In Three.**—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 colt standing best in the summary shall be awarded the 10%; if the two heat winners make a dead heat and same in the summary, the 10% shall be divided equally between them.

## **RULE 20.—STANDARDS OF CONDUCT.**

Section 1. No owner, trainer, driver, attendant of a horse, or any other person shall use improper language to an official, officer of this Association, or an officer of an Association in membership, or be guilty of any improper conduct toward such officers or judges, or persons serving under their orders, such improper language or conduct having reference to the administration of the course, or of any race thereon.

§ 2. No owner, trainer, driver, or attendant of a horse, or any other person, at any time or place shall commit an assault, or an assault and battery, upon any driver who shall drive in a race, or shall threaten to do bodily injury to any such driver or shall address to such driver language outrageously insulting.

§ 3. If any owner, trainer, or driver of a horse shall threaten or join with others in threatening not to race, or not to declare in, because of the entry of a certain horse or horses, or a particular stable, thereby compelling or trying to compel the Race Secretary or Superintendent of Speed to reject certain eligible entries it shall be immediately reported to the Executive Vice-President and the offending parties may be suspended pending a hearing before the District Board of Review.

§ 4. 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.

§ 5. 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.

§ 6. **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.

§ 7. Any misconduct on the part of a member of this Association fraudulent in its nature or injurious to the character of the turf, 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.

§ 8. 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 this Association, and shall commit some act in furtherance of the said purpose and plan, it shall constitute a conspiracy and a violation.

§ 9. In any case where an oath is administered by the Judges, Board of Review, or Officer of this Association 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 shall be fined, suspended, or both, or expelled.

§ 10. **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 this Association or may be suspended on order by the Executive Vice-President.

§ 11. **Nerved Horses.**—All horses that have been nerved shall be so designated on The United States Trotting Association registration certificate and the 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. All horses that have been nerved prior to the adoption of this rule must also be certified and it will be the responsibility of the owner or the trainer of such horse to see that such information is carried on the registration certificate. 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 track where the horse competes the fact that the horse has been low-nerved, and it is the responsibility of each track to provide a space in the racing office where the fact of nerving can be posted in accordance with this

rule. Where these requirements have been met, low-nerved horses will be permitted to start.

Only the palmar (posterior) digital neurectomy (low nerving) by surgical or other physical (example: freezing) or chemical (example: injecting alcohol or snake venom) 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 or snake venom.

§ 12. **Spayed Mares.**—The fact that a mare has been spayed must be noted on the Registration Certificate, the Electronic Eligibility and any program when such mare races. It shall be the owner's responsibility to report the fact that the mare has been spayed to U.S.T.A. and return its papers for correction.

§ 13. 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.

§ 14. It shall be the responsibility of the trainer of a horse to furnish 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, said information to be entered and certified by the Presiding Judge, State Steward, or Race Secretary.

§ 15. 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.

§ 16. 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 1. Recognizing that 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 meeting may order any horse in any heat or race to be subjected to a saliva, blood, or urine test for the purpose of determining thereby the presence of any drug, stimulant, depressant, sedative or other unapproved medicant. Furthermore, wherever possible the winning horse in every heat and/or race shall be subjected to such a test.



§ 2. The Executive Vice-President may, in his discretion, or at the request of a track member, authorize or direct a saliva, urine or other test of any horse racing at any non pari-mutuel meeting, whether or not tests are being conducted at such meeting, provided that adequate preliminary arrangements can be made to obtain proper equipment, and the services of a competent and qualified veterinarian and an approved laboratory.

During the taking of the saliva, urine or other sample by the veterinarian, the owner, trainer or authorized agent must be present at all times. Unless the rules of the State Racing Commission or other governmental agency provide otherwise, 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 State Racing Commission 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.

§ 3. Whenever at a non pari-mutuel meeting there is a positive test finding the presence of any drug, stimulant, depressant, sedative or unapproved medicant present in the post race test the laboratory shall immediately notify the presiding judge who shall immediately report such findings to the Executive Vice-President of this Association.

When such positive report is received by the Presiding Judge, the persons held responsible shall be notified and a thorough investigation shall be conducted by or on behalf of the Judges. Then 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 four racing days after the responsible persons were notified. The hearing may be continued, if in the opinion of the Judges, circumstances justify such action. In the event the Judges are unable to perform this action, the Executive Vice-President shall forthwith set a date for a prompt hearing to be conducted by him or some person deputized by him for the purpose of determining all matters concerning the administration of such drug, stimulant, sedative or depressant and the care and the custody of the horse from which the positive sample was obtained.

The decision of the Executive Vice-President or the person deputized by him shall be reduced to writing and shall be final unless the person or persons aggrieved thereby shall within 30 days appeal in writing to the Board of Appeals as provided in Article IX of the Bylaws.

Should the chemical analysis of saliva, urine or other sample of the post race test taken from a horse indicate the presence of any drug, stimulant, depressant, sedative or unapproved medicant, it shall be considered prima-facie evidence that such has been administered to the horse. The trainer and any other person or persons who may have had the care of, or been in attendance of the horse, or are suspected of causing such condition, shall be immediately stopped from participating in racing by the Judge and shall remain inactive in racing pending the outcome of a hearing. The horse alleged to have tested positive for a prohibited substance shall not race during the investigation and hearing and 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.

§ 4. 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 unapproved medicant to such horse within forty-eight hours of it's race shall be subject to the penalties provided in Section 10 of this rule. Provided however that in any state where the State Racing Commission 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 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 Commission rules.

§ 5. Whenever the post-race test or tests prescribed in Section 1 hereof disclose the presence in any horse of any drug, stimulant, depressant, sedative or unapproved medicant, 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.

§ 6. 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 unapproved medicant 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 medicant resulting in a post-race positive test. Whenever a trainer of a horse names a substitute trainer for program purposes due to his or 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. Provided further that except as otherwise provided herein, the trainer of record (programmed trainer) shall be any individual who receives any compensation for training the horse.

§ 7. Any owner, trainer, driver or agent of the owner, having the care, custody and/or control of any horse who shall refuse to submit such horse to a saliva test or other tests as herein provided or ordered by the Judges shall be guilty of the violation of this rule. Any horse that refuses to submit to a pre-race blood test shall be scratched and shall be required to submit to a saliva and urine test.

§ 8. All winnings of such horse in a race in which an offense was detected under any section of this rule shall be forfeited and paid over to this Association for re-distribution among the remaining horses in the race entitled to same. The Judges shall notify this Association 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 tracks where pari-mutuel wagering is conducted when such distribution of pools is made upon the official placing at the conclusion of the race.

§ 9. **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 unapproved medicant, the horse shall immediately be scratched from the race and an investigation conducted by the officials to determine if there was a violation of Section 4 of this rule.

§ 10. The penalty for violation of any sections of this rule, unless otherwise provided, shall be a fine of not to exceed \$5,000, 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.

§ 11. Any veterinarian practicing veterinary medicine on a race track 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.

§ 12. 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 1. **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.

Fines which have been unpaid for a period of five years may be dropped from the records of the treasurer of the Association, however, such action will not affect the suspension.

§ 2. **Recording and Posting Penalties.**—Written or printed notice thereof shall be delivered to the person penalized and notice shall be posted immediately at the office of the member, with the exception of an initial human positive drug test, and notice shall be forwarded immediately to the Executive Vice-President by the Presiding Judge or Clerk of the Course. The Executive Vice-President shall transmit notice of suspension to the other members; and thereupon the offender thus punished shall suffer the same penalty and disqualification with each and every member.

§ 3. **Effect of Minor Penalty on Future Engagements.**—Where the penalty 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 declared 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 one day for each date he drives in such a race.

§ 4. **Disposition of Fines.**—All fines which are collected shall be reported and paid upon the day collected to the Executive Vice-President.

§ 5. **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 the time of receipt of written notice of suspension from the Member or the President, or Executive Vice-President, from any participation, either directly or indirectly, in the privileges and uses of the course and grounds of a member during the progress of a race meeting, unless otherwise specifically limited when such suspension is imposed, such as a suspension from driving. A suspension or expulsion or denial of membership of either a husband or wife may apply in each instance to both the husband and wife. The suspension becomes effective when notice is given unless otherwise specified. A person may be suspended, expelled or denied membership under this rule if it is determined that such person's spouse would be denied membership upon application, and this Association reserves the right to require such person's spouse to complete and submit an application in order to make such determination.

§ 6. **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 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 not less than \$50, nor more than \$100, for each offense.

§ 7. **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.

§ 8. **Indefinite Suspension.**—If no limit is fixed in an order of suspension and none is defined in the rule applicable to the case, the penalty shall be considered as limited to the season in which the order was issued.

§ 9. **Suspended Person.**—Any member wilfully allowing a suspended, disqualified or excluded person to drive in a race, or a suspended or disqualified horse to start in a race after notice from the President or Executive Vice-President, shall be together with its officers, subject to a fine not exceeding \$100 for each offense, or suspension or expulsion.

§ 10. **Expelled Person.**—Any member wilfully allowing the use of its track or grounds by an expelled or unconditionally suspended man or horse, after notice from the President or Executive Vice-President, shall be, together with its officers, subject to a fine not exceeding \$500 for each offense, or suspension or expulsion.

§ 11. An expelled, suspended, disqualified or excluded person cannot act as an officer of a track member. A track member shall not, after receiving notice of such penalty, employ or retain in its employ an expelled, suspended, disqualified or excluded person at or on the track during the progress of a race meeting. Any member found violating this rule shall be fined not to exceed \$500.

§ 12. **Dishonored Check, Etc.**—Any person being a member of this Association who pays an entry, a fine or other claim to this Association or an entry or fine to another member of this Association by a draft, check, order or other paper, which upon presentation is protested, payment refused or otherwise dishonored, shall be by order of the Executive Vice-President, subject to a fine not exceeding the amount of said draft, check or order, and the winnings of the horse or horses declared illegal and said persons and horses suspended until the dishonored amount and fine are paid and the illegal winnings returned.

§ 13. **Penalty of Racing Commissions.**—All penalties imposed by the Racing Commissions of the various states shall be recognized and enforced by this Association upon notice from the Commission to the Executive Vice-President, except as provided in Section 15 of this Rule 22.

§ 14. **Reciprocity of Penalties.**—All persons and horses under suspension or expulsion by any State Racing Commission or by a reputable Trotting Association of a foreign country shall upon notice from such commission or association to the Executive Vice-President, be suspended or expelled by this Association. Provided, however, that, for good cause shown, the Board of Appeals may, upon consideration of the record of the proceedings had before such State Commission or foreign Association modify or so mold the penalty imposed to define the applicability thereof beyond the jurisdiction of the state Commission or foreign Association. Provided further that, whether or not a penalty has been imposed by a State Racing Commission, the District Board may make original inquiry and take original jurisdiction in any case as provided in Sections 2 and 15 of Article IV of the Bylaws.

§ 15. **Modification of Penalty.**—Any suspension imposed by Judges can be removed or modified by the Executive Vice-President upon the recommendation of the Judges and Member on whose grounds the penalty was imposed.

## **RULE 23.—PROTESTS AND APPEALS.**

Section 1. **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.

§ 2. The Judges shall in every case of protest demand that the driver, and the owner or owners, if present, shall immediately testify under oath; and in case of their refusal to do so, the horse shall not be allowed to start or continue in the race, but shall be ruled out, with a forfeit of entrance money.

§ 3. Unless the Judges find satisfactory evidence to warrant excluding the horse, they shall allow him to start or continue in the race under protest, and the premium, if any is won by that horse, shall be forthwith transmitted to the Executive Vice-President to allow the parties interested an opportunity to sustain the allegations of the protest, or to furnish information which will warrant an investigation of the matter by the District Board of Review. Where no action is taken to sustain the protest within thirty days, payment may be made as if such protest had not been filed.

§ 4. Any person found guilty of protesting a horse falsely and without cause, or merely with intent to embarrass a race, shall be punished by a fine not to exceed \$100 or by suspension or expulsion.

§ 5. When a protest has been duly made or any information lodged with the Judges alleging an improper entry or any act prohibited or punishable under these rules, the same shall not be withdrawn or surrendered before the expiration of thirty days, without the approbation of the Executive Vice-President. If any member shall permit such a withdrawal of protest or information with a corrupt motive to favor any party, the executive officers so permitting it may be expelled by the District Board of Review.

§ 6. **Appeals.**—All decisions and rulings of the Judges of any race, and of the officers of Member Tracks may be appealed to the District Board of Review within ten (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. In order to take an appeal under Rule 18, a driver must have first made a complaint, claim, or objection as required in Rule 18. The District Board of Review may vacate, modify, or increase any penalty imposed by the Judges and appealed to the Board. In the event an appellant fails to appear at the hearing of his appeal without good cause the District Board may impose a fine not to exceed \$100.00 or a suspension not to exceed thirty days to be effective at the first meeting at which he has horses entered for racing.

Provided however that where the appeal is from a ruling or a decision at a pari-mutuel meeting said appeal shall be to the state racing commission exercising jurisdiction over the conduct of racing at such meeting and in accordance with the rules of said commission.

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, as outlined in Rule 4, Section 39(b), 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.

§ 7. 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 dash.

§ 8. All appeals shall be in writing and sworn to before a Notary or one of the Judges of the Meeting. At the time the appeal is filed, a deposit of \$100, or an agreement to forfeit the sum of \$100 in the event the Board determines the appeal is not justified, must accompany the appeal. In the event the District Board of Review feels that the appeal was justified, it will refund the money to the appellant. This procedure does not apply to protests.

§ 9. In case of appeal or protest to The United States Trotting Association, the purse money affected by the appeal or protest must be deposited with the Executive Vice-President pending the decision of the District Board of Review. Any purse or portion thereof withheld for any reason shall be forthwith sent to the Executive Vice-President together with a full statement showing the reason for such withholding.

§ 10. Any track member that fails to send the Executive Vice-President, within one week of the date on which it was filed, any protest or appeal filed with the member or its Judges, may be fined or suspended.

§ 11. 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.

§ 12. In every case where a penalty is imposed, and such penalty has been appealed to any appropriate appellate body, such appeal, if requested, shall stay such suspension 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 and the State Commission, 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 monetary fine, if any, 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.**

Section 1. **Timing Races.**—In every race, the time of each heat 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. 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.

§ 2. **Error in Reported Time.**—In any case of alleged error in the record, announcement of 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 of Review, or the Executive Vice-President.

§ 3. **Track Measurement Certificate.**—In order that the performances thereon may be recognized and/or published as official every track member not having done so heretofore and since January 1st, 1939, shall forthwith cause to be filed with the Executive Vice-President the certificate of a duly licensed civil engineer or land surveyor that he has subsequently to January 1st, 1939, measured the said track from wire to wire three feet out from the pole or inside hub rail thereof and certifying in linear feet the result of such measurement. Each track shall be measured and recertified in the event of any changes or relocation of the hub rail.

Provided further that effective January 1, 1992 and thereafter the times of horses obtained on tracks which have not been recertified within the past five (5) years shall not be recognized.

§ 4. The leading horse shall be timed and its time only shall be announced. No horse shall obtain a win race record by reason of the disqualification of another horse unless the horse's actual race time can be determined by photo finish or electronic timing.

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

§ 6. **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.

§ 7. **Misrepresentation of Time—Penalty.**—(a) A fine not to exceed \$500 shall be imposed upon any track member of this Association on whose grounds there shall be allowed any misrepresentation of time, and time shall be deemed to have been misrepresented in any race, wherein a record of the same is not kept in writing. A fine imposed under this rule shall include the officers of the member.

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

§ 8. **Time Performances.**—Time performances are permitted subject to the following:

(a) Urine and saliva tests are required for all horses starting for a time performance. The provisions of Rule 21, with the exception of Section 4, 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, Section 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 by the Executive Vice-President immediately prior to or following a regularly scheduled meeting provided a full complement of licensed officials are in the Judges' Stand and provided a separate application is filed with the Executive Vice-President, thirty days in advance, listing the officials and the number of days requested.

(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) Any consignor, agent or sales organization or other person may be fined or suspended for selling or advertising a horse with a time trial record without designating it as a time trial.

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

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

(i) 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. Provided, however, that a mechanical device acceptable to the President or Executive Vice-President of this Association may be used. Provided, further, that a horse may not be used as a prompter for more than two time trial performances each time he is hitched, and may not be hitched more than three times in a single day, with at least forty minutes between each such use. It shall be the responsibility of the Presiding Judge to see that prompters are not abused.

(j) A break during a Time Trial is a losing effort and a losing performance shall not constitute a record.



(k) 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.

§ 9. No time record shall be recognized as a world record if obtained on a track without an inside rail or other fixed marker.

§ 10. For horses bred in North America and subsequently exported, foreign earnings shall be converted to U.S. dollars and credited to the horse on U.S.T.A. 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. U.S.T.A. 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.

## **RULE 25.—INTERNATIONAL REGISTRATION.**

Section 1. The Executive Vice-President may appoint export agents at various ports of shipping who shall upon examination and identification of the horse to be exported, endorse the application for export certificate. Every application for an export certificate must be accompanied by a certificate of registration in the current ownership and a fee in the sum of \$330.00. The export certificate shall be issued and signed by the Executive Vice-President or Registrar of the Association and the corporate seal affixed thereto. No such certificate will be issued for the export of any horse under expulsion nor for any horse currently under suspension by this Association. The fee for a duplicate certificate shall be \$10.00.

Except for foals under 17 months of age, no export certificate will be granted to any horse that is not tattooed or freeze branded as authorized by this Association. Where an export certificate is to be issued pursuant to this rule to a horse that is not tattooed or freeze branded as authorized by this Association, the horse shall nevertheless be further identified with appropriate color photographs depicting color and all white markings.

Provided further, that 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.

§ 2. 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.

§ 3. If any horse registered with the Association 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 United States Trotting Association.

§ 4. **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 Association Non-Standard, 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 1st, 2nd and 3rd 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 members of this Association and a fee of **\$200.00** in the case of horses which have not raced previously, and **\$200.00** in the case of horses which have previously raced, must accompany the application.

(f) A standard U.S.T.A. application for registration must be filed, signed by the person to whose ownership the horse was cleared from the foreign registry.

## **RULE 26.—REGISTRATION OF HORSES.**

Section 1. In order to register a horse the owner thereof must be a member of this Association. Provided, however, that 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 is in membership. Any person authorized to sign a mating certificate, an application for registration or any of the required breeding or registration reports must be a member of this Association.

§ 2. **Standard Bred.**—Horses may be registered as Standard with any of the following qualifications:

(a) The progeny of a registered Standard horse and a registered Standard mare.

(b) A stallion sired by a registered Standard horse, provided his dam and granddam were sired by registered Standard 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 Standard horse, and whose dam and granddam were sired by a registered Standard horse, provided she herself has a Standard record.

(d) A mare sired by a registered Standard horse, provided she is the dam of two performers with Standard records.

(e) A mare or horse sired by a registered Standard horse, provided its first, second and third dams are each sired by a registered Standard horse.

(f) No horse over four years of age is eligible for registration. For foals of 1976, no horse over three years of age is eligible for registration. For foals of 1977 and thereafter, no horse two years of age or older is eligible for registration. For foals of 1989 and thereafter, 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 Association no later than July 1 of the yearling year.

Provided, however, that a foal may be registered if the requirements are met after the July 1 deadline upon payment of \$250.00 in addition to the fee set forth in Rule 26, Section 10. For foals of 2002 and thereafter, 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 Association no later than December 31 of the foaling year. Provided however, that the foal may be registered after the December 31 deadline upon payment of \$250.00 in addition to the fee set forth in Rule 26, Section 10.

(g) Horses registered Standard with the Canadian Standardbred Horse Society, 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 Standard with this Association provided their records and/or qualifications meet the standards of this Association and are approved by the President, Executive Vice-President or Registration Committee.

(h) The Standing Committee on Registration may register as Standard any horse which does not qualify under the above sections, if in their opinion he or she should be registered Standard.

§ 3. **Non-Standard Bred.**—Any horse may be registered as Non-Standard 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-standard stallion for service must include the fact that it is non-standard in all advertisements of such service.

Provided however, other provisions of these rules notwithstanding, the standing committee on registration may register as non-standard any horse which does not qualify for such registration under this section if in their opinion such horse should be registered non-standard.

§ 4. The breeder of a horse, for the purposes of registration, is the owner or lessee of the dam at the time of breeding, and when held under lease, bred on shares or in partnership, only such lease or partnership will be recognized for such purposes which is filed in the offices of The United States Trotting Association. The application for registration must be signed by the registered owner of the dam of the foal at the time of foaling, or by his agent, duly authorized in writing and filed with this Association. The signature of the owner of a foal or his authorized agent and the person responsible for recording of markings is required on the registration application. It shall be the responsibility of the person registering a foal to note the place of foaling on the application for registration, and that information shall be recorded on the registration certificate and any eligibility certificate issued for the foal.

§ 5. **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 this Association. In such event the lessee must sign the mating certificate. A mating certificate must be on file in the office of the Association before a certificate of registration will be issued.

§ 6. **Artificial Insemination.**—A foal conceived by semen which is frozen, desiccated, or transported off the premises where it is produced is not eligible for registration.

Provided, however, that beginning with the 1992 breeding season and for foals of 1993 and thereafter, a foal conceived by transported fresh semen shall be eligible for registration. The fact that the foal is the product of transported fresh 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).

Provided further that beginning with the 1997 breeding season and for foals of 1998 and thereafter a foal conceived by frozen semen shall be eligible for registration, and the fact that the foal is the product of frozen semen shall be annotated on all documents relative to the foal. 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.

§ 7. **Breeding Requirements.**—Before using a stallion at stud, the owner must register the stallion for breeding purposes with this Association, and the person responsible for maintaining the breeding records for the stallion may be required to establish his qualifications for same by successfully completing a written or oral examination.

It shall be the responsibility of stallion owners to have each stallion properly bloodtyped at a laboratory approved by this Association. Provided however, that in the case of stallions which are sires of 1998 foals and thereafter, such stallion shall be DNA genotyped at a laboratory approved by this Association. 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, 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 United States Trotting Association, and shall be kept at least ten years or filed with The United States Trotting Association.

All persons standing a stallion at either public or private service shall file with this Association 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 nor more than \$50.00. Application for registration may be refused from any person not complying with this rule. **A fee in the amount of \$5.00 per mare shall accompany the list of mares bred. Provided however that where the list of mares bred is not filed by September 1 of the year of breeding the fee shall be \$10.00 per mare.**

Beginning with the 1987 breeding season, all brood mares must be blood typed by a laboratory approved by U.S.T.A. and the blood type of the mare must be on file with U.S.T.A. before any foal of 1988 and thereafter may be registered. Provided however that beginning with the 1997 breeding season, all broodmares producing foals of 1998 and thereafter, must be DNA genotyped at a laboratory approved by this Association.

Beginning with the 1992 breeding season and thereafter, all persons standing a stallion shall report a list of mares bred by transported fresh semen and the date the semen was transported. This list must be filed by September 1 of the year of breeding.

§ 8. **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 fifteen 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 two 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 United States Trotting Association 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.

§ 9. **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.

§ 10. **Fees for Registration.**—(a) For foals of 1977 and thereafter, for which a complete application for registration is received, the registration fee shall be: for applications received prior to four months of age, \$132.00 for members, \$198 for non-members; for applications received after four months of age and through December 31st of the year of foaling, \$165 for members, \$231 for non-members; yearlings, \$265 for members, \$331 for non-members, coupled with an identification satisfactory to the Registrar. No charge shall be made for minor markings changes or corrections submitted prior to June 1st of the yearling year. Beginning with foals of 1994 and thereafter the applicable blood typing fee shall be paid along with the registration fee at the time of application for registration.

(b) Horses registered with the Canadian Standardbred Horse Society Records and complying with the conditions of Rule 26, Section 2(g) may be registered or re-registered with The United States Trotting Association on presentation of the Canadian certificate.

§ 11. **Fees for Transfer.**—For each change in ownership: if application is received within 90 days after date of sale, \$33.00 for members, \$80.00 for non-members; 90 days to six months, \$61.00 for members, \$105.00 for non-members; six months to one year, \$115.00 for members, \$155.00 for non-members; over one year, \$187.00 for members, \$220.00 for non-members.

§ 12. **Fee for Duplicate Registration Certificate.** — A duplicate Registration Certificate shall be issued to members for \$22.00 or to non-members for \$70.00 upon receipt of the signed statement of the current registered owner or owners that the original is lost, stolen or destroyed.

§ 13. **Fees for Re-Registration to Change the Name.**—The fee for re-registration of a yearling prior to January 1st when it shall become two years old, which re-registration is solely for the purpose of a change of name, shall be \$16.50 for members and \$65.00 for non-members. After a horse becomes a two year old, the fee for change of name shall be \$28.00 for members and \$75.00 for non-members. No change of name will be permitted once a horse has raced, nor will any change of name be permitted for stallions or mares that have been used for breeding purposes.

§ 14. **Notice of Sale.**—Any party acquiring ownership of a registered standardbred horse shall immediately notify The United States Trotting Association 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 this Association.

§ 15. **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 Section 16 hereof.

§ 16. **Penalty for Executing False Application for Registration or Transfer.**—The President, Executive Vice-President, Registration Committee or District Board of Review 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 the Association and such animal may be barred from registration. The decision of the President, Executive Vice-President, Registration Committee or District Board of Review, as the case may be, shall be reduced to writing and shall be final unless the person or persons aggrieved thereby shall, within ten (10) days appeal in writing to the Board of Appeals as provided in Article IX of the Bylaws.

§ 17. **Fee for 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.

§ 18. **Cancellation of Incorrect Registrations.**—If, upon any proceeding under the provisions of Section 16 of this rule 26, 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.

§ 19. 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 this Association may subject the member to suspension by the Executive Vice-President.

§ 20. When a registered horse dies or is disposed of, without the registration certificate accompanying the horse, the owner of the horse must notify this Association in writing and forward the registration certificate of the horse to this Association for proper cancellation.

§ 21. **Report On Unregistrable Foal.**—If a mare is bred in a given year and fails to produce a registrable foal, the owner of such mare shall, prior to December 31st of the succeeding year report to this Association 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.

§ 22. 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 when a mare produces 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, effective immediately.**

§ 23. **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.

§ 24. The Board of Directors may designate a proper person as Registrar who may affix his signature on Registration Certificates and documents relating to import and export of horses.

§ 25. Effective January 1, 1986, 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 this Association prior to offering her for breeding.

§ 26. No horse that is conceived by embryo or ovum transplant, or by artificial insemination not meeting the requirements or restrictions as set forth in Rule 26, Section 6, shall be registered with U.S.T.A.

Provided however, that beginning with the 1997 breeding season and for foals of 1998 and thereafter, a foal which results from an embryo/ovum transfer shall be eligible for registration only if the following requirements are met:

(a) prior to the embryo/ovum transfer, application is made to the Registrar setting out sufficient details for the Registrar to determine whether the proposed transfer complies with the regulations and the Registrar approves the embryo/ovum transfer;

(b) only a donor mare's first born embryo/ovum transfer foal each year will be eligible for registration;

(c) the donor mare is at least two years of age or older at the time of the embryo/ovum transfer.

(d) all other normal registration requirements are met.

Thus, a foal which results from an embryo/ovum transfer in 1997 or thereafter may be registered with the United States Trotting Association provided that:

- (1) an application is submitted to the Registrar on the Association's prescribed form and is accompanied by the prescribed fee;
- (2) the stallion and donor mare are blood typed or DNA tested.
- (3) the Registrar approves the embryo/ovum transfer by letter sent to the applicant;
- (4) subsequent to all embryo/ovum transfers a "Certificate of Embryo/Ovum Transfer" is completed by the transferor on the Association's prescribed form and filed with the Registrar within fifteen days following each embryo/ovum transfer but no later than July 31 of the breeding season that the embryo/ovum transfer occurs.
- (5) the owners of the foal are members in good standing of the Association;
- (6) the application for registration and the Mating Certificate are on file with the Association no later than June 30th of the horse's yearling year;
- (7) registration fees, in accordance with the present fee schedule, are paid.

(e) For purposes of registration with this Association, an embryo/ovum transfer foal shall be considered to be the property of the owner of the donor mare at the time of mating.

(f) A donor mare shall not be eligible to race in claiming races during the donee mare's gestation period.

(g) A foal resulting from a frozen embryo/ovum transfer shall not be eligible for registration.

(h) Any successful embryo flush of mare and subsequent implant in a recipient mare shall be reported to the Registrar within 21 days of the implant.

§ 27. Beginning with foals of 1989 and thereafter, the parentage of all foals shall be verified by either a Parentage Verification Blood Test or a DNA positive identification conducted by a recognized laboratory after the permanent identification (tattooing or freeze branding) of the foal and prior to the issuance of an eligibility certificate, or the use of the foal for breeding purposes, whichever occurs first. Provided however that beginning with 1998 foals and thereafter the parentage of those foals shall be verified by DNA genotyping conducted by a recognized laboratory after the permanent identification of the foal by tattooing or freeze branding and prior to the issuance of an eligibility certificate, or the use of the foal for breeding purposes, whichever occurs first.

§ 28. Beginning with foals of 1994 and thereafter, no transfer of a registered foal will be recorded by U.S.T.A. unless the parentage of said foal has been verified by either a parentage verification blood test or a DNA positive identification by a recognized laboratory after a permanent identification of the foal by either tattooing or freeze branding. Provided however that beginning with foals of 1998 and thereafter, no transfer of a registered foal will be recorded by USTA unless the parentage of said foal has been verified by DNA genotyping by a recognized laboratory after a permanent identification of the foal by either tattooing or freeze branding.

§ 29. Other provisions of these rules notwithstanding reciprocity of registration between the United States Trotting Association and the Canadian Standardbred Horse Society shall require registration of the horse with the registry in the country in which the owner resides.



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§ 30. Beginning with foals of 2001 and thereafter, the freeze branding or other identification of foals shall be simultaneous with the drawing of blood from the foal for bloodtyping 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.

§ 31. A foal resulting from the process known as "CLONING" shall not be eligible for registration.

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## **CHAPTER TWO**

(Pages 109 thru 138)

1. ARTICLES OF INCORPORATION . . . . . Pages 110-113
2. BYLAWS. . . . . Pages 114-135
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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. Rittenour . . . . . Piketon, OH  
Don A. Detrick . . . . . Bellefontaine, 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 (45), 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

Section 1. **Qualifications of Members.**—(a) **Track Members.** All persons, firms, corporations, fair societies and agricultural associations sponsoring and conducting meetings other than extended pari-mutuel harness race meetings and all persons, firms, associations, and corporations conducting extended pari-mutuel harness race meetings may become members of this Association.

(b) **Active Members.** (1) Owners of registered Standard bred or Non-Standard bred horses; (2) Officials licensed for the current or preceding year; (3) Drivers licensed for the current or preceding year; (4) Trainers licensed for the current or preceding year; (5) Corporations, Associations, Individuals or Stake Secretaries sponsoring stakes or futurities, but not engaged in conducting race meetings, as such; (6) Officers, Directors, Managers, Speed Superintendents, Race Secretaries and Executive Employees of corporations or associations conducting harness race meetings in the current year; (7) A Member or Secretary of a State Racing Commission which actually licenses harness race meetings; (8) Officers, Directors and Stockholders of corporations owning and racing horses; (9) Farm managers or persons designated to verify breeding records; (10) All persons who have continuously been Active Members in good standing of U.S.T.A. for a ten year period or longer.

(c) **Associate Members.** Persons, firms, corporations or associations not qualified for Track Membership or Active Membership, but being interested in the sport of harness racing.

Section 2. **Application for Membership**—(a) All applications for membership other than for extended pari-mutuel track membership shall be made annually in writing to the Executive Vice-President and signed by the applicant. The applicant shall show that he has the necessary qualifications for membership and state that he will obey the rules and regulations of the Association.

Provided however, that applicants for renewal of individual active or associate memberships may submit said renewals by telephone or other approved electronic filing.

(b) **New Application for Pari-Mutuel Track Membership.**—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 in writing and signed by the individual(s) making application or by the President and Secretary of the corporation or association making the application. 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) Satisfactory evidence of good character of all persons interested, directly or indirectly, in said firm, corporation, or association.

(3) A full and complete statement of the financial status of the person, firm, corporation or association, together with satisfactory evidence of finan-

cial responsibility and assurance that the applicant will fulfill the dates applied for and discharge all obligations to the horsemen and this Association.

(4) An agreement, promise and undertaking by the applicant to furnish a surety bond, naming the Association as Obligee, and in such amount as the President shall deem proper and adequate, conditioned for: a. Compliance by the applicant 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 all extended pari-mutuel track applicants that they will carry driver accident insurance.

(5) A statement of payment of all debts, claims and demands arising from or growing out of all previous meetings held by: a. the applicant; and b. every person who is an officer or director of the applicant, if the applicant is a firm, corporation or association; c. every firm, corporation or association of which any officer or director is also an officer or director of the applicant.

(6) A detailed statement of the location and adequacy of equipment and appurtenances of the track sought to be licensed by the application for membership.

(7) A statement of the specific dates upon which it is proposed to conduct such meeting.

(8) Satisfactory evidence that the acceptance to membership of and the issuance of a license to the applicant would be in the best interests of the sport of harness racing and in no wise be detrimental to or reflect adversely or unfavorably upon the sport or the Association.

(9) Such other pertinent information which the President shall, from time to time, require.

(10) Pari-mutuel track membership applications fully completed shall be filed at least 60 days prior to the opening date of the meeting, unless the President shall find, for good cause shown, that an emergency exists that warrants his acceptance of a later filing.

**(c) Application for Extended Pari-Mutuel Track Membership by Race Track Licensed by Racing Commission Having Jurisdiction.**—Application for track membership by any person, firm, corporation or association or other government agency licensed prior to 1962 and currently licensed by a State Racing Commission to conduct race meetings in the United States or Canada at which pari-mutuel wagering is permitted shall be made annually in writing and signed by the individual(s) making application or by the President and Secretary of the corporation or association making the application. Said application shall contain the following:

(1) That the applicant is currently licensed to conduct a harness race meeting by any State Racing Commission or other government agency having jurisdiction.

(2) That the applicant, where not inconsistent with the rules, regulations and directives of the State Racing Commission having jurisdiction,

(a) shall comply with the legal rules, regulations, and Bylaws of the Association;

(b) will pay all dues, fines or other sums due or to become due to the Association;

(c) will pay any and all sums due or to become due to horsemen participating in such meeting;

(d) will carry driver accident insurance.

(3) The said applicant will attach a copy of the application filed with State Racing Commission or other governing body to secure such license together with all pertinent supporting papers required by such governing agencies.

(4) A copy of the current financial statement of the applicant, individual or organization.

**Section 3. Rejection of Application for or Revocation of Membership.—**

(a) The President of the Association may reject the application of any applicant who fails to comply with the requirements for membership herein specified; or 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 or whose membership would be detrimental to or reflect adversely or unfavorably on harness racing or upon the Association.

Without limiting the generality of the foregoing, the President may reject an application if he shall find that the applicant if an individual, or if a corporation, any officer, director, manager or executive employee thereof:

(1) has been convicted of a crime involving moral turpitude;

(2) 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;

(3) has failed to comply with the bylaws, rules and regulations of this Association;

(4) 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, or fails properly to furnish information requested to supplement such application.

Where criminal proceedings are pending which may result in disqualification under Sub-Section (1) of this Sub-Division, the President may suspend action on an application for membership until final judgement in such criminal proceedings.

(b) The president may refer any new application for membership or any application for renewal of membership to the District Board of Directors from the district from which the application is made for a recommendation prior to acting thereon. When such reference is made the time for the rejection, revocation or modification by the President shall be extended for a period of thirty (30) days. Where an application for membership is referred to the District Board of Review 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.

(c) The President or a District Board may hold hearings, summon witnesses, take testimony and authorize hearings for the purpose of determining any question arising under this section.

(d) The President may approve a Track Membership Application conditionally or with modifications as to racing dates, further financing, additional equipment or plant changes or personnel or other conditions or modifications.

(e) Pending approval of the application for a license by any association that has not been licensed for the preceding year, no Early Closing Events, Late Closing Events or Stakes may be advertised or nominations taken therefor.

(f) 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.

(g) The President's rejection, revocation, suspension or modification of an application for membership shall be in writing and mailed by certified mail to the applicant at his or its given address within thirty (30) days of receipt of said application together with any supporting information which may be required.

(h) An applicant may appeal such decision pursuant to Article IX of the Bylaws within thirty (30) days from the time such decision is so mailed.

(i) Forthwith 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.

(j) Any member 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.

(k) Forthwith, 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.

(l) Forthwith, any person 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 5 years.

(m) Forthwith, any person who has admitted or been finally adjudicated guilty of the cruel or inhumane treatment of a horse shall be disqualified from membership in this Association for a minimum period of one year with the length of disqualification beyond one year to be determined by the gravity of the offense.

**Section 4. Membership Dues and Fees.**—(a) Track members, other than 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 as follows:

(1) Meetings at which no pari-mutuel betting is conducted; meetings at which pari-mutuel betting is conducted simultaneously and in conjunction with the conduct of a bona fide agricultural fair; meetings of not more than 10 days' duration in any year with purses greater than \$100,000.00, the fee shall be one-fourth of one percent but in no event more than a total of Two Thousand Dollars (\$2,000.00) in any one year.

(2) At all meetings other than those provided for above or in Section 4(b) hereafter, the fees shall be three-fourths of one percent.

(3) In no event shall said annual sanction fees for a track member be less than \$50.00 a year.

(4) At non-pari-mutuel meetings and non-extended pari-mutuel meetings conducted by agricultural fairs at which 60% or more of the total purses con-

sists of tax monies from the state in which the fair is conducted, the annual membership fee shall be \$75.00. At agricultural fairs with total purses less than \$100,000.00, the membership fee shall be \$50.00.

(b) At tracks in the United States with 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 single day shall constitute two programs or performances), and the net purses raced for at the meeting for the current year, at the rate of \$45.00 per program plus 0.27% of the first \$4,999,999.00 in net purses paid, plus 0.17% of the amount of net purses thereafter. For purposes of this rule net purses is defined as gross purses less the sum of nominating fees, sustaining fees, starting fees, and any other amounts paid into the gross purses by stakes sponsors, state agencies or any source other than the track member.

(1) The 0.27% or 0.17% of net purses shall be paid upon receipt of pro-rata statements which will be rendered to track members at monthly intervals beginning following the first month of each track members meeting with the balance, if any, due and payable upon receipt of final statement at the conclusion of such meeting.

(2) Interest at the rate of 1% per month, compounded, will be charged on any unpaid portion of any such statement computed following 30 days from the date of such prorata 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 which is 75% of its gross purses and use that “net purse” figure in calculating its membership fees.

(c) Active Members shall pay dues in the amount of \$66.00 for the original application for membership, and \$50.00 for renewal dues annually thereafter.

(d) Associate Members shall pay dues in the amount of \$66.00 for the original application for membership, and \$50.00 for renewal dues annually thereafter.

Section 5. **Voting Privileges of Members.**—Track members other than pari-mutuel track members in good standing and 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. Extended pari-mutuel tracks will vote as set forth in Article III. Associate members shall have no voting privileges.

Section 6. **Hoof Beats.**—Each Member in good standing having paid annual dues shall be entitled to an annual subscription to “Hoof Beats,” upon payment of an additional fee of \$16.50. To defray the actual cost of such subscription, the additional sum of \$5.00 from each membership fee is hereby allocated to the subscription of *Hoof Beats*.

Section 7. 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.

Section 8. 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.

## ARTICLE II.—DISTRICTS

Section 1. **Districts.**—Subject to subsequent modifications or additions there are hereby created eleven Districts within the United States; and one District for the Dominion of Canada and certain Sub-Districts; and said eleven Districts and Sub-Districts being geographically constituted as follows:

District 1. Ohio.

District 2. **(A) Michigan (B) Indiana.**

District 3. Colorado, California, Nevada, Idaho, Oregon, Washington, Utah, New Mexico, Arizona, Wyoming, Montana, Hawaii and Alaska.

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:

4. (a) Kansas, Oklahoma, Arkansas, Nebraska, Iowa, Missouri and Texas.

4. (b) Wisconsin, Minnesota, North Dakota and South Dakota.

District 5. Illinois.

District 6. (A) Florida, (B) Tennessee, Alabama, Georgia, North Carolina, South Carolina, Kentucky, West Virginia, Louisiana and Mississippi.

District 7. Pennsylvania.

District 8. Third, fourth, fifth, sixth, seventh and eighth judicial districts and Orange County in New York State.

District 8A. First, second, ninth (less Orange County), tenth and eleventh judicial districts in New York State.

District 9. Maine, New Hampshire, Vermont, Massachusetts, Connecticut and Rhode Island.

District 11. Delaware, District of Columbia, Maryland and Virginia.

District 12. New Jersey.

Section 2. **Annual District Meeting.**—(a) There shall be held within each District an annual meeting of the membership of each District between the first day of October and the first day of February following. 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 no later than July 15th. The date of the Annual Meeting must be announced and published in *Hoof Beats* from the August issue through the February issue. Provided, however, that in District 4 beginning in 1990 there shall be separate annual meetings of Sub-District 4(a) and Sub-District 4(b), with any election for the Sub-District 4(a) Director to take place at the Sub-District 4(a) meeting, any election for the Sub-District 4(b) Director to take place at the Sub-District 4(b) meeting, and any election for the At-Large Director to take place at whichever of the two meetings is held first in the year of the election.

(b) **Notice of Meeting.**—Written notice of the time and place of such meeting shall be served by depositing said notice in the mail not less than twenty-five nor more than forty-five days before the meeting upon each member of record in the District. Such notice shall be directed to the member at his address as recorded with the Association, and it shall be the duty and responsibility of the respective member to file and record with the Association his correct address or any changes thereof.



(c) **Purpose of Meeting.**—Purpose of the annual District meeting shall be the election of a Director or Directors and the transaction of such other business as may properly come before such meeting.

(d) **Quorum.**—Ten members of each such district must be present in person in order to constitute a quorum for the transaction of business at any district meeting.

Section 3. **Special District Meetings.**—(a) Special District Meetings may be called at any time by a majority of the District Board. 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 Section 2, 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 call of meeting shall be transacted.

Section 4. **Adjournment of District Meeting.**—Whenever at any meeting of the District members there shall be less than a quorum present such meeting may be adjourned from time to time by a majority vote of those present in person until a quorum shall be present, provided, however, that no adjournment shall be for a period exceeding thirty days at any one time.

Any meeting at which a quorum is present may be adjourned for such time as may be fixed by the vote of the majority of the members present in person at the meeting. At any adjourned meeting at which a quorum shall be present any business may be transacted which might have been transacted at the original meeting.

Section 5. **Voting.**—Qualified members of the Association in good standing shall be entitled to vote at the annual and special District meeting. A member shall be entitled to vote only in the District in which he resides. Provided however that the voting for membership elected district directors shall be in accordance with and governed by the provisions of Article III, Section 6, subsections b, d, and e of the Association Bylaws.

Section 6. **Order of Business.**—At the annual District Meetings of the Association, the Chairman, or in the event of his 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. Calling the roll of Members entitled to vote.
3. Reports of Officers.
4. Reports of Committees, if any.
5. Report of Election Committee.
6. Election of Directors.
7. Miscellaneous business.

Section 7. **Election Committee.**—(a) If there is a contest for 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 III, Section 6(e) 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. The Chairman of the District Board shall preside at and have charge of the Election Committee, save in case he is a candidate in which event he 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) The Election Committee shall report in writing to the Chairman of the District Board the final vote.

(e) In case any question is raised as to the legality of the Election the Chairman shall take into custody the ballots cast and keep the same safely for a period of at least ninety days.

### ARTICLE III.—DISTRICT BOARDS

Section 1. **District Directors.**—Except as otherwise provided in Article II, Section 2 of these Bylaws, directors other than those nominated by the extended pari-mutuel tracks shall be elected from and by the membership of each district at the first meeting held in each of the districts. The remaining Directors shall be elected by the extended pari-mutuel track members in each district containing one or more extended pari-mutuel tracks. “Pari-Mutuel Tracks” and “Pari-Mutuel Directors” as referred to in these Articles, applies to the tracks and Directors of extended pari-mutuel meetings, which are meeting or meetings at which no agricultural fair is in progress with an annual duration of more than ten (10) days with pari-mutuel wagering. The said Directors shall constitute the District Board for their respective district and shall have the powers and duties hereinafter set forth.

The votes on behalf of any Pari-Mutuel Track Member shall be cast by the President thereof or his proxy. Partnerships operating tracks will by resolution designate the person authorized to cast the ballots for such member.

Section 2. **Qualifications of Directors.**—The Directors from each district shall consist of officers of extended pari-mutuel track members in good standing in each district as set forth in Section 3 of this Article and at least one qualified owner, driver, trainer or breeder in good standing; provided, however, that not more than one professional driver shall be a Director at any time from the same district, except that in districts having more than three Directors not more than two professional drivers shall be directors.

Section 3. **Number of Directors in Each District and Their Terms of Office.**—There shall be not less than three nor more than nine directors, from each district. The District Board of Directors in the respective Districts shall be as follows:

### A III S 3

1. The District Board of Directors of District 1 shall consist of seven members of which two shall be elected by pari-mutuel track members.

2. The District Board of Directors of District 2 shall consist of seven members, two of which shall be elected by the combined pari-mutuel track members in Michigan and Indiana.

Of the other five general membership elected directors, three shall be elected from and by subdistrict 2A (Michigan) residents and two shall be elected from and by subdistrict 2B (Indiana) residents.

3. The District Board of Directors of District 3 shall consist of three members of which one shall be elected by pari-mutuel track members.

4. The District Board of Directors of District 4 shall consist of three members, one to be elected from Sub-District (a) and one to be elected from Sub-District (b) and a third to be elected at large.

5. The District Board of Directors of District 5 shall consist of five members, of which two shall be elected by pari-mutuel track members.

6. The District Board of Directors of District 6 shall consist of five members one of which shall be elected by pari-mutuel track members of sub-district "A" and one of which shall be elected by the pari-mutuel track members of subdistrict "B."

Of the other three general membership elected directors, one shall be elected from subdistrict "A," one from subdistrict "B" with the third to be elected at large.

7. The District Board of Directors of District 7 shall consist of four members, of which one shall be elected by pari-mutuel track members.

8. The District Board of Directors of District 8 shall consist of seven members, of whom three shall be elected by pari-mutuel track members. District Directors holding office in District 8 prior to this amendment and residing in District 8 shall continue to serve out their terms.

8A. The District Board of Directors of District 8A shall consist of five members, of whom two shall be elected by pari-mutuel track members.

9. The District Board of Directors of District 9 shall consist of five members, of which two shall be elected by pari-mutuel track members.

10. The District Board of Directors of District 11 shall consist of four members, of which one shall be elected by pari-mutuel track members.

11. The District Board of Directors of District 12 shall consist of five members, two of whom shall be elected by the pari-mutuel track members.

These amendments shall be effective forthwith and all vacancies of track representatives shall be filled promptly in accordance with the procedure herein set forth. Provided, however, in order that all elections of those directors nominated by extended pari-mutuel tracks shall occur in the future in the same year, in each district, any vacancy occurring prior to the expiration of the term of any present track representative in any district shall be filled for a term of years not exceeding the unexpired term of any present director who qualified as being an officer of a track in such district. Thereafter all directors of each district will be elected for a three-year term, said term to begin with the seating of the Directors at the Annual Meeting of the full Board of Directors next following the elections and to run until the third Annual Meeting of the full Board of Directors following the seating.

All directors holding office for a period of 10 years and who are not subsequently re-elected shall automatically become DIRECTORS 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.

The Directors other than those nominated by extended pari-mutuel tracks shall be elected at the next annual meeting in such District at which a Director may be nominated and elected for a term of three years. At each annual District Meeting one Director shall be elected for a term of three years to fill the place of any Director in such district whose three-year term expires.

Whenever any Director shall, during his term office, lose qualifications required by Section 2 of this Article, his office shall be vacant as provided by Section 5 of this Article.

**Section 4. Chairman.**—The Directors representing each District shall elect a chairman.

If the office of Chairman becomes vacant by death, resignation or otherwise, the President of the Association shall call a meeting of the District Board of Directors for the purpose of electing a Chairman.

**Section 5. Vacancies.**—(a) Any vacancy on the District Board of a Director who qualified by being an officer of an extended pari-mutuel track, through death, resignation, removal or other cause shall be filled by the extended pari-mutuel track members of such district; and for any other vacancy on the District Board through death, written resignation (which resignation shall be filed with the United States Trotting Association office in Columbus), removal or other cause, said vacancy shall be filled from the membership of such district by the remaining membership-elected 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 director for the balance of the term or a new term if the existing term has expired, as provided in Section 6 herein. Provided, however, that if such vacancy occurs more than 40 days and less than 65 days prior to the published date of the next scheduled District Meeting, the vacancy shall not be filled by the remaining membership-elected directors but rather only by an election at the next scheduled District Meeting as provided in Section 6 herein; provided further that if such vacancy occurs 40 days or less prior to the published date of the next scheduled annual District Meeting, the vacancy may be filled by the remaining membership-elected directors but a successor director so elected shall not serve beyond the date of the District Meeting following the next scheduled annual District Meeting without standing for election by the membership in the manner prescribed in Section 6 hereof.

In the event a vacancy exists for a track representative, the Chairman of the District Board shall call a meeting on at least a 25-day written notice of the track members of the District for the purpose of electing a Director for the balance of the term as provided in Section 6 hereof.

**Section 6. Election of Directors.**—(a) Directors nominated by the extended pari-mutuel tracks shall be elected as follows:—Nominations for pari-mutuel track directors shall be made by pari-mutuel track members of each district at a meeting called by the Secretary of the Association to be held any time prior to the time of the annual District Meeting. The pari-mutuel track officer receiving the highest number of votes for each vacancy shall be deemed to be nominated to the Directorships of that district.

Pari-mutuel track members shall be limited to one representative on the Board of Directors (this provision shall not apply where it would act to

deprive a Pari-Mutuel track member or members of the minimum representation accorded to them by the provisions of Article III, Section 3 of the Bylaws of this Association). 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:

Net purses less than \$250,000—1 vote

Net purses amounting to between \$250,001 and \$500,000—2 votes

Net purses amounting to between \$500,001 and \$1,500,000—4 votes

Net purses amounting to between \$1,500,001 and \$3,000,000—6 votes

Net purses amounting to between \$3,000,001 and \$5,000,000—8 votes

Net purses amounting to \$5,000,001 and over—10 votes.

When all Directors subject to nomination by the pari-mutuel tracks in any one district are to be nominated the same year, each track may cast all its votes for one director or may divide its votes among various directors to be nominated. Except as stated herein, the terms of office for a director shall be three years.

(b) The remaining Directors shall be elected as follows: Nomination for Director shall be made by filing a written petition signed by at least 25 voting members from his district to be filed at the main office of the Association at Columbus, Ohio at least 50 days before the election. 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. In computing the 50-day period, the day of filing shall be counted and the day of the District Meeting excluded. The incumbent director shall automatically become a candidate unless at least 65 days prior to said election he files a written declination at the office of the Association.

(c) Any candidate for the position of either a pari-mutuel track directorship or a membership-elected directorship must be an active member of this Association, and upon election, must maintain that membership throughout the term of office.

(d) The Association will then prepare an official ballot listing thereon all candidates for the position of 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.

(e) The Association shall publish in *Hoof Beats* the deadline for receipt of ballots, which shall be four days prior to the annual District Meeting. Ballots actually received on the fourth day prior to the District Meeting shall be considered as received by the deadline.

In order to vote, each member will complete the ballot by marking thereon his/her choice for director. He/she will then place the ballot in the unmarked envelope furnished for that purpose, seal the envelope, and then place that envelope in the return address envelope furnished for that purpose. He/she will seal the return address envelope and he must affix his/her signature in the upper left-hand corner of the front of the return address envelope. Provided however that 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 II, Section 7(b) of the Bylaws.

The Member will then mail the ballot to the office of an appointed and announced 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. 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.

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.

(f) The number of ballots received by mail shall be counted in determining the presence of a quorum at the meeting.

(g) The dates of the annual district meetings, the mail ballot deadline and the Certified Public Accounting firm to which the ballots must be sent shall be announced and published in *Hoof Beats* from the August issue through February issue.

#### ARTICLE IV.—DISTRICT BOARD OF REVIEW

Section 1. **Directors Compose Board.**—(a) The Directors for each District shall compose and constitute a District Board of Review for their respective Districts.

(b) **Meetings.**—The District Board of Review shall meet upon the call of the chairman or two of the members of said board.

(c) **Notice and Place of Meeting.**—All meetings of the District Board of Review shall be held within the District upon at least (5) days' notice to each Director, and to each party to any proceeding to come before the Board at such meeting. Provided, however, that nothing herein contained shall invalidate any of the proceedings at such meeting, in whole or in part, if all the persons having a financial interest in the outcome of the proceeding shall waive the requirement as to notice or place of meeting or shall appear in person or by counsel at the meeting. For good cause shown, the President may, with the consent of all persons involved, permit any review Board meeting to be held outside the geographical boundaries of its district.

(d) **Annual Meeting.**—One meeting of the said District Board of Review shall be held annually.

Section 2. **Powers.**—The District Boards of Review shall have original jurisdiction for the enforcement of the rules of the Association. They shall have the power to suspend or expel members or officials, and to revoke sanctions or licenses, and to impose any other penalty or punishment provided by the rules of the Association. At any hearing of said Board of Review, its investigation and examination may be fully extended to determine if there has been any violation of any rules of the Association and the Board may proceed as a fact finding body.

Section 3. **Quorum.—Majority Decision.**—In the case of all hearings, upon violations of the rules of the Association at least two members of the

District Board of Review must be present except as provided in Section 13 hereafter. A decision may be rendered by the two members of the Board.

Section 4. **Vacancies.**—In the event any member of the District Board of Review is not able to attend a hearing upon a violation of the rules of the Association, or is interested in the case, financially or otherwise, or is a driver who is participating, or has participated, during the current year at the meeting from which the appeal arose, the President or Executive Vice-President of the Association may appoint a member of the Association from the same District to serve upon the hearing in his stead.

Section 5. **President and Executive Vice-President Ex-Officio Members.**—The President and Executive Vice-President of the Association shall be ex-officio members of the District Boards of Review upon any hearing, provided, however, that the President or Executive Vice-President shall not take part in any decision rendered by the District Board of Review except for the District Board of which either the President or Executive Vice-President is an elected Director.

Section 6. **Complaints.**—(a) **To Whom Made.** All complaints of violations of the rules of the Association shall be made in affidavit form to the President or Executive Vice-President, or the Chairman of the District Board of Review for the District where the alleged violation occurred.

(b) **Form of.**—The complaint shall be made in duplicate and shall state in simple, plain language:

- (1) The full name, address and occupation of the complainant;
- (2) The name, address and occupation of the respondent;
- (3) The article or section of the rules alleged to have been violated;
- (4) The time and place of the alleged violation;
- (5) A clear, brief statement of the facts constituting the alleged violation;
- (6) A list of the names and addresses of the known witnesses relied upon to support the allegations of the complaint.

Section 7. **Notice of Complaint and Hearing.**—(a) Upon the receipt of a complaint the Chairman of the District Board of Review shall immediately notify the other members of the Board and date and place for early hearing shall be set. Thereupon the Executive Vice-President shall forthwith send by registered mail a notice of complaint and hearing to the respondent at his last recorded address. A copy of the said notice of complaint and hearing shall be attached to the complaint and forwarded to the Chairman of the District Board of Review for the hearing.

(b) **Time of Hearing.**—The District Board of Review shall hold a hearing upon a complaint within ten (10) days after its receipt, providing, however, that adjournments of the hearing from time to time may be made by the Chairman of the District Board of Review for good and sufficient cause. Decision therein shall be made within seven (7) days after the completion of the hearing.

Section 8. **Witnesses.—Subpoenas.**—The District Board of Review shall have the power to subpoena witnesses and compel their attendance upon hearings. A subpoena, served personally or by mail at least five days prior to the date set for hearing shall constitute proper and sufficient notice to compel the attendance of the witness served.

Section 9. **Failure of Witness to Appear.**—Any witness who, being served with a subpoena, fails to attend the said hearing may be immediately sus-

pended from the Association for such period of time as may seem just and reasonable to the District Board of Review before whom the witness was subpoenaed to appear.

(a) **Witness Employed by Member.**—Any witness, being an employee, agent, officer or partner of a member of the Association, who, being served with a subpoena, fails to attend said hearing, shall justify the immediate suspension and revocation of all privileges of the member by whom said witness is employed or of whom said witness is agent, officer or partner; and the District Board of Review may suspend and revoke all privileges of said member for such period of time as may seem just and reasonable.

(b) **Inability of Witness to Appear.**—The inability of a witness to appear at a hearing for which he was subpoenaed must be upon good and sufficient cause which must be immediately addressed in writing to the Executive Vice-President or the chairman of the District Board of Review before whom he was subpoenaed to appear.

Section 10. **Witness Fees.**—So far as possible the District Boards of Review shall hold all hearings at places most convenient to all parties and witnesses concerned. In cases where a witness is subpoenaed by the Association to appear, the Association shall pay such witness or witnesses at the same rate as allowed for Association Officers and employees for travel expenses.

Section 11. **Procedures.**—(a) **Legal Rules.**—No legal rules of evidence, as such, shall apply to hearings before the District Boards of Review. The Board may conduct the hearings within its best judgment and discretion to ascertain the truth or falsity of the charge.

(b) **Attorneys.**—Either party may be represented by attorney upon any hearing before the District Board of Review. The District Board of Review, with the consent and approval of the President or Executive Vice-President of the Association, may retain and employ an attorney to assist and facilitate any hearing. The fee of any attorney so retained by the District Board of Review shall be a charge against and shall be paid by the Association.

The right to an attorney is permissive only, and no party is required to be represented by attorney. The failure of any party to employ an attorney shall not in any wise militate against him, nor in any respect, affect, alter or invalidate the proceedings or decision of the District Board of Review.

(c) **Conduct of Attorneys.**—Any attorney appearing before a District Board of Review shall govern himself and his conduct by the rulings made by the Board of Review. The District Board of Review may cause any attorney to be ejected from the hearing whose conduct is objectionable, or who fails to conform to and abide by the rulings of the Board.

(d) **Effect of Dismissal of Attorney.**—The ejection of any attorney by a District Board of Review shall not constitute prejudice to the party represented by the said attorney, nor shall it in any wise invalidate the proceedings or the final decision rendered by the Board.

(e) **Testimony.**—All testimony upon a hearing before a District Board of Review shall be under oath. The oath shall be administered to the witness by the presiding Chairman of the Board 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, so help you God?”

(f) **Stenographic Record.**—A complete stenographic record shall be made



of the testimony, stipulation, waivers and all rulings by the District Board of Review upon all hearings. Such record may be either stenographic or by tape recording or a combination thereof, provided a properly authenticated transcript of the record is thereby achieved.

(g) **Exhibits.**—Any party to a proceeding before a District Board of Review may offer in evidence any exhibit, and if the Board rules that such exhibit is pertinent and material it may be received in evidence. All exhibits received in evidence by the District Board of Review shall be dated and initialed by the presiding chairman thereof and shall constitute a part of the record on appeal.

(h) **Depositions and Affidavits.**—Testimony by deposition or affidavit may be offered and received in evidence for such weight and consideration as the District Board of Review 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.

(i) **Adverse Party Right to Answer.**—The party against whom testimony in deposition or affidavit form is offered, shall, upon demand, be allowed a reasonable time to submit opposing testimony in deposition or affidavit form or to call witnesses in opposition to such testimony. The time allowed for such purposes shall be within the discretion of the District Board of Review.

Section 12. **Decisions of District Board of Review.**—All decisions on hearings by District Boards of Review shall be made in writing and signed by all members of the Board participating in the decision. The Board of Review shall give their reasons for arriving at the decision in writing and this shall be made a part of the record. The transcript of the record with all exhibits and the written decision of the Board shall be immediately forwarded to the main office of the Association.

Section 13. **Appeals to District Boards of Review From Findings of Judges.**—(a) As hereinafter provided by the rules of this Association the Judges of any race which 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. In all such cases the decisions and rulings of the Judges may be appealed to the District Board of Review 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. Provided, however, that where the races are conducted pursuant to the Rules and Regulations of a State Racing Commission, any appeal from the Judges' decisions or rulings shall be to the State Racing Commission in accordance with the applicable Commission rule or regulation.

(b) **Questions on Appeal.**—The District Board of Review may consider and decide all the facts, decisions and interpretations of the rules in question, and for that purpose may conduct a hearing under the provisions hereinabove set forth.

(c) **Appeal Before One Member of District Board.**—A party appealing a decision or ruling of the Judges may request an immediate review of such decision and ruling in writing addressed to the Executive Vice-President of the Association or the Chairman of the District Board of Review for the District where the decision or ruling was made. Upon such request the Chairman of the District Board of Review in question, or one of the other members of said Board so designated, shall conduct such an appeal within ten (10) days thereafter.

(d) **Procedure on Appeal by One Member.**—The appeal held by one

Board member shall be conducted at a place most convenient to the parties involved. Except for waiver as to time and place, such an appeal shall be conducted in the manner provided for hearings before the District Board of Review.

(e) **Report To District Board.**—A report of such hearings, together with a transcript of the testimony and all exhibits, shall be made immediately upon receipt of such transcript to the District Board of Review by the member thereof conducting the said appeal. He shall also make his recommendation as to a decision.

(f) **The District Board's Decision.**—A decision upon the said appeal shall be made by the District Board of Review in not more than seven days after receipt of such report.

(g) **Modification or Increase of Penalties Imposed by Judges.**—Upon any appeal to a District Board of Review from a finding by the Judges, as herein provided, the District Board of Review shall have the power to vacate, modify or increase, in accordance with its discretion, penalties imposed by said Judges.

(h) **Methods of Announcing Decision.**—The District Board of Review may make its decision on the appeal by mail, telegram or telephone.

(i) **Members of District Board Not Available.**—In the event an immediate review, as provided in sub-section (c), is requested and no member of the District Board is available to conduct the same, the President or Executive Vice-President of the Association shall appoint and designate a qualified person to conduct such appeal.

Section 14. **Expenses of District Board of Review.**—All expenses incurred by members of the District Boards of Review in the discharge of their duties and functions as herein provided shall be chargeable to and payable by the Association. District Board members shall certify their expenses, and wherever possible attach vouchers, memoranda and receipted bills, and forward the same to the main office of the Association.

Section 15. **Investigations by District Boards of Review.**—It shall be the duty of the District Boards of Review to investigate all fraudulent practices, irregularities, or other acts of misconduct harmful to the sport of harness racing which shall come to their notice. They shall have the power to summon and compel the testimony of witnesses and to conduct such investigations in a summary and ex parte manner without regard to or limited by any of the provisions hereinabove set forth relating to hearings before the District Board of Review upon complaint. In addition to the above the District Board of Review may conduct an investigation, in a summary or ex parte manner, including the power to summon and compel the testimony of witnesses for any reason whatsoever.

## ARTICLE V.—APPEALS FROM DISTRICT BOARD OF REVIEW

Section 1. (a) **Appeal From as a Matter of Right.**—Except for decisions on appeals to District Boards from Executive Orders as provided for in Article IX, Section 1, and except for decisions on appeals to District Boards from judges decisions at county fairs or other non-parimutuel meetings, any decision or determination of a District Board of Review may be appealed, as a matter of right, to the entire Board of Directors of the Association sitting as a Board of Appeals by filing with the Executive Vice-President a written notice of such

appeal within thirty days after the decision or determination of the District Board of Review shall have been made.

(b) The Executive Committee of the Association may be designated by the President or Executive Vice-President as a Board of Appeals if an immediate hearing on an appeal is requested. As such the Executive Committee shall review and finally determine the appeal from the decision of the District Board of Review.

(c) **Disqualification of District Director.**—No Director shall sit as a member of the Board of Appeals upon any appeal which he heard and upon which he rendered a decision as a member of a District Board of Review in the first instance.

(d) **Record on Appeal.**—The Board of Appeals shall render its decision upon the record on appeal, consisting of the transcript of the testimony; depositions or affidavits; and any exhibits offered upon the hearing before the District Board of Review.

(e) **Attorneys.**—Either party may appear in person or be represented by counsel on the appeal, and may be heard in argument upon the record on appeal. The failure of either party to be represented by counsel shall not militate against him.

Section 2. **Time for Hearing Appeal.**—The Board of Appeals shall hear all appeals from the District Board of Review at the first meeting of the Board after an appeal is filed, unless a continuance is requested by the appellant.

Section 3. **Decisions on Appeal.**—All decisions on appeal by the Board of Appeals 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.

Section 4. **Hearings Subsequent To Appeal.**—After the Board of Appeals has made final determination of an appeal, a further hearing by the Board of Appeals shall not be had until two (2) full years shall have elapsed from the date of such final determination, and then only upon the recommendation of the District Board of Review. Further hearings by the Board of Appeals shall not be granted until the expiration of a period of two years from the previous hearing.

Section 5. Where the Board of Appeals determines that the taking of additional testimony or the receipt of other evidence not previously adduced at the District Board hearing is essential to a fair and judicious disposition of the appeal, it may remand the appeal to the proper District Board for further hearing. If, in accordance with the provisions of this Section, the Board of Appeals elects to remand an appeal to the District Board for further hearing, any subsequent appeal from the District Board decision shall be in accordance with the provisions of Sections 1 through 4 inclusive of this Article.

## **ARTICLE VI.—COMMITTEES**

Section 1. **Executive Committee.**—(a) The Executive Committee of the Full Board of Directors shall consist of the President, the Chairman of the Board, **the Treasurer**, and one Director from each of the several District Boards, who shall be appointed by the President at each Annual Meeting. Four of those so appointed shall be Pari-mutuel Track Directors. 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.

(b) The Executive Committee shall meet at the call of the President, and the Executive Vice-President shall promptly report in writing to the Board of Directors any action taken by the Executive Committee at such meetings.

(c) 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.

(d) **Quorum.**—A majority of the members of the Executive Committee shall constitute a quorum.

(e) **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 members thereof the President shall call such a meeting to take place within two weeks, at any time or place upon ten days notice. 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. 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 be provided with a report from the Executive Vice-President prior to the meeting.

(f) **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. The Executive Committee shall have no authority to change the Charter, Bylaws or Rules of the Association.

Section 2. Members of committees shall consist of members of the Board of Directors, which committees shall include the Executive Committee and the following standing committees: Driver/Trainer, Stakes/Fairs, Finance, Owners/Breeders, Pari-Mutuel, Registration, Rules, Regulatory, Public Relations and Hoof Beats, Officiating, Marketing. In addition, the President may create special committees, which may include any member of the Association, duly appointed by the President. There shall not be less than one pari-mutuel track member appointed to each standing committee.

## ARTICLE VII.—DIRECTORS OF THE ASSOCIATION

Section 1. **Board of Directors of the Association.**—The Directors elected from each of the separate Districts as hereinbefore provided, shall constitute the Board of Directors of this Association and the Board of Trustees of this Corporation.

Section 2. The Board of Directors shall be the sole Judge of the election and qualification of its members.

Section 3. **Election of Officers.**—The Board of Directors at its annual meeting to be held in each year, shall elect a Chairman of the Board and a Vice-Chairman. The Board shall elect a President for a term of four (4) years, and Secretary and Treasurer, each for a term of one (1) year. No officer of the Association need be a Director thereof.

Individuals desiring to be candidates for election as Chairman or Vice-Chairman, or as an officer of USTA shall submit a letter declaring their interest in such candidacy, said letter to be delivered to the Secretary not later than 30 days prior to the annual meeting. 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 he/she is a candidate.

The Executive Vice President shall provide the information submitted by each candidate to all Board members forthwith but not later than 15 days prior to the annual Board meeting.

In the event any declared candidate withdraws for good cause shown, is determined 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.

**Section 4. Chairman.**—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.

**Section 5. Meetings.**—(a) The Board of Directors shall meet whenever called together by the President or Executive Vice-President upon due notice given to each Director. On the written request of any ten Directors, the Secretary shall call a special meeting of the Board.

(b) 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.

(c) 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.

(d) 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.

(e) Any member of the Board of Directors who is absent from three consecutive meetings of the Full Board of Directors, District Board meetings, or a combination thereof, said absences to be evidenced by a roll-call at such meetings, shall be automatically removed as a Director, the third consecutive absence thereby creating a vacancy for the District represented, said vacancy to be filled in accordance with Article III, Section 5 of the Bylaws.

**Section 6. Quorum.**—The presence of a majority of the Board of Directors in person shall be necessary to constitute a quorum for the transaction of business.

**Section 7. Powers of the Board of Directors.**—(a) 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. 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. 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.

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.

(b) **Have Access to Tracks.**—The Directors and Officers of this Associa-

tion shall be entitled without charge to the privilege of access to the grounds and facilities of each and every track member during any meeting.

(c) **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 I, Section 4 of these Bylaws, and (3) upon an undertaking by the track to utilize U.S.T.A. forms and certificates and data for U.S.T.A. registered horses in accordance with U.S.T.A. Rules and Regulations and to furnish to U.S.T.A. 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 VIII.—OFFICERS, FUNCTIONS AND POWERS

Section 1. **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 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. The salary of the president shall be fixed by the Board of Directors. He may delegate any of his duties to any of the elected officers of the Association.

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 to furnish him therewith a copy of the transcript and he may base his action upon this material.

Section 2. **Executive Vice-President.**—Effective at the Annual Meeting in 1992, 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. Provided, however, 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.

Section 3. **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 which said report shall be published in the next succeeding issue of *Hoof Beats*.

Section 4. **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. There may be two assistant treasurers.

Section 5. **Secretary.**—The Secretary shall keep the minutes of the meetings of the Board of Directors and of the members. He or she shall attend to the giving and service of all notices of the Association and shall affix the seal of the Association to all certificates of membership, sanctions and licenses and shall sign the same. He or she shall have charge of the membership roll of the Association and such other books and papers as the Board may direct. He or she shall keep a membership roll or book containing the names alphabetically arranged of all of the members of the Association, showing their place of residence and the time when they respectively became members of the Association.

Section 6. **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 IX.—APPEAL FROM EXECUTIVE ORDER

Section 1. **Right of Appeal.**—(a) Any suspension, fine, denial of membership, denial of license or other penalty ordered by the President or Executive Vice-President affecting an official, owner, driver or other member of the Association may be appealed to the District Board of Review of the District from which the application was received or where the subject matter of the determination arose within thirty (30) days from the time such decision is mailed to the person by certified or registered mail. Decisions of the District Board upon such appeal shall be final unless the President or Executive Vice-President within ten (10) days following the decision of such District Board refuses to acquiesce, in which case such decisions shall be referred for further hearing to the Appeal Board as set forth in Section 2 herein.

(b) Any suspension, fine, denial of membership, denial of license or other penalty ordered by the President or Executive Vice-President affecting any member who resides outside the territorial boundaries of any geographical

district may be appealed to the Executive Committee in the same manner as appeals to the District Board of Review as provided in Section 1 (a) herein.

Section 2. **Appeal Board.**—The appeal shall be heard by the Board of Appeals within thirty (30) days from the date of filing of notice of appeal in the office of the Association; but if the Board of Appeals shall not be in session within the said thirty (30) day period, and the appellant shall request an immediate hearing, then the appeal shall be heard within said period by the Executive Committee or by a quorum thereof. For the purpose of hearing such an appeal only three (3) members of the Executive Committee may be called, and they, or their substitutes designated in accordance with the provisions of Article VI, Section 1, of the Bylaws of the Association, shall constitute a quorum.

Upon any appeal hereunder, the Board of Appeals shall have the power to vacate, modify or increase in accordance with its discretion, any penalty. A decision of the Board of Appeals relative to membership shall be final.

Provided further that after the Board of Appeals has made a final determination on an appeal, no further hearing on the same matter shall be granted by the Board of Appeals until the expiration of a period of two full years from the previous hearing before the Board of Appeals.

## **ARTICLE X.—AMENDMENTS.**

Section 1. 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.

All matters and amendments requiring a vote of the membership may be accomplished by a vote by mail rather than a vote in person.



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# THE UNITED STATES TROTTING ASSOCIATION OFFICERS

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## **President**

F. Phillip Langley

## **Executive Vice-President**

Fred J. Noe, Columbus, OH

## **Chairman of the Board**

Joseph A. Faraldo, Kew Gardens, NY

## **Vice Chairman**

Russell C. Williams

## **Treasurer**

Robert C. Sidley, Painesville, OH

## **Secretary**

Barbara Brooks, Columbus, OH

## **Counsel**

John J. Chester, Columbus, OH

## **Honorary Treasurer**

Dunbar W. Bostwick, Shelburne, VT

## THE UNITED STATES TROTTING ASSOCIATION DIRECTORS

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### **District 1 — Ohio.**

Corwin Nixon, P.O. Box 58, Lebanon, OH 45036 (2004)  
Brock E. Milstein, Northfield Park, P.O. Box 429, Northfield, OH 44067 (2004)  
Richard Brandt, Jr., P.O. Box 698, Logan, OH 43138 (2005)  
Donald W. Hoovler, P.O. Box 106, Reynoldsburg, OH 43068 (2006)  
Glenn A. Huber, 2890 Timbercreek Dr., Lebanon, OH 45036 (2005)  
Dr. John Mossbarger, 8787 Washington-Waterloo Rd. NE, Washington  
Courthouse, OH 43160 (2006)  
Robert C. Sidley, 783 Madison Ave., Painesville, OH 44077 (2005)

### **District 2 — Kenneth E. Marshall, 1650 E. Ten Mile Rd., Hazel Park, MI 48030 (2006) Sam Reichard, 14855 Hilltop Drive, Cement City, MI 49233 (2006)**

### **District 2A — Michigan.**

Robert W. Huff, 7715 S. Durand Rd., Durand, MI 48429 (2004)  
John E. Schuberg, 14220 Goutz Rd., LaSalle, MI 48145 (2005)  
John L. Surbrook, 5457 Wood Rd., Rives Jct., MI 49277 (2006)

### **District 2B — Indiana.**

Jay D. Cross, 61265 CR 41, Middlebury, IN 46540-8803 (2006)  
Jerry G. E. Landess, 803 W. Walnut, Portland, IN 47371 (2005)

### **District 3 — Arizona, California, Colorado, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming, Hawaii and Alaska.**

Ivan L. Axelrod, 19324 Collier St., Tarzana, CA 91356 (2004)  
David Neumeister, 308 18th Street, Bakersfield, CA 93301 (2005)  
Christopher Schick, 760 Morris Way, Sacramento, CA 95864 (2006)

### **District 4 — James D. Coulter, 1775 Niland Ave., New Sharon, IA 50207 (2004)**

### **District 4A — Arkansas, Iowa, Kansas, Missouri, Nebraska, Oklahoma and Texas.**

Judith C. Roland, 150 375th Avenue, Grinnell, Iowa 50112 (2004)

### **District 4B — Minnesota, North Dakota, South Dakota and Wisconsin.**

Robert Yohn, N2522 Columbus-Fall River Rd., Columbus, WI 53925 (2006)

### **District 5 — Illinois.**

John C. Cisna, 2541 Chapel Hill Rd., Springfield, IL 62702 (2005)  
Connie J. Hochstetler, 24206 South Kings Rd., Crete, IL 60417 (2005)  
W. H. Johnston, Jr., 8600 W. North Ave., Maywood, IL 60153 (2006)  
F. Phillip Langley, 382 Redbud Ct., Frankfort, IL 60423 (2006)  
Dr. Kenneth L. Walker, 7794 Farrand Rd., Sherman, IL 62684 (2006)

### **District 6 — Martha Brown, P.O. Box 13280, Lexington, KY 40583 (2006)**

### **District 6A — Florida.**

Mark Loewe, Pompano Park, 1800 S.W. 3rd St., Pompano Beach,  
FL 33069 (2005)  
Jay C. Sears, 900 SE 13th Ct., Pompano Beach, FL 33441 (2004)

### **District 6B — Alabama, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee and West Virginia.**

Frank Antonacci, c/o Sommers Sanitation, 137 Prospect Hill Rd.,  
East Windsor, CT 06088 (2006)  
Bill Sanders, 343 County Rd. #564, Stevenson, AL 35772 (2006)

### **District 7 — Pennsylvania.**

Walter Dunn, 120 Pine St., Cochranon, PA 16314 (2005)  
Drew Shubeck, MEC Pennsylvania Racing Inc., Racetrack Rd., P.O. Box 499,  
Meadow Lands, PA 15317 (2005)

## THE UNITED STATES TROTTING ASSOCIATION DIRECTORS

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### **District 7 — Pennsylvania (cont.)**

Samuel A. Beegle, 123 Lowery Rd., New Holland, PA 17557 (2004)  
Russell C. Williams, Hanover Shoe Farms, P.O. Box 339, Hanover, PA  
17331 (2006)

### **District 8 — New York. (Third, fourth, fifth, sixth, seventh and eighth judicial districts and Orange County.)**

Kim L. Crawford, 28 Brickhouse Rd., Stillwater, NY 12170 (2004)  
Lon Frocione, 100 Mathews Avenue, Solway, NY 13209 (2004)  
Gerald Schweibel, Buffalo Raceway, Box 38, Hamburg, NY  
14075-0038 (2005)  
Justice Cheney, Vernon Downs, P.O. Box 860, Vernon, NY 13476-0860 (2005)  
Cliff Ehrlich, Monticello Raceway, Routes 17 & 17B, Raceway Road,  
Monticello, NY 12701 (2005)  
Bruce Tubin, P.O. Box 730, Batavia, NY 14021 (2006)  
Christopher Tully, 56 Dingle Daisy Rd., Monticello, NY 12701 (2006)

### **District 8-A — New York. (First, second, ninth [less Orange County], tenth and eleventh judicial districts.)**

Joseph A. Faraldo, 125-10 Queens Blvd., Apt. 2004, Kew Gardens, NY  
11415 (2004)  
Robert J. Galterio, Yonkers Raceway, 810 Central Avenue, Yonkers, NY  
10704 (2006)  
Patrick A. Quaglietta, 30-45 79th St., Jackson Heights, NY 11370 (2006)  
Timothy J. Rooney, Yonkers Raceway, 810 Central Avenue, Yonkers,  
NY 10704 (2005)  
John Grasso, 154 Amsterdam Ave., Hawthorne, NY 01532 (2006)

### **District 9 — Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island and Vermont.**

Ival R. Cianchette, 120 Woodlands Dr., Falmouth, ME 04105 (2004)  
William H. Faucher, 42 Stage Rd., Hinsdale, NH 03451 (2005)  
Paul A. Fontaine, 34 Hamlet Ave., Woonsocket, RI 02895 (2006)  
Donald G. Marean, P.O. Box 135, Standish, ME 04084 (2004)  
Ronald Ralph, P.O. Box 51, Waldoboro, ME 04572 (2006)

### **District 11 — Delaware, District of Columbia, Maryland and Virginia.**

Dr. William Moffet, 8 Stuart Dr., Dover, DE 19901 (2006)  
Charles Keller, III, Yankeeland Farms, 8423 Yellow Springs Rd., Frederick,  
MD 21702 (2006)  
Russell MacKinnon, Route 2, Box 159A, Dagsboro, DE 19939 (2004)  
James Boese, Harrington Raceway, 15 West Ridge Rd., Harrington, DE  
19952 (2005)

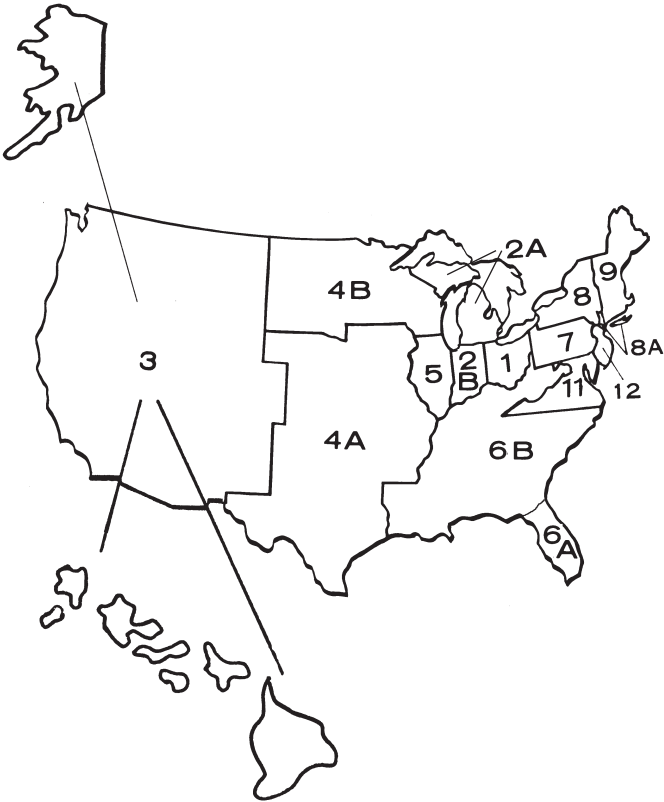
### **District 12 — New Jersey.**

Luc Ouellette, 900 Palisade Ave., #6F, Fort Lee, NJ 07024 (2006)  
John Brennan, 1 Liberty St., Apt. F-13, Little Ferry, NJ 07643 (2004)  
Bruce Garland, The Meadowlands, 50 State Route 120, East Rutherford,  
NJ 07073 (2006)  
Peter Koch, Freehold Raceway, 130 Park Avenue, Freehold, NJ 07728 (2005)  
Jacqueline Ingrassia, Ingrassia Stables, 39 Imlaystown-Hightstown Rd.,  
Allentown, NJ 08501 (2004)



# GEOGRAPHIC DISTRICTS

## UNITED STATES



# USTA Dues/Fees/Prices

## Individual Active/Associate Membership

New Membership (1 Year) . . . . .	\$ 66
New Membership (3 Years) . . . . .	\$154
Renewal (1 Year) . . . . .	\$ 50
Renewal (3 Years) . . . . .	\$132
Supporting Member (1 Year) . . . . .	\$ 45
Duplicate Membership Card . . . . .	\$ 2

## Corporate/Stable Registration

Initial Registration . . . . .	\$165
Annual Corporation Membership Fee . . . . .	\$ 50
Corporate Member Fee (3 Years) . . . . .	\$132

## Standardbred Equestrian Program

Youth Member (1 Year) . . . . .	\$ 15
Youth Member (3 Years) . . . . .	\$ 40
Youth Member (life) . . . . .	\$ 75
Equestrian Member (1 Year) . . . . .	\$ 25
Equestrian Member (3 Years) . . . . .	\$ 65
Equestrian Member (life) . . . . .	\$150
Standardbred Performance Certificate . . . . .	\$ 40
Medallion Program . . . . .	\$ 10
CHAMP Program . . . . .	\$ 30

## Eligibility Certificate

Lifetime Eligibility Certificate (first time U.S. starter) . . . . .	\$ 95
Conversion of a renewal Eligibility Certificate issued before Jan. 1, 1999 to a Lifetime Certificate . . . . .	\$ 30

## Registration (includes tattooing and blood-typing) Member/Non-Member Prices

Weanlings (within 4 months of foaling date) . . . . .	\$132	\$198
Between 4 months of age and 12/31 of year foaled . . . . .	\$165	\$231
Duplicate Registration . . . . .	\$ 22	\$ 70

## List of Mares Bred

Per mare, submitted prior to 9/1 . . . . .	\$ 5
Per mare, submitted after 9/1 . . . . .	\$ 10

## Transfers of Ownership Member/Non-Member Prices

Within 90 Days of Sale . . . . .	\$ 33	\$ 88
90 Days to 6 Months . . . . .	\$ 61	\$115
6 Months to 1 Year . . . . .	\$115	\$170
Over 1 Year . . . . .	\$187	\$245

## Change of Horse Names Member/Non-Member Prices

Prior to 2 Years of Age . . . . .	\$16.50	\$ 72
2 Years of Age and Older . . . . .	\$28.00	\$ 83

## Import/Export of Horses

Export Certificate . . . . .	\$330
Imported Horse Registration . . . . .	\$200

## Driver/Trainer License

New License (1 Year) . . . . .	\$ 50.00
New License (3 Years) . . . . .	\$150.00
Renewal (1 Year) . . . . .	\$ 45.00

**Driver/Trainer License (continued)**

Renewal (3 Years).....	\$135.00
Matinee (1 Year).....	\$ 16.50
Matinee (3 Years).....	\$ 49.50

**Colors Registration**

Original Application.....	\$110
Change in Colors.....	\$ 55
Duplicate Card.....	\$ 11

**Officials License for Extended Pari-Mutuel Meetings**

Presiding Judge.....	\$ 45
Associate Judge.....	\$ 45
Starter.....	\$ 45
Race Secretary.....	\$ 45
Program Director.....	\$ 28
Paddock Judge.....	\$ 28
Identifier.....	\$ 17
Patrol Judge.....	\$ 17
Clerk of Course.....	\$ 17
Charter.....	\$ 17

**Officials License for Non-Extended Meetings**

Presiding Judge.....	\$ 17
Starter.....	\$ 17
Clerk of Course.....	\$ 11

**Publications****Member/Non-Member Prices**

Hoof Beats Magazine, U.S. ....	\$ 16.50	.....	\$ 32.50
(Two Years).....	\$ 31.00	.....	\$ 62.00
(Three Years).....	\$ 44.00	.....	\$ 88.00
Hoof Beats Magazine, Canada .....	\$ 28.00	.....	\$ 49.00
(Two Years).....	\$ 53.00	.....	\$ 95.00
(Three Years).....	\$ 77.00	.....	\$138.00
Hoof Beats Magazine, Foreign .....	\$ 39.00	.....	\$ 55.00
(Two Years).....	\$ 75.00	.....	\$105.00
(Three Years).....	\$110.00	.....	\$150.00
Sires and Dams .....	\$ 72.00	.....	\$100.00
Index of Sires and Broodmares not in Sires and Dams ..	\$ 33.00	.....	\$ 55.00
(loose leaf, three-hole punched)			
Year Book.....	\$ 38.00	.....	\$ 66.00
Breeder's Record Book.....	\$ 22.00	.....	\$ 44.00
Care & Training of the Trotter and Pacer .....	\$ 33.00	.....	\$ 66.00
Stakes Guide.....	\$ 28.00	.....	\$ 45.00
Trotting & Pacing Guide.....	\$ 14.00	.....	\$ 20.00
Harness Handbook.....	\$ 14.00	.....	\$ 20.00
Membership Roster.....	\$ 22.00	.....	\$ 33.00
Roster of Racing Stables, Corporations, etc. ....	\$ 22.00	.....	\$ 33.00
Driver/Trainer Roster (loose-leaf, three-hole punched) ..	\$ 22.00	.....	\$ 33.00
How to Pass the USTA Driver/Trainer Test .....	\$ 25.00	.....	\$ 25.00
Chart Book and Performance Library on CD-ROM .....	\$275.00	.....	\$355.00

## Online Products

Raceway LITE – Monthly . . . . .	\$19.95
Raceway LITE – Yearly . . . . .	\$ 199
PATHWAY (priced by individual report) . . . . .	varies

## Information and Research Products

### Member/Non-Member Prices

Racelines (per horse, per year) . . . . .	\$ 3.50	.....	\$ 5.50
Sire Summary . . . . .	\$ 12.00	.....	\$ 17.00
Dam Production . . . . .	\$ 3.50	.....	\$ 5.50
Stallion Report . . . . .	\$ 40.00	.....	\$ 50.00
Broodmare Sire Report . . . . .	\$ 40.00	.....	\$ 50.00
Driver Detail . . . . .	\$ 27.50	.....	\$ 40.00
Pedigree Chart . . . . .	\$ 5.50	.....	\$ 12.00
List of Mare's Bred . . . . .	\$ 22.00	.....	\$ 27.50
List of Sire's Foals . . . . .	\$ 22.00	.....	\$ 27.50
Mailing Labels (per 1,000) . . . . .	\$ 83.00	.....	\$110.00
Mailing Labels on Disk (per 1,000) . . . . .	\$110.00	.....	\$143.00
Programming Charges (per hour) . . . . .	\$ 60.00	.....	\$100.00
Output of Data (price per record) . . . . .	\$ .10	.....	\$ .15

## Racetrack System

Pari-Mutuel Tracks (per race card) . . . . .	\$138
Media Transmission (additional per card) . . . . .	\$ 22

## Publicity Materials

### Member/Non-Member Prices

Handicapping Beyond the Basics Video . . . . .	\$ 21.95	.....	\$ 27.00
Handicapping Beyond the Basics II . . . . .	\$ 5.50	.....	\$ 5.50
Brochures/Booklets . . . . .		.....	vary
Posters/Window Cards . . . . .		.....	vary

## Photography

### Member/Non-Member Prices

Color Photos (8x10) . . . . .	\$ 16.50	.....	\$ 22.00
Color Photos (11x14) . . . . .	\$ 33.00	.....	\$ 44.00
Color Photos (16x20) . . . . .	\$ 55.00	.....	\$ 66.00
Color Photos (20x24) . . . . .	\$110.00	.....	\$122.00
Color Photos (30x40) . . . . .	\$165.00	.....	\$182.00
B/W Photos (8x10) . . . . .	\$ 8.25	.....	\$ 11.00
B/W Photos (11x14) . . . . .	\$ 22.00	.....	\$ 27.50

## Other Publications

### Member/Non-Member Prices

Horse Owner and Breeder Tax Handbook . . . . .	\$ 64.50	.....	\$ 64.50
"America's Trotting Classic: the Hambletonian" . . . . .	\$ 24.00	.....	\$ 24.00
"Ben Blue: the Story of a Racing Colt" . . . . .	\$ 10.50	.....	\$ 10.50
"Harness Racing Images" . . . . .	\$ 39.95	.....	\$ 44.95
Screen Saver CD-ROM (Windows) . . . . .	\$ 11.95	.....	\$ 11.95

# State and Provincial Racing Commissions

## **Alberta Racing Corporation**

5920 1A Street, Suite 203  
Calgary, Alberta, Canada T2H 0G3  
Phone: (403) 543-8951  
Fax: (403) 543-8950  
Dr. Pat Brennan, Chairman  
Rick Curtis, General Manager

## **British Columbia Racing Commission**

Suite No. 2003, Metrotower II  
4720 Kingsway  
Burnaby, BC V5H 4N2  
Phone: (604) 660-7400  
Fax: (604) 660-7414  
Lorna Romilly, Chairperson  
Joseph Horton, Director of Racing

## **California Horse Racing Board**

1010 Hurley Way, Suite 300  
Sacramento, California 95825  
Phone: (916) 263-6000  
Fax: (916) 263-6042  
Alan Landsburg, Chairman  
Roy C. Wood, Jr., Executive Director

## **Delaware Harness Racing Commission**

2320 S. Dupont Highway  
Dover, Delaware 19901  
Phone: (302) 698-4599  
Fax: (302) 697-4748  
Beverly Steele, Chairman

## **Florida Division of Pari-Mutuel Wagering**

1940 North Monroe Street  
Tallahassee, FL 32399  
Phone: (850) 488-9130  
Fax: (850) 488-0550  
Dave Roberts, Director  
Division of Pari-Mutuel Wagering

## **Illinois Racing Board**

100 W. Randolph St., Suite 11-100  
Chicago, Illinois 60601  
Phone: (312) 814-2600  
Fax: (312) 814-5062  
Ralph Gonzales, Chairman  
Marc Laino, Executive Director

## **Indiana Horse Racing Commission**

ISTA Center – Suite 530  
150 W. Market Street  
Indianapolis, IN 46204  
Phone: (317) 233-3119  
Fax: (317) 233-4470  
Richard A. "Pete" Beck, Chairman  
Joseph Gorajec, Executive Secretary

## **Iowa Racing and Gaming Commission**

717 E. Court, Suite B  
Des Moines, IA 50309  
Phone: (515) 281-7352  
Fax: (515) 242-6560  
W.R. "Bill" Hansen, Chairman  
Jack P. Ketterer, Administrator

## **Kentucky Racing Commission**

Kentucky Horse Park  
4063 Iron Works Pike  
Lexington, Kentucky 40511  
Phone: (859) 246-2040  
Fax: (859) 246-2039  
C. Frank Shoop, Chairman  
Bernard J. Hettel, Executive Director

## **Maine State Harness Racing Commission**

28 State House Station  
Augusta, Maine 04333  
Phone: (207) 287-3221  
Fax: (207) 287-7548  
Henry Jackson, Executive Director

## **Manitoba Horse Racing Commission**

P.O. Box 46086, RPO Westdale  
Winnipeg, Manitoba, Canada R3R 3S3  
Phone: (204) 885-7770  
Fax: (204) 831-0942  
David Miles, Chairman

## **Maritime Provinces**

### **Harness Racing Commission**

263 Harbour Drive, Suite 7  
Summerside, Prince Edward Is. C1N 5P1  
Phone: (902) 888-3489  
Fax: (902) 888-2762  
Richard Paruch, Director of Racing

## **Maryland Racing Commission**

### **Dept. of Labor, Licensing & Regulations**

500 N. Calvert St. – Room 201, 2nd floor  
Baltimore, Maryland 21202-3651  
Phone: (410) 230-6330  
Fax: (410) 333-8308  
Kenneth Schertle, Executive Director

## **Massachusetts State Racing Commission**

John W. McCormack Building, Room #1313  
One Ashburton Place  
Boston, Massachusetts 02108  
Phone: (617) 727-2581  
Fax: (617) 227-6062  
Elizabeth Barry, Executive Secretary

**Michigan Office of Racing Commissioner**  
37650 Professional Center Dr., 105A  
Livonia, Michigan 48154-1100  
Phone: (734) 462-2400  
Fax: (734) 462-3599  
Annette Bacola, Commissioner

**Minnesota Racing Commission**  
P.O. Box 630  
Shakopee, MN 55379  
Phone: (952) 496-7950  
Fax: (952) 496-7954  
Richard Pemberton, Chairman  
Richard Krueger, Executive Director

**New Hampshire Pari-Mutuel Commission**  
Carrigain Commons – 3rd Floor  
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Jean Major, Director  
Terry Stone, Deputy Director of Racing  
Greg Fernandes, Deputy Director  
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Sandy Gray, Chairman



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