

# **RULES OF RACING**



***NSA***®

## **National Steeplechase Association**

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**CHAPTER 1**  
**APPLICATION OF THE RULES OF RACING**

**1.1. GENERAL APPLICATION**

- A. These Rules of Racing shall apply to all Associations holding or conducting a race meeting sanctioned by the National Steeplechase Association (hereinafter referred to as the "NSA"), and to all officials, owners, trainers, riders, grooms or other persons who participate in racing at any such race meeting.
- B. These Rules of Racing shall, to the extent of any conflict, supersede the rules or regulations of a race meeting.
- C. These Rules of Racing shall not apply when in conflict with a rule at any recognized meeting under the sanction of a Commission or Turf Authority whose jurisdiction over racing is recognized by the NSA.

**1.2. NEW RULES**

- A. These Rules of Racing may be amended, repealed or supplemented by new and additional rules, in the discretion of the NSA Board.
- B. No new rule can be passed, nor can any existing rule be rescinded or altered, without a meeting of the Board.
- C. In the event of an "emergency" so declared by the Board, new rules may be passed and any existing rule rescinded or altered at a meeting of the Board called upon 24 hours notice, which notice shall contain the reason for the meeting.

## CHAPTER 2 DEFINITIONS

The following words and phrases, irrespective of literal meaning as defined in recognized dictionaries, have assumed special meaning as used in racing, and in the context of these Rules, shall be construed as follows:

(1) **"Added Money"** is the amount added into a stakes, by the Association, to those monies gathered by nomination, entry, sustaining and other fees.

(2) **"Age"** of a horse foaled in North America shall be determined from the first day of January of the year of foaling.

(3) **"Also Eligible"** pertains to eligible horses, properly entered, which were not drawn into a race, but which become eligible according to preference or lot if an entry is scratched prior to the scratch time deadline.

(4) **"Allowance Race"** is a race for which eligibility and weight to be carried is determined according to specified conditions that include age, sex, earnings and number of wins.

(5) **"Amateur Rider"** is a jockey who does not accept compensation for riding in races, as prescribed by the Board.

(6) **"Appeal"** is a request for the Board or its designee to investigate, consider and review any decisions or rulings of the Stewards, other than findings of fact as to matters occurring during the running of a race.

(7) **"Arrears"** are all monies owed by a licensee, including nomination fees, entry fees, jockey fees, forfeitures and any default incident to these Rules.

(8) **"Association"** is a committee or business entity conducting a recognized meeting.

(9) **"Association Grounds"** is all real property utilized by the Association in the conduct of its race meeting.

(10) **"Authorized Agent"** is a person appointed by a written document, signed by the owner on whose behalf the agent may act.

(11) **"Bleeder"** is a horse that has demonstrated external evidence of exercise induced pulmonary hemorrhage (bleeding from one or both nostrils) and/or the existence of hemorrhage into the trachea post exercise as observed upon endoscopic examination.

(12) **"Board"** means the Board of Directors of the National Steeplechase Association.

(13) **"Breeder"** is the owner of the horse's dam at the time of foaling.

(14) **"Claiming Race"** is a race in which any horse starting may be claimed (purchased for a designated amount) in accordance with the Rules.

(15) **"Complaint"** is an allegation of a violation of these Rules.

(16) **"Conditions"** are qualifications that determine a horse's eligibility to be entered in a race.

(17) **"Day"** is a 24-hour period beginning at 12:01 a.m. and ending at 12:00 midnight.

(18) **"Dead Heat"** is the finish of a race in which the noses of two or more horses reach the finish line at the same time.

(19) **"Entry"** is: (a) a horse made eligible to run in a race; or (b) two or more horses, entered in the same race, which have common ties of ownership or training.

(20) **"Flat Race"** is a race in which horses run over a course on which no jumps or other obstacles are placed.

(21) **"Forfeit"** is money due from a licensee because of error, fault, neglect of duty, breach of contract or a penalty imposed by the Stewards or the Board.

(22) **"Forfeit List"** is a record of arrears that has been reported by the NSA, or by any Turf Authority having a reciprocal agreement with the NSA for the mutual enforcement of forfeits.

(23) **"Handicap"** is a race in which the weights to be carried by the horses are assigned by the Racing Secretary or Handicapper for the purpose of equalizing the chances of winning for all horses entered.

(24) **"He/She"**: wherever the word "he" is used, it shall be deemed to mean "she" as well.

(25) **"Hearing, Review and Appeals Committee"** a committee appointed by the Board of Directors of the National Steeplechase Association for the purpose of conducting hearings, reviews and appeals on behalf of the Board.

(26) **"Horse"** is any equine (including and designated as a mare, filly, stallion, colt, ridgling or gelding) registered for racing.

(27) **"Hurdle Race"** is a steeplechase race over obstacles made of natural or artificial brush.

(28) **"Inquiry"** is an investigation by the Stewards of an incident occurring during the running of a race, prior to declaring the race official.

(29) **"Jockey"** is a professional rider who accepts compensation for riding in races.

(30) **"Licensee"** is any person or entity holding a license from the Board to engage in racing.

(31) **"Maiden"** is a horse which, at the time of starting, has never won a race at a recognized meeting, except as follows: (a) in flat races, a horse is still a maiden although the winner of a hurdle race or a timber race; (b) in hurdle races, a horse is still a maiden although the winner of a flat race or a timber race; (c) in timber races, a horse is still a maiden although the winner of a flat race or a hurdle race.

(32) **"Maiden Race"** is a race restricted to non-winners.

(33) **"Match Race"** is a race between two horses under conditions agreed to by their owners.

(34) **"Meeting"** is the specified period and dates each year during which an Association is authorized to conduct racing by approval of the Board.

(35) **"Month"** is a calendar month.

(36) **"National Fence"** is a hurdle measuring approximately fifty-four (54) inches in height and forty-seven (47) inches in depth, made of artificial material, the principal components of which are simulated branches made of plastic inserted in a steel frame which is set behind a foam rubber "takeoff" roll.

(37) **"Nomination"** is the naming of a horse to a certain race or series of races generally accompanied by payments of a prescribed fee.

(38) **"Nominator"** is the person or entity in whose name a horse is nominated for a race or series of races.

(39) **"Objection"** is a complaint made to the Stewards or their designee regarding an incident alleged to have occurred during the running of a race.

(40) **"Official Order of Finish"** is the order of finish of the horses in a race as determined by the Placing Judges, with the approval of the Stewards.

(41) **"Official Time"** is the elapsed time from the moment the Starter dispatches the field until the first horse crosses the finish line.

(42) **"Off Time"** is the moment at which the starter dispatches the field.

(43) **"Optional Allowance/Claiming Race"** is a race in which the conditions permit that some or all of the horses running may be claimed. In the case of horses entered to be claimed in such a race, the race shall be considered a claiming race. In the case of horses not entered to be claimed, the race shall be considered an allowance race.

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

(45) **"Paddock"** is a designated area in which horses scheduled to compete in a race are saddled prior to racing.

- (46) **"Post Position"** is the pre-assigned position from which a horse will start.
- (47) **"Post-time"** is the scheduled time for horses to arrive at the start for a race.
- (48) **"Preponderance of Evidence"** is greater weight of evidence, or evidence that is more credible.
- (49) **"Prima Facie Evidence"** is evidence that, until its effect is overcome by other evidence, will suffice as proof of fact in issue.
- (50) **"Primary Laboratory"** is a facility designated by the Board for the testing of blood and urine samples for the purpose of detecting forbidden substances.
- (51) **"Program"** is the published listing of all races, conditions, entries, owners, trainers and riders on a particular race day.
- (52) **"Protest"** is an objection citing any act of an owner, trainer, jockey or official prohibited by these Rules.
- (53) **"Purse"** is the total monetary amount for which a race is contested.
- (54) **"Race"** is a contest between horses at a sanctioned meeting.
- (55) **"Recognized Race Meeting"** is a race meeting held under the sanction of the NSA, or of a Commission or Turf Authority whose jurisdiction over racing is recognized by the NSA.
- (56) **"Registration Certificate"** is a document issued by The Jockey Club certifying as to the name, age, color, sex, pedigree, and breeder of a horse; shall be deemed to refer also to the document known as a "racing permit" issued by The Jockey Club in lieu of a "registration certificate" when a horse is recognized as a Thoroughbred for racing purposes in the United States, but is not recognized as a Thoroughbred for breeding purposes insofar as registering its progeny with The Jockey Club.
- (57) **"Rulings"** are all determinations, decisions, or orders of the Stewards, or of the Board, duly issued in writing and posted.
- (58) **"Scratch"** is the act of withdrawing an entered horse from a race after the closing of entries.

(59) "**Scratch Time**" is the deadline for the withdrawal of an entry from a race.

(60) "**Specimen**" is a sample of blood or urine drawn or collected from a horse for chemical testing.

(61) "**Stable Name**" is a name used other than the actual legal name of an owner or lessee and registered with the NSA.

(62) "**Stakes Race**" is a race so designated and approved by the Board.

(63) "**Starter**" is (a) a horse that becomes an actual contestant in a race when the field has been dispatched; or (b) the official who is responsible for dispatching the field.

(64) "**Steeplechase Race**" is a race over obstacles, either hurdle or timber fences.

(65) "**Steeplechase Racing Day**" is a day on which one or more steeplechase races are conducted at a recognized meeting within the United States.

(66) "**Steward**" is a duly appointed racing official with powers and duties specified by these Rules.

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

(68) "**Timber Race**" is a steeplechase race over obstacles which include, but are not limited to, natural wood rails, logs, boards, or stone walls.

(69) "**Trainer**" is a person who is eligible for, or has a trainer's license, and who has a horse under his care or supervision at the time entry is made.

(70) "**Training Flat Race**" is a flat race run under these Rules with no purse being offered and results not officially recorded.

(71) "**Walkover**" is a race in which only one horse is at the post ready to start at the appointed time.

(72) **"Weigh In"** is the presentation of a rider to the Clerk of Scales after a race, and the recording of the weight carried.

(73) **"Weigh Out"** is the presentation of a rider to the Clerk of Scales prior to a race, and the recording of the weight to be carried.

(74) **"Weight for Age"** is a race in which a fixed scale is used to determine the weight to be carried by individual horses according to age, sex, distance of the race, and time of the year.

(75) **"Winner"** is the horse whose nose reaches the finish line first or is placed first through disqualification by the Stewards.

(76) **"Year"** means twelve (12) consecutive months beginning with January and ending with December.

## CHAPTER 3 BOARD OF DIRECTORS

### 3.1. GENERAL AUTHORITY

- A. The Board of Directors of the NSA, hereinafter called the "Board," shall operate in accordance with the By-Laws of the NSA, and shall have the power, at its discretion, to interpret and enforce these Rules.
- B. When there is no specified penalty for violations of these Rules, the Board may disqualify, fine, suspend, expel from, or rule off the offending party.

### 3.2. SANCTIONING AND APPROVAL OF DATES

- A. The Board has the power to grant sanction to race meetings and to approve the allotment of racing dates.
- B. The application for sanction and approval of racing dates, which may include a brief setting forth reasons for desiring the dates, shall be filed with the Board, over the signature of an executive officer of each Association seeking sanction.
- C. Upon receipt of the application, and a written statement that the Association shall be in compliance with these Rules, the Board will consider the granting of a sanction.
  - 1. The Board may call for further information in writing, or it may ask the officers of any Association to appear in person before it.
  - 2. No application for sanction and dates shall be refused, revoked, or have special conditions be placed thereon, without giving written notice to the applicant and giving said applicant the opportunity to know the basis for the Board's action, appear before the Board, and present evidence and arguments with respect thereto.
- D. The application for racing dates, and the allotment of dates by the Board, does not commit the Board to the granting of a sanction to conduct a race meeting upon the dates so allotted.

- E. Sanction of a race meeting is granted by the Board upon the condition that the Association shall accept, observe, and enforce these Rules, and the Board reserves the right to withdraw the sanction at any time, if the Board deems that the Association is in violation of these Rules.

### **3.3. LICENSING AND INVESTIGATION**

- A. The Board has the power to:
  - 1. grant licenses to owners, trainers, and riders, and to suspend or revoke such licenses;
  - 2. prohibit any person from acting in any official capacity at any race meeting;
  - 3. investigate any matter which may appear to require investigation, whether or not referred by the Stewards, and to give final decision thereon.

### **3.4. ULTIMATE AUTHORITY**

- A. The orders of the Board shall supersede the orders of the Stewards, except as provided for in Rule 7.6.
- B. If any case occurs which is not provided for by these Rules, it may be decided by the Board in such manner as it may deem just and compatible with the best interests of racing.

## CHAPTER 4 ASSOCIATIONS

### 4.1. GENERAL REGULATIONS

- A. All Associations sanctioned by the Board shall abide by these Rules of Racing.
- B. Each Association shall be solely responsible for the payment of its costs, expenses, and purse money, in connection with its race meeting.
- C. Each Association shall provide a list of officials to the Board at least fifteen (15) days prior to race day. This list shall include: the Clerk of the Course; at least three (3) Patrol Judges; three (3) Placing Judges; Paddock Judge; Timer, Veterinarian; and Physician. The Board shall, at the same time, provide each Association with a list of NSA appointed officials including three (3) Stewards; Stewards' Secretary; Clerk of Scales; Horse Identifier; Starter; and Testing Veterinarian.
- D. Each Association shall compile an official program, which shall list all the racing officials, the time for the first race, the purses, conditions, and distances of each race, and the names of the horses, owners, trainers, riders, and weights to be carried by each horse as provided by the NSA.
- E. Each Association shall have the following personnel and equipment:
  - 1. one (1) blacksmith;
  - 2. two (2) or more outriders;
  - 3. one (1) or more medical doctors who shall be available from at least one hour prior to the first race until thirty (30) minutes after the last race;
  - 4. at least two (2) human ambulances, one of which shall be on the racecourse whenever a race is run; and at least one (1) emergency vehicle to be used as a horse ambulance, which is adequate to load and transport an injured or dead horse and which contains screens to shield the view of an injured or dead horse.

#### 4.2. SPECIFICATIONS FOR COURSES

- A. An Association's racecourse must be approved by the Board.
- B. After initial approval by the Board, the NSA Safety Advisor shall inspect the course prior to race day, and shall have full authority to direct changes to the course.
- C. The course must be set by beacon, flag or otherwise no later than two (2) hours prior to post-time for the first race of the day. Only the Stewards or their representative shall have the power to alter a course thereafter. In case of a change, such change must be announced to all riders and officials involved prior to post-time of the affected race.
- D. It is required that each course have:
  - 1. wings at each fence, which shall be a minimum of eighteen (18) feet in length and six (6) feet in height at their highest point, of construction approved by the Board;
  - 2. course directional beacons or flags that are a minimum of six (6) feet in height and are constructed of a safe material approved by the Board (barrels are prohibited);
  - 3. an appropriate marker to designate the finish line;
  - 4. adequate stands for officials to have a clear view of the racecourse;
  - 5. a diagram of the course or courses, clearly indicating the proper starting, running and finishing points;
  - 6. covered and enclosed facilities for male and female riders;
  - 7. accurate scales to weigh riders before and after each race;
  - 8. a scratch board to indicate scratches and other changes;
  - 9. numbered saddle cloths for every horse in each race;
  - 10. a communication system between the Stewards and other officials, including the medical support team;
  - 11. a photo finish system approved by the Board; and
  - 12. a videotaping system, approved by the Board, which will provide clear, panoramic, and head-on views of each race, and a monitor to review such video in the Stewards stand.

#### 4.3. RACE CONDITIONS, ENTRIES, AND GROUNDS

- A. The race conditions of each Association are subject to the approval of the Board.
- B. An Association may change, or withdraw entirely, any unclosed race, and may cancel any race that lacks a sufficient number of entries.
- C. An Association may, and without notice, refuse an entry from any person.
- D. An Association shall maintain order on all parts of the grounds.
- E. An Association may, and without notice, refuse the admission of any person to the grounds.

## CHAPTER 5 RACING OFFICIALS

### 5.1. GENERAL PROVISIONS

#### A. Eligibility

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

1. of good character and reputation;
2. experienced in Thoroughbred racing;
3. familiar with the duties of the position and with these Rules;
4. mentally and physically able to perform the duties of the job; and
5. in good standing and not under suspension or ineligible in any racing jurisdiction.

#### B. Board Approval

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

#### C. Prohibited Practices

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

1. be members of the Board of Directors of the NSA;
2. hold a current NSA license as an owner, trainer or rider;
3. participate in a race meeting which contains a horse in which he, or a member of his immediate family, has an interest;
3. wager on the outcome of any race; or
4. consume or be under the influence of alcohol or any prohibited substances.

#### D. Report of Violations

Racing officials shall report immediately to the Stewards every observed violation of these Rules.

#### E. Complaints Against Officials

1. Complaints against any Steward shall be made in writing to the Board and signed by the complainant.
2. Complaints against a racing official, other than a Steward, shall be made to the Stewards of the meeting in writing and signed by the complainant. All such complaints shall be reported to the Board by the Stewards, together with a report of any action taken.

**F. Appointment of Substitute Officials**

1. Should any Steward be absent at race time, and no approved alternate Steward be available, the remaining Stewards shall appoint a substitute for the absent Steward.
2. Where an emergency vacancy exists among racing officials, the Stewards or the Association, with the Stewards' approval, shall fill the vacancy immediately.

**5.2. STEWARDS**

**A. Eligibility**

To qualify as a Steward the appointee shall be a "current" NSA Accredited Steward or be otherwise approved by the Board.

**B. General Authority**

The Stewards shall exercise immediate supervision, control and regulation of racing at each race meeting. Powers of the Stewards include, but are not limited to, the following:

1. The Stewards shall be responsible to the Board for the conduct of each race meeting in accordance with these Rules.
2. The Stewards shall interpret and enforce these Rules, and in matters pertaining to racing, the orders of the Stewards supersede the orders of the Association.
3. The Stewards have power to regulate and control the conduct of all officials, and of all owners, trainers, riders, grooms and other persons attendant on horses, as well as employees of the Association.
4. The Stewards have power to resolve conflicts or disputes related to racing and to discipline violators in accordance with these Rules.
5. The Stewards have the power to approve a change in the course over which a race is run.
6. The Stewards have control over, and free access to, all spectator stands and other places utilized for the conduct of the meeting.
7. The Stewards have power to exclude from all places under their control: (a) every person who is ruled off; (b) every person whose name has been recorded on the forfeit list until the default is cleared; and (c) every person who has been denied a license, or is under suspension, or has had a license revoked in any racing jurisdiction.

8. The Stewards shall have supervision over all nominations, entries, and scratches.
9. When the ownership of any horse entered in a race is in dispute, the Stewards may not permit the horse to run in the race unless and until its ownership is definitely established to their satisfaction.
10. The Stewards have power at any time to order an examination, or a blood and/or urine specimen, by such person or persons as they think fit, of any horse entered for a race or which has run in a race.
11. The Stewards have power to inspect license applications, registration papers, and other documents related to racing.
12. The Stewards have power to charge any licensee for a violation of these Rules, to conduct hearings and to impose disciplinary action in accordance with these Rules.
13. The Stewards shall take notice of any conduct which appears not to be in the best interests of racing, with or without complaint thereof.
14. If any case occurs which is not provided for by these Rules, it shall be decided by the Stewards in such manner as they may think just and compatible with the best interests of racing.

**C. Period of Authority**

1. The Stewards' period of authority shall commence on the day that entries close for that meeting, until the day after the race meeting for which they are appointed.
2. In the event a dispute or controversy arises during a race meeting which is not settled at the conclusion of the race meeting, then the power of the Stewards shall be extended over the period necessary to resolve the matter, or until the matter is referred or appealed to the Board.

**D. Disciplinary Action**

1. The Stewards may impose any of the following penalties on a licensee for a violation of these Rules: (a) issue a reprimand; (b) assess a fine; (c) require forfeiture or redistribution of purse or award; (d) place a licensee on probation; (e) suspend a license or racing privileges; or (f) exclude from grounds under the jurisdiction of the Board.

2. The Stewards may suspend a license for not more than one (1) year per violation; or they may impose a fine not to exceed \$2,500 per violation; or they may suspend and fine; or they may recommend that a person be ineligible for licensing.
3. A Stewards' ruling shall not prevent the Board from imposing a more severe penalty.
4. The Stewards may refer any matter to the Board and may include recommendations for disposition.
5. Purses, awards, and trophies shall be redistributed if the Stewards order a change in the official order of finish.
6. All fines imposed by the Stewards shall be paid to the NSA within five (5) days after the ruling is issued, unless otherwise ordered.

**E. Objections and Complaints**

The Stewards shall investigate promptly and render a decision for every objection and complaint made to them, and shall maintain a record thereof for the Board.

**F. Stewards' Presence**

1. The Stewards shall be on the racecourse at least two (2) hours before post-time for the first race to exercise the authority and perform the duties imposed by these Rules.
2. Three (3) Stewards shall be present in the Stewards' stand during the running of each race, and all questions pertaining to which their authority extends shall be determined by a majority vote.

**G. Order of Finish**

The Stewards shall review the decisions of the Placing Judges and shall determine the official order of finish, including the disqualification of a horse or horses as a result of any event occurring during the running of a race.

**H. Stewards' Report**

1. The Presiding Steward shall submit to the Board, not later than three (3) days after the race meeting, a written report regarding the race meeting. The report shall contain: (a) the name of the race meeting, the date, weather, track condition, and principal officials; (b) any claims, inquiries, objections, complaints, or unusual circumstances; (c) observations and comments regarding the conduct of the race meeting, the overall condition of the Association grounds and facilities; and (d) any recommendations for improvement by the Association or action by the Board.

**I. Stewards' List**

1. The NSA shall maintain a Stewards' List of the horses which are ineligible to be entered in a race because of poor or inconsistent performance or behavior on the racecourse that endangers the health or safety of itself or other participants in racing.
2. A horse which has been placed on the Stewards' List because of inconsistent performance or behavior, may be removed from the Stewards' List when, in the opinion of the Stewards, the horse can satisfactorily perform competitively in a race without endangering the health or safety of itself or other participants in racing.
3. The Stewards may place a horse on the Stewards' List when there exists a question as to the exact identification or ownership of said horse.
4. A horse which has been placed on the Stewards' List because of questions as to the exact identification or ownership of said horse, may be removed from the Stewards' List when, in the opinion of the Stewards, proof of exact identification and/or ownership has been established.

**5.3. STEWARDS' SECRETARY**

**A. General Authority**

The Stewards' Secretary shall give to the Stewards and other officials such help and advice relating to the conduct of the meeting and the Rules of Racing as they may require.

1. The Stewards' Secretary shall maintain a detailed log of the Stewards' official activities. The log shall describe all questions, disputes, protests, complaints, or objections brought to the attention of the Stewards and all interviews, investigations and rulings made by the Stewards.
2. The Stewards' Secretary shall oversee and coordinate all procedural activity throughout the day, offer expertise if called upon, and enlighten the Stewards of any previous irregularities which may affect the day's racing.

#### 5.4. RACING SECRETARY

**A. General Authority**

The Racing Secretary shall be responsible for scheduling races, compiling and publishing condition books, assigning weights for handicap races, and receiving nominations, entries, and scratches.

**B. Race Conditions**

The Racing Secretary shall establish the race conditions and eligibility for entering races, and shall distribute them to owners, trainers and the racing Associations.

**C. Weight Assignments/Handicapping**

The Racing Secretary shall determine, based on eligibility and record, the weight to be carried by each horse in a race. In a handicap race he shall adjust the weights to be carried by the horses for the purpose of equalizing their chances of winning.

**D. Listing of Horses**

The Racing Secretary shall examine all entry forms to verify information as set forth therein, and randomly draw the horses to start and the also eligible horses in accordance with these Rules. Upon completion of the draw, the Racing Secretary shall post a list of entries in his office and make the list available to owners, trainers, and riders.

**E. Program**

The Racing Secretary shall compile the information for the official program, ensuring the accuracy therein of the following:

1. the sequence of races to be run and post-time for the first race;
2. the purse, conditions, and distance for each race;
3. the name of the owner of each horse, and description of racing colors;
4. the name of the trainer and the name of the rider for each horse together with the weight to be carried;
5. the post position and saddle cloth number for each horse;
6. the identification of each horse by name, color, sex, age, sire and dam; and
7. such other information as may be requested by the Association or the Board.

**F. Nominations**

The Racing Secretary shall examine nominations for early closing events to verify the eligibility of all such nominations, and compile lists thereof for publication.

**5.5. CLERK OF THE COURSE**

- A. The Clerk of the Course shall:
1. be on the grounds of the race meeting not later than three (3) hours prior to post-time for the first race, and shall be available to all participants and officials until thirty (30) minutes after the last race;
  2. be certain that the course is in a safe condition and that the fences and beacons or flags are properly placed and set up;
  3. post or make available diagrams of the course(s) not later than two (2) hours prior to post-time for the first race of the day, for the use of all participants and officials.

**5.6. HORSE IDENTIFIER**

- A. The Horse Identifier shall:
1. be on the grounds of the race meeting not later than two (2) hours prior to post-time for the first race.
  2. properly identify all horses entered to be raced, by examination in the paddock of the lip tattoo, or of markings as compared with its registration certificate;
  3. notify the Stewards if he has any doubt as to the identity of any horse to be raced;
  4. be responsible for safe keeping of registration certificates and racing permits for horses, and returning same to trainers at the conclusion of the races.

**5.7. PADDOCK JUDGE**

- A. The Paddock Judge shall:
1. supervise the assembly of horses in the paddock no later than twenty (20) minutes before the scheduled post-time for each race;
  2. inspect the equipment of each horse, and report any irregularity to the Stewards;

3. ensure that the saddling of each horse is orderly and free from public interference;
  4. ensure that horses are mounted at the same time, and leave the paddock for the post in proper sequence;
  5. report to the Stewards any observed cruelty to a horse;
  6. ensure that only properly authorized persons are permitted in the paddock; and
  7. report to the Stewards any unusual or illegal activities.
- B.** The Paddock Judge may:
1. give permission for a horse to be saddled in a place other than the paddock; and
  2. recommend to the Stewards that a horse be excused from parading, and led directly to the post.

#### **5.8. CLERK OF THE SCALES**

- A.** The Clerk of the Scales shall:
1. be on the grounds of the race meeting not later than two (2) hours prior to post-time for the first race;
  2. verify the presence of all riders on the grounds at the appointed time;
  3. provide the number cloth, as allotted in the official program, for each horse for which a rider has been weighed out;
  4. record and publish on the notice board any overweight, or change of rider, weight or racing colors, as compared with those stated in the official program, and promptly notify all pertinent racing officials;
  5. verify the use of NSA approved helmet, vest and whip;
  6. verify the correct weight of each rider at the time of weighing out and weighing in, and report any discrepancies to the Stewards immediately;
  7. report to the Stewards any infraction of the Rules with respect to weight, weighing, riding equipment or conduct;
  8. notify the Stewards of any complaints, objections, protests or disputes immediately upon being lodged;
  9. record all required data on the scale sheet, which shall be submitted to the Stewards' Secretary at the end of the day.

## 5.9. STARTER

- A. The Starter shall:
  - 1. ensure all participants an equal opportunity to a fair start in proper post position order;
  - 2. notify the Stewards of any irregularity at the start and request an action by the Stewards if any horse is delaying the start; and
  - 3. report to the Stewards any disobedience of his orders or attempts to take unfair advantage at the start, and recommend penalties for offenders.
  
- B. The Starter may:
  - 1. allow riders to dismount, and their horses to be cared for, when the start is delayed by exceptional circumstances;
  - 2. allow unruly horses to be assisted on the way to, but not during, the start, however, a stable representative or a pony may not be in the "line up" while the field is in the starter's "box", or in any way interfere with the field from behind the "box";
  - 3. assist, or allow an assistant starter to assist, any horse in need of attention or any rider in need of tack adjustment;
  - 4. allow a stable representative to assist a horse, under the direction of the starter, in a way that will not interfere with the field; or
  - 5. place unruly horses where they cannot injure or disrupt others when at the post.

## 5.10. TIMER

- A. The Timer shall accurately record the time elapsed between the start and finish of each race.
  - 1. The time shall be recorded from the instant the Starter dispatches the field until the nose of the first horse crosses the finish line.

## 5.11. PATROL JUDGES

- A. The Patrol Judges shall:
  - 1. observe each race and report information concerning the race to the Stewards;
  - 2. divert ("wave around") the field from a hazard which may occur during the running of a race;

3. report to the Stewards any foul riding, any horse not going over the prescribed course, or any other infringement of the Rules which they may see; and
4. return to the area of the Stewards' stand following the running of a race and remain there until the race is declared official.

#### 5.12. PLACING JUDGES

- A. Three Placing Judges shall:
  1. determine the order of finish by consideration of the respective noses of the horses as they reach the finish line, with the approval of the Stewards.
  2. sign a report of the result of each race, and submit it to the Stewards' Secretary at the end of the day.
- A. Three Placing Judges may:
  1. use a photo finish camera or video approved by the Stewards to assist in determining the order of finish.

#### 5.13. VETERINARIAN

- A. The Official Veterinarian shall:
  1. be licensed to practice;
  2. be present in the paddock during saddling, and be represented at the start until the horses are dispatched for the race, and at the finish when the race is concluded;
  3. examine any horse when there is a question as to the physical condition of such horse;
  4. recommend scratching a horse to the Stewards if, in his opinion, the horse may sustain an injury during the running of the race;
  5. examine any horse which appears in physical distress during the race or at the finish of the race; and shall report such horse, together with his opinion as to the cause of the distress to the Stewards;
  6. be authorized to humanely destroy any horse deemed to be so seriously injured that it is in the best interests of the horse to so act.

#### 5.14. PHYSICIAN

- A. The Official Physician shall:
  - 1. be licensed to practice;
  - 2. be present throughout the day and in close proximity and communication with the Stewards;
  - 3. be presented by the Stewards to the riders prior to the races to review all medical procedures in place;
  - 4. examine any rider who falls during the running of the race or is injured, ill or unable to fulfill his riding engagements.

## CHAPTER 6 LICENSEES

### 6.1. GENERAL PROVISIONS

#### A. Licenses Required

1. A person shall not participate in racing under the jurisdiction of the Board without a valid license issued by the NSA. License categories shall include the following and others as may be established by the Board: owner, trainer, and rider.
2. Persons required to be licensed shall submit a completed application on forms furnished by the NSA and accompanied by the required fee.

#### B. Consent to Investigation

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

#### C. Consent to Search and Seizure

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

#### D. Protection of Horses

Each person licensed by the Board shall do all that is reasonable and within his power and scope of duty to guard against and prevent the administration of any drug, medication or other substance, including permissible medication in excess of the maximum allowable level, to any horse entered or to be entered in a race, as prohibited by these Rules.

#### E. License Refusal

The Board or its designee may refuse to issue a license and give the applicant the option of withdrawal of an application without prejudice.

**F. License Denial**

The Board may formally deny an application in accordance with these Rules. An application denied shall be reported in writing to the applicant stating the reasons for denial.

**G. Grounds for Refusal, Denial, Suspension or Revocation of License**

The Board or its designee may refuse to issue or may deny a license to an applicant, or may suspend or revoke a license issued, or may order disciplinary measures, if the applicant:

1. has been convicted of a felony;
2. has been convicted of violating any law regarding gambling or a controlled dangerous substance;
3. has pending criminal charges;
4. is unqualified to perform the duties required of the applicant;
5. has failed to disclose or states falsely any information required in the application;
6. has been found in violation of statutes or rules governing racing in this or other jurisdictions;
7. has racing disciplinary charges pending in this or other jurisdictions;
8. has been or is currently excluded from Association grounds by a recognized racing jurisdiction;
9. has had a license denied, suspended or revoked by any racing jurisdiction;
10. is a person whose conduct or reputation may adversely reflect on the honesty and integrity of horse racing or interfere with the orderly conduct of a race meeting;
11. demonstrates financial irresponsibility by accumulating unpaid obligations, defaulting in obligations or issuing drafts or checks that are dishonored or payment refused;
12. is ineligible for employment pursuant to federal or state law because of age or citizenship.

**H. License Restrictions, Limitations and Conditions**

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

**I. Duration of License**

1. Licenses expire December 31 or are valid for such other period as permitted by the Board.

2. A license is valid only under the condition that the licensee remains eligible to hold such license.

**J. Changes in Application Information**

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

**K. Knowledge of Rules**

1. A licensee shall be knowledgeable of the Rules; and by acceptance of a license, agrees to abide by the Rules.
2. A licensee shall report to the Stewards any knowledge he has that a violation of these Rules has occurred or may occur.

**6.2. OWNERS**

**A. Licensing Requirements**

1. Each person who has a twenty-five (25) percent or more ownership or beneficial interest in a horse is required to be licensed.
2. A horse owner of any age may apply for an owner's license. If younger than 18 years of age, an applicant for an owner's license shall submit a notarized affidavit from his parent or legal guardian stating that the parent or legal guardian assumes responsibility for the applicant's financial, contractual and other obligations relating to the applicant's participation in racing.
3. If the Board or its designee has reason to doubt the financial responsibility of an applicant for an owner's license, the applicant may be required to complete a verified financial statement.
4. Each licensed owner is responsible for disclosure to the Board or its designee of the true and entire ownership of each of his horses eligible to race
5. The Board or its designee may refuse, deny, suspend or revoke an owner's license for the spouse or member of the immediate family or household of a person ineligible to be licensed as an owner, unless the Board determines that participation in racing will not permit a person to serve as a substitute for an ineligible person. The transfer of a horse to circumvent the intent of a Board rule or ruling is prohibited.

**B. Licensing Requirements for Multiple Owners**

1. Each partnership, corporation, syndicate or other association or entity shall disclose to the Board all owners holding a twenty-five (25) percent or greater beneficial interest, unless otherwise required by the Board.
2. Each partnership, corporation, syndicate or other association or entity which includes an owner with less than a twenty-five (25) percent ownership or beneficial interest shall file with the Board an affidavit which attests that, to the best of their knowledge, every owner, regardless of their ownership or beneficial interest, is not presently ineligible for licensing or suspended in any racing jurisdiction.
3. Application for joint ownership shall include a designation of a managing owner and a business address. Receipt of any correspondence at such address shall constitute official notice to all persons involved in the ownership of such horse.

**C. Lease Agreements**

1. A horse may be raced under lease provided a completed lease agreement acceptable to the Board is on file with the NSA.
2. Such lease agreements shall be for a minimum period of thirty (30) days, and such horse cannot be transferred, except by claim, for that period.

**D. Stable Name Registration**

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

1. The applicant shall identify all persons using the stable name. Changes shall be reported immediately to the NSA.
2. A person who has registered a stable name may cancel it upon written notice to the NSA.
3. A stable name may be changed by registering a new stable name.
4. A stable name which has been registered by any other person will not be approved by the Board.
5. A stable name shall be clearly distinguishable from other registered stable names.
6. All persons using a stable name shall comply with all rules regarding licensing of owners.

**E. Racing Colors**

1. Licensed owners shall register racing colors with the NSA, subject to the approval of the Board. Colors so registered shall not be taken by any other person. All disputes as to the right to particular colors shall be settled by the Board.
2. The racing colors to be worn by each rider in a race shall be described in the program, and any change shall be announced to the public prior to the start of the race.

**F. Authorized Agent**

1. An owner may appoint an authorized agent to act on his behalf by filing a written instrument signed by the owner clearly setting forth the delegated powers of the authorized agent.
2. An authorized agent may perform on behalf of the owner all acts as they relate to racing, as specified in the agency appointment, that could be performed by the principal if such owner were present.
3. In executing any document on behalf of the owner, the authorized agent shall clearly identify the authorized agent and the owner.
4. When an authorized agent enters a claim for the account of an owner, the name of the owner for whom the claim is being made and the name of the authorized agent shall appear on the claim slip.
5. Authorized agents are responsible for disclosure of the true and entire ownership of each horse for which they have authority. Any change in ownership shall be reported immediately to, and approved by, the Stewards and recorded by the NSA.
6. The authorized agent's appointment may be terminated by the owner, in writing, and filed with the NSA whereupon the appointment shall not be valid.
7. An authorized agent, although representing more than one owner, may not submit more than one claim in any one race.
8. A licensed rider may not act as an Authorized Agent.

### 6.3. TRAINERS

#### A. Eligibility

1. An applicant for a license as trainer shall be at least 18 years of age and, be qualified, as determined by the Stewards or other Board designee, by reason of experience, background and knowledge of racing.
2. A trainer's license from another jurisdiction, having been issued within a prior period as determined by the Board, may be accepted as evidence of experience and qualifications.
3. Evidence of qualifications may require passing an interview or oral examination and a demonstration of practical skills.
4. Applicants not previously licensed as a trainer shall be required to submit at least two (2) written statements, from licensed trainers known by the Board, as to the character and qualifications of the applicant.

#### B. Trainer Responsibility

1. The trainer is responsible for the condition of horses entered in a race and is responsible for the presence of any prohibited drug, medication or other substance, including permitted medication in excess of the maximum allowable level, in such horses. A positive test for a prohibited drug, medication or substance, including permitted medication in excess of the maximum allowable level, as reported by a Board approved laboratory, is prima facie evidence of a violation of this rule. In the absence of substantial evidence to the contrary, the trainer shall be responsible.
2. A trainer shall prevent the administration of any drug or medication or other prohibited substance that may cause a violation of these Rules.
3. In the case of a claiming race, a trainer shall have on file with the Horse Identifier the horse's original foal certificate no later than one (1) hour prior to post-time for the first race of the day.
4. A trainer whose horse has been claimed remains responsible for any violation of rules regarding that horse's participation in the race in which the horse is claimed.

### C. Other Trainer Responsibilities

A trainer is also responsible for:

1. maintaining the assigned stable area in a clean, neat and sanitary condition; ensuring that fire prevention rules are strictly observed;
2. the proper identity, custody, care, health, condition and safety of horses in his charge;
3. disclosure of the true and entire ownership of each horse in his care, custody or control;
4. promptly reporting the alteration of the sex of a horse in his care to the NSA;
5. promptly reporting to the NSA any horse on which a posterior digital neurectomy (heel nerving) has been performed and ensuring that such fact is designated on its certificate of registration;
6. maintaining a knowledge of the medication record and status of all horses in his care;
7. immediately reporting to the Stewards if he knows, or has cause to believe, that a horse in his custody, care or control has received any prohibited drugs or medication;
8. representing an owner in making entries and scratches and in all other matters pertaining to racing;
9. horses entered as to eligibility and weight or other allowances claimed;
10. ensuring the fitness of a horse to perform creditably at the distance entered;
11. ensuring that his horses are properly shod, bandaged and equipped;
12. scratching a horse not less than one hour prior to post time for the first race unless running in a stakes race, when the time limit is 45 minutes prior to post time for that race;
13. presenting his horse in the paddock at least twenty (20) minutes before post-time or at a time otherwise appointed before the race in which the horse is entered;
14. personally attending to his horses in the paddock and supervising the saddling thereof, unless excused by the Stewards;
15. instructing the rider to give his best effort during a race and that each horse shall be ridden to win;
16. attending the collection of a urine or blood sample from the horse in his charge or delegating an employee or the owner of the horse to do so;

17. notifying horse owners upon the report of a drug positive which may reduce the owners' share of the purse; and
18. notifying horse owners upon the revocation or suspension of his trainer's license. Upon application by the owner, the Board may approve the transfer of such horses to the care of another licensed trainer, and upon such approved transfer, such horses may be entered to race.

**D. Assistant Trainers**

1. Upon the demonstration of a valid need, a trainer may employ an assistant trainer as approved by the Stewards.
2. An assistant trainer may substitute for and shall assume the same duties, responsibilities and restrictions as imposed on the licensed trainer. In which case, the trainer shall be jointly responsible for the assistant trainer's compliance with the rules governing racing.

**6.4. RIDERS**

**A. Eligibility**

1. No person under sixteen (16) or over fifty-nine (59) years of age shall be licensed by the Board as a rider.
2. Anyone who has never been licensed as a rider must:
  - a. complete a questionnaire indicating previous experience;
  - b. submit two (2) letters from NSA licensed trainers attesting to the rider's ability;
  - c. be approved by a member of the Riders' Qualification Committee;
  - d. submit a completed application for rider's license with the appropriate fee.
3. A rider may be required to pass a physical examination given within the previous twelve (12) months by a licensed physician affirming fitness to participate as a rider. The Board or the Stewards may require that any rider be re-examined and may refuse to allow any rider to ride pending completion of such examination.
4. A licensed rider may not ride in a race against other horses owned, trained, controlled, or supervised, either in whole or part, by the rider or the rider's spouse, except in the case of an entry of two or more horses in a single race. In such case, a licensed rider may ride one of the horses in the entry owned, trained, controlled, or supervised, either in whole or part, by the rider's spouse.

**B. Foreign Riders**

1. A rider from a foreign country shall be permitted to ride upon declaration that he is a holder of a valid license in his country and currently not under suspension. To facilitate this process, the rider shall present a clearance statement in a language recognized in this jurisdiction to the Board.
2. Permission to ride pursuant to this provision shall not be granted to a rider who has been resident in the United States for more than thirty (30) days, unless such rider is in the process of obtaining proper immigration status.

**C. Rider Fees**

1. In the absence of a specified contract, the fee to a rider in a steeplechase race or training flat race shall be determined by the Board.
2. A rider's fee shall be considered earned when the rider is weighed out by the Clerk of Scales.
3. If a rider is engaged for a race and the owner or trainer breaks the engagement, such owner or trainer shall pay the rider his fee as prescribed by these Rules.

**D. Rider Responsibility**

1. If a rider is engaged for a race and refuses to fulfill his engagement he is subject to fine.
2. Conflicting claims for the services of a rider are to be determined by the Stewards.
3. Every rider who is engaged to ride in a race shall report to the Clerk of Scales, on the day of the race, by one hour prior to post-time of the first race. He then shall report his engagements and overweight, if any.
4. Riders shall be responsible for having their tack, including lead pad, lead, NSA approved safety helmet and vest, and other proper racing attire.
5. Every rider shall walk the course.
6. The rider of every horse shall take all reasonable and permissible measures throughout the race to ensure that his horse is given a full opportunity to win or obtain the best possible placing.

**E. Wearing of Advertising or Promotional Material**

1. Advertising or promotional material may be worn by a rider provided such rider has filed a request, in writing, at least twenty-four (24) hours before the applicable race, with the stewards and the race meet chairman, which includes a description with the name of the brands and sponsors along with a written authorization from the managing owner of the horse to be ridden; and
2. Notwithstanding the foregoing when a corporation, company or any other entity sponsors a race or race day at the meet, the race meet chairman may prohibit such advertising or promotional material from being worn that represents a competitor of such sponsoring corporation, company or other entity.

## CHAPTER 7 RULES OF THE RACE

### 7.1. CONDITIONS, ENTRIES AND NOMINATIONS

#### A. Conditions

For purposes of eligibility, penalties and allowances, results in flat, hurdle and timber races are mutually exclusive.

#### B. Eligibility

1. No horse shall be entered in a race run under these Rules unless duly registered as a Thoroughbred and named in the registry office of The Jockey Club, or is registered as a Thoroughbred by a recognized foreign turf authority, and can be properly identified, or is accepted by the NSA Board.
2. No horse shall be entered in a steeplechase race until three (3) years of age.
3. No horse shall be qualified to start unless it has been and continues to be entered.
4. No horse shall be qualified to start in a steeplechase race unless the trainer has proven the horse's ability to jump at racing speed.

#### C. Entering

1. Entries shall be made by telephone, facsimile machine, or in person, with the Racing Secretary or his designees, who shall maintain a record of them for a period of one (1) year.
2. An entry shall be in the name of the horse's licensed owner and made by the owner, trainer, or their designee.
3. The person making an entry shall clearly designate the horse so entered by stating its name, color, sex, age, and the name of its sire and dam.
4. Any alteration made to an entry after the closing of entries must be approved by the Stewards.
5. Horses may be entered in no more than two (2) steeplechase races on any racing weekend. However, a horse may not remain in more than one (1) race after scratch time if its presence in either race will result in the exclusion of another horse.
6. Any permitted medication must be declared at the time of entry.

**D. Limitation as to Spouses**

1. No entry shall be accepted for a horse owned, wholly or in part, or trained by a person whose husband or wife is under license suspension at time of such entry; except that, if the license of a rider has been suspended for a routine riding offense, the Stewards may waive this rule.
2. In such cases it is presumed that the disqualified person and the spouse operate a single horse racing business. That presumption may be rebutted by a showing to the stewards that the disqualified person and the spouse are both licensed in the same classification and maintain separate and distinct horse racing businesses. If the stewards conclude that is the case, the entry may be taken.

**E. Multiple Entries**

Not more than one (1) horse in which the same person or partnership has any form of interest, or not more than two (2) horses trained by the same person, may be drawn into, or onto the also eligible list of, any race to the exclusion of another horse. This rule shall not apply in sweepstakes in which the conditions expressly state that preference is determined by other factors.

**F. Nominations**

1. Death of a horse does not release the nominator from liability for all nomination fees due.
2. Death of a nominator shall not render void any nomination, entry or right of entry. All rights, privileges and obligations shall be attached to the legal heirs of the decedent or the successor owner of the horse.
3. When a horse is sold or claimed, nominations shall be transferred automatically to its new owner.
4. If a stakes race is not run for any reason, all nomination fees paid shall be refunded.

**G. Closings**

1. Entries and nominations shall close at the time designated. No entry or nomination shall be accepted after such closing time; except in the event of an emergency or if a race fails to fill, the Racing Secretary may, with the approval of the Stewards, extend such closing time.

2. Except as otherwise provided in the conditions for a stakes race, the deadline for accepting nominations is midnight of the day of closing.

**H. Number of Starters in a Race**

The maximum number of starters in any race shall be determined by the Stewards, with regard to safety.

**I. Divided Races**

The Association may divide any race that attracts a sufficient number of entries. The purse for each division shall be determined by the Association.

**J. Post Positions**

Post positions for all races shall be determined by lot and shall be publicly drawn by the Racing Secretary or his designee in the presence of those making entries for such race.

**K. Also-Eligible List**

1. If the number of entries for a race exceeds the number of horses permitted to start, the Racing Secretary may create and post an also-eligible list. Once a race has been drawn in this manner, the size of the field shall not be increased thereafter.
2. If a horse is scratched from a race for which an also-eligible list was created, a replacement horse shall be drawn from the also-eligible list into the race, in numerical order.

**L. Preferred List: Stars**

1. The Racing Secretary shall maintain a list of entered horses eliminated from starting by a surplus of entries, and these horses shall constitute a preferred list and may have preference (stars) for future races.
2. Horses that have been excluded from a steeplechase race will be given a preference (star) for future steeplechase races only.
3. Stars earned at the race meets are not applicable at major tracks.
4. Stars may be obtained only for the type of race from which a horse was excluded. (Maiden, maiden claiming, claiming, allowance).
5. Stars obtained during the spring race meet season do not carry over to the fall. Likewise, stars obtained during the fall race meet season cannot be used the following spring.

6. A horse that has obtained one or more stars will lose all such stars once it has the opportunity to run over fences.
7. Horses excluded as "doubles" or "triples" shall not obtain a star.
8. All stars must be claimed at the time of entry.

## 7.2. SCRATCHES

### A. Time Limit

1. The scratch of a horse from a race other than a stakes race shall be made by the owner, trainer or their designee not later than one (1) hour prior to post-time for the first race on the day the horse is entered.
2. The scratch of a horse from a stakes race may be made at any time up until forty-five (45) minutes prior to post-time for that race.

### B. Irrevocable

1. Scratches, once approved by the Stewards, are irrevocable.
2. Once a horse has been declared to run in one race, it is automatically scratched from any other race on the same day.

## 7.3. WEIGHTS

### A. Minimum Weight

No horse shall be permitted to start in any steeplechase race under these Rules carrying less than 130 pounds.

### B. Allowances

1. Weight allowance shall be claimed at time of entry and shall not be waived after the posting of entries, except by consent of the Stewards.
2. A horse shall start with only the weight allowance to which it is entitled at the time of starting, regardless of its allowance at time of entry.
3. A horse not entitled to the first weight allowance in a race shall not be entitled to any subsequent allowance specified in the conditions.
4. In all races except handicaps and steeplechase races where the conditions expressly state to the contrary, the scale of weights is less by the following for fillies and mares: eight (8) pounds before September 1 and six (6) pounds thereafter in races where competing against male horses.

**C. Rider Allowances**

1. In all steeplechase races, except handicaps and sweepstakes, riders who have never ridden a winner are allowed ten (10) pounds; non-winners of fifteen (15) races, allowed five (5) pounds. These apprentice allowances may be claimed up to one (1) hour prior to post-time for the first race.
2. If a rider is entitled to claim one of the above apprentice allowances at the beginning of a day, he shall be entitled to the same allowances until the end of that day, regardless of the number of races he wins.

**D. Penalties**

1. Weight penalties are obligatory.
2. Horses incurring weight penalties shall not be entitled to any weight allowance for that race.

**E. Weight Conversions**

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

1. 1 kilogram = 2-1/4 pounds
2. 1 Stone = 14 pounds

**F. Scale of Weights**

The weights in the Scale of Weights for Age shall be carried when not otherwise specified in the conditions of the race. In races of intermediate distance, the weights for the shorter distance apply. (See table in the back of this book.)

**G. Distance Conversions**

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

1. 200 Meters = 1 Furlong
2. 1,600 Meters = 1 Mile
3. 2,400 Meters = 1-1/2 Miles
4. 3,200 Meters = 2 Miles
5. 3,600 Meters = 2-1/4 Miles
6. 4,000 Meters = 2-1/2 Miles
7. 4,800 Meters = 3 Miles

#### 7.4. HORSES INELIGIBLE

- A. A horse is ineligible to start in a race when:
1. it has been fraudulently entered or raced in any jurisdiction under a different name;
  2. it is wholly or partially owned by a disqualified person or is under the direct or indirect training of a disqualified person;
  3. it is wholly or partially owned by the spouse of a disqualified person or is under the direct or indirect training of the spouse of a disqualified person; in such cases, it being presumed that the disqualified person and spouse operate a single horse racing business, which presumption may be rebutted;
  4. its name appears on the Starter's List, or the Stewards' List;
  5. it is not in sound racing condition;
  6. it has been trachea tubed to artificially assist breathing;
  7. it has been surgically denerved to desensitize the nerves above the ankle;
  8. it has impaired eyesight in both eyes;
  9. it is barred or suspended in any recognized jurisdiction;
  10. it does not meet the eligibility conditions of the race;
  11. its owner or lessor is in arrears for any fees;
  12. its owner, lessor, and/or trainer have not completed the licensing procedures required by the Board.

#### 7.5. CLAIMING RACES

- A. General Provisions
1. A person entering a horse in a claiming race warrants that the title to said horse is free and clear of any existing claim or lien, either as security interest, mortgage, bill of sale, or lien of any kind; unless before entering such horse, the written consent of the holder of the claim or lien has been filed with the Stewards or the Racing Secretary and its entry approved by the Stewards. A transfer of ownership arising from a claiming race will terminate any existing prior lease for that horse.
  2. Every horse claimed shall race for the account of the original owner, but title to a claimed horse shall be vested in the successful claimant at the time the horse starts, or, in the case of a refusal, when the starter has dispatched the field. The successful claimant shall then become the owner of the horse whether it is alive or dead, sound or unsound or injured at any time during the race or after.

3. The Stewards may set aside and void a claim for any horse from a claiming race upon a showing that any party to the claim committed a prohibited action, or that the owner of the horse at the time of entry failed to comply with any requirement of these Rules. Should the Stewards void a claim, they may make a further order for the costs of maintenance and care of the horse as they may deem appropriate.

**B. Claiming of Horses**

1. Every horse starting in a claiming race is subject to be claimed for its entered price by any person licensed as an owner with the NSA.
2. The certificate of registration of every horse entered in a claiming race shall be on file with the Horse Identifier at the race meeting prior to paddock time for the race in question. If the Stewards find that this rule has been violated they shall order the horse to be scratched from the race, and they may fine the trainer.

**C. Prohibitions**

1. A person shall not:
  - a. claim a horse in which the person has a financial or beneficial interest;
  - b. cause another person to claim a horse for the purpose of obtaining or retaining an undisclosed financial or beneficial interest in the horse;
  - c. enter into an agreement for the purpose of preventing another person from obtaining a horse in a claiming race;
  - d. claim a horse, or enter into any agreement to have a horse claimed, on behalf of an undisclosed person; or
  - e. claim more than one horse in any one race.
2. Owners having the same trainer are not permitted to claim any horse in the custody of that trainer.
3. Any prohibition stated above shall apply equally to the spouse of a person attempting to claim a horse.

**D. Procedure for Claiming**

1. Each person desiring to make a claim shall:
  - a. deposit at the office of the NSA, verified funds which are sufficient to cover the whole amount of the claim (sales tax excluded); or
  - b. deliver such funds to the Stewards or their representative at the race course before the first horse leaves the paddock for the race in question. **Note:** These funds must be in the form of a cashier's or certified check only, payable to the National Steeplechase Association. For purposes of this rule, cash is not an acceptable form of payment.
2. A valid claim shall:
  - a. be deposited with the Stewards or their representative before the first horse leaves the paddock for the race in question;
  - b. be in writing on a form provided by the NSA;
  - c. be signed by the person, or the duly authorized agent of the person, in whose name the claim is made;
  - d. contain the name of the horse to be claimed in a manner sufficient to avoid confusion with the name of another horse in the race; and
  - e. be for the amount printed in the program as the claiming price of the horse.

**E. Approval of Claims**

1. After a claim has been lodged, it is irrevocable and at the risk of the claimant.
2. The Stewards or their representative shall inspect the claim forms when the horses for the race enter the track on the way from paddock to post. They then shall ascertain whether or not the proper credit balance has been established with the NSA.
3. If more than one claim is filed on a horse, the successful claimant shall be determined by lot, by the Stewards.
4. An owner shall not be informed that a claim has been made until after the race has been run.
5. Notwithstanding any designation of sex or age appearing in the program, the claimant of a horse shall be solely responsible for the determination of the sex or age of any horse claimed.

**F. Transfer of Claimed Horses**

1. Upon a successful claim, the Stewards shall issue an authorization of transfer of the horse from the original owner to the claimant. Copies of the transfer authorization shall be forwarded to and maintained by the NSA.
2. A person shall not refuse to deliver a properly claimed horse to the successful claimant.
3. Transfer of possession of a claimed horse shall take place immediately after the race has been run, in the area designated for unsaddling. If the horse is required to be taken to the post-race testing area, the successful claimant or his representative shall take physical custody of the claimed horse after the testing procedure has been completed.
4. When a horse is claimed from a race, the horse's engagements are transferred to the claimant.
5. Ownership interest in any horse claimed from a race shall not be resold or transferred back to the original owner for thirty (30) days after such horse was claimed, except by claim from a subsequent race.
6. A claimed horse shall not remain in the same stable or under the control or management of its former owner.

**7.6. RUNNING OF THE RACE**

**A. Weighing Out**

1. A rider shall report his engagements and any overweight to the Clerk of Scales not later than one (1) hour before post-time for the first race.
2. A rider shall report to the Clerk of Scales to be weighed out not less than twenty (20) minutes prior to the time fixed for the race. At that time his proper weight shall be recorded by the Clerk of Scales, and any overweight shall be reported to the Stewards.
3. A rider may not carry more than ten (10) pounds over the assigned weight, unless he is of "amateur" status, in which case the overweight is unlimited, however no rider may carry more than 195 lbs. in a race.
4. A rider's weight shall include his clothing, boots, saddle and its attachments, and any other equipment except the whip, bridle, bit or reins, safety helmet, safety vest, blinkers, goggles or number cloth.
5. A rider must wear a safety helmet and a safety vest, of a type approved by the Board, when riding in any race.

6. No whip shall exceed twenty-eight (28) inches in length or one (1) pound in weight, or be light in color, and must be of a type approved by the Board.
7. Spurs may be used, provided they are of a type that will prod but not cut.

**B. Paddock to Post**

1. Each horse shall carry a conspicuous saddlecloth number corresponding to the number given that horse in the official program.
2. Each horse shall carry the full weight assigned for that race from the paddock to the starting post, and shall parade past the Stewards' stand, unless excused by the Stewards. If a horse throws its jockey on the way from the paddock to the post, the horse must be returned to the point where the jockey was thrown, where it shall be remounted and then proceed over the route of the parade to the post.
3. After the horses enter the track, no rider may dismount, except in the case of an accident occurring to the rider, the horse or the equipment. In such cases, the Starter may permit the jockey to dismount and the horse to be cared for during the delay, and may permit all riders to dismount and all horses to be attended to during the delay.
4. After passing the Stewards' stand in parade, the horses may break formation and proceed to the post in any manner, unless otherwise directed by the Stewards.
5. No person shall delay the arrival of a horse at the post. Once at the post, the horses shall be started without unnecessary delay.
6. If a rider causes his mount to jump a fence on the way to the post, the rider shall be fined by the Stewards.
7. If only one horse is at the post ready to start at the appointed time, it shall be declared the winner in a "walkover". In such a case, the winner will receive one-half the money offered for the win.

**C. The Start**

1. The horses shall be started by a flag and there shall be no start until, and no recall after, the Starter has dropped his flag.
2. In the case of a recall, unless at least one horse returns to the Starter the race shall be declared void. Should only one horse return, it shall be considered the winner in a "walkover." Should more than one return, the race shall be started again as soon as possible.

3. Each horse must carry its assigned weight from the starting post to the finish.

**D. Interference, Jostling or Striking**

1. Unless caused wholly or partly by some other horse, a horse may not carry another horse in or out, cross or weave in front of another horse without sufficient clearance, jostle another horse, intimidate another horse, or impede another horse.
2. A rider shall not ride so as to permit his mount to interfere with, impede or intimidate any other horse in the race.
3. A rider shall not jostle, strike or otherwise interfere with another rider or another rider's horse or equipment.
4. A rider shall not unnecessarily cause his horse to shorten its stride so as to give the appearance of having suffered a foul.
5. When the way is clear in a race, a rider may steer his horse to any part of the course, but if any horse swerves, or is ridden to either side, so as to interfere with, impede or intimidate any other horse, it is a foul.

**E. Disqualification**

1. In all cases of interference the offending horse may be disqualified, regardless of whether the foul was accidental, or the result of careless or reckless riding. If the Stewards determine the foul was due to careless or reckless riding, the rider may be fined and/or suspended.
2. When the Stewards determine that a horse shall be disqualified for interference, they shall place the offending horse behind such horses as in their judgment it interfered with, or they may place it last.
3. Should the Stewards determine that there are more than one incident of interference in a race where disqualification is warranted, the Stewards shall deal with the incidents in the order that they occur beginning with the first; and under no circumstances shall a horse that was disqualified for interference with another horse or horses be placed ahead of that horse or horses with which it interfered in the final order of finish as determined by the Stewards.
4. If a horse is disqualified for a foul, any horse or horses in the same race belonging wholly or partly to the same owner or trained by the same trainer, may also be disqualified.
5. The Stewards may determine that a horse shall be unplaced for the purpose of purse distribution.

**F. Horses Shall be Ridden Out**

1. All horses shall be ridden out in every race.
2. A rider shall give a best effort during a race, and each horse shall be ridden to win.

**G. Use of Whips**

1. Although the use of a whip is not required, any rider who uses a whip during a race shall do so only in a manner consistent with exerting his best effort to win.
2. No electrical or mechanical device or other expedient designed to increase or retard the speed of a horse, other than a whip, shall be used.
3. Prohibited use of the whip includes whipping a horse:
  - a. on the head, flanks or on any other part of its body other than the shoulders or hind quarters except when necessary to control a horse;
  - b. during the post parade or after the finish of the race except when necessary to control the horse;
  - c. excessively or brutally, causing breaks in the skin;
  - d. when the horse is clearly out of the race or has obtained its maximum placing;
  - e. persistently even though the horse is showing no response under the whip; or
  - f. striking another rider or horse.

**H. Horse Leaving the Racecourse**

1. Any horse losing its rider, may not be remounted.
2. If a horse leaves the prescribed course of a race and jumps any fence or goes around any beacon or other obstacle other than those on the prescribed course, it must turn back and resume the race from the point at which it originally left the prescribed course, or be disqualified. A rider who continues in a race on a horse thus disqualified may be fined or suspended, or both.
3. If a beacon or flag is dislodged from its position, it is no longer considered to mark the course and can be ignored by the rider.

**I. Order of Finish**

1. The official order of finish shall be determined by the Placing Judges, with the approval of the Stewards.
2. The nose of the horse shall determine the placement of the horse in relationship to other horses in the race.

3. A race shall be declared void if no horse completes the course according to these Rules and within thirty (30) minutes after the start.
4. No horse finishing five (5) minutes or more behind the winner shall be placed.

**J. Returning After the Finish**

1. After a race has been run, a rider shall ride promptly to the place designated by the Stewards, dismount and report directly to the Clerk of Scales to be weighed in.
2. If a rider is prevented from riding to the designated unsaddling area because of an accident or illness to the rider or the horse, the rider may walk or be transported to the scales, or may be excused from weighing in by the Stewards.

**K. Unsaddling**

1. Only persons authorized by the Stewards may assist the rider with unsaddling the horse after the race.
2. No one shall place a covering over a horse before it is unsaddled.

**L. Post Race Testing**

1. The winner of every race and any other horse designated by the Stewards in their discretion shall be subjected to a post-race blood or urine test or both.
2. Failure to allow or cooperate in the taking of a specimen, or any act or threat to impede or prevent or otherwise interfere therewith, shall subject the guilty person to a penalty as prescribed by the Stewards and/or the Board.

**M. Weighing In**

1. Each rider of a horse which finishes a race shall weigh in with the Clerk of Scales at least at the same weight at which he weighed out, and if under that weight by more than one (1) pound, his mount shall be disqualified.
2. A rider shall weigh in with all pieces of equipment with which he weighed out.
3. A rider weighing in at more than two (2) pounds over the proper or declared weight, excluding the weight of safety equipment approved by the Stewards, shall be subject to a fine.
4. If a rider fails to weigh in, his mount may be disqualified and he may be fined or suspended, or both.

**N. Dead Heats**

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

**O. Calculation of Winnings**

1. In calculating the value of a series of races in which an extra sum of money is won, the extra sum shall be calculated in the horse's earnings.
2. In calculating foreign winnings, the current rate of exchange at the time of such winnings shall be adopted.
3. In the case of a "walkover", one-half the money offered to the winner is earned.
4. Winnings shall apply to all sanctioned races in any country.
5. Winnings of a fixed sum are understood to be winnings in one race, unless specified to the contrary.

**7.7. OBJECTIONS, PROTESTS, AND INQUIRIES**

**A. Persons Eligible to Lodge Objections or Protests**

1. Objections or protests against a horse or rider entered in a race shall be received only when duly lodged by the owner or authorized agent of the owner, or the trainer, or the rider of another horse engaged in the same race and whose horse suffered or could suffer by the alleged rule violation.
2. An inquiry can be initiated by the Stewards at any time.

**B. Form for Objections or Protests**

1. Objections as to interference or fouls occurring during the running of the race may be lodged orally with the Clerk of Scales, the Stewards, or their designee. All other objections or protests shall be made in writing and bear the signature of the complainant, and shall set forth the specific reason or reasons for the objection or protest in such detail as to establish probable cause for the objection or protest.
2. Objections or protests lodged during, or within forty-eight (48) hours after a race meeting shall be addressed to the Stewards. Objections or protests lodged thereafter shall be addressed to the Board.
3. An objection or protest once lodged cannot be withdrawn without permission of the Stewards.

**C. Time for Lodging Objections or Protests**

Objections or protests based on the following rule violations must be lodged within the time prescribed therefore:

1. At least one (1) hour before post-time if objection is based on incorrect weight for a horse entered to race. The Stewards, upon their own motion, may consider an objection until such time as the horse becomes a starter.
2. Before the race has been declared official if objection is based on interference by a horse, improper course run by a horse, foul riding by a rider, or any other matter occurring during the running of the race.
3. Not later than forty-eight (48) hours after the race was run, if objection or protest is based on the fact that a horse was not qualified under the conditions of the race, or for any other rule violation.
4. Not later than one (1) year after the race was run if the objection or protest is based on fraudulent or willful misstatement in entry under which a horse has run.

**D. Stewards' Inquiry**

1. The Stewards shall take cognizance of foul riding and, upon their own motion or that of any racing official or person empowered by this chapter to object or protest, shall make diligent inquiry or investigation into such objection or protest when properly received.

2. In determining the extent of disqualification, the Stewards in their discretion may:
  - a. disqualify the offending horse and hold the rider blameless if, in the Stewards' opinion, the interference to another horse in a race was accidental, and not the result of careless or reckless riding on the part of a rider;
  - b. disqualify the offending horse and hold the rider responsible if, in the Stewards' opinion, the interference to another horse in the race was the result of careless or reckless riding on the part of the rider; or
  - c. affirm the placing judges' order of finish and hold the rider responsible if, in the Stewards' opinion, the careless or reckless riding did not affect the order of finish.

**E. Final Determination of Acts in Race**

1. On all matters occurring during the running of a race and before the race is declared official, the Stewards shall:
  - a. determine all factual issues;
  - b. decide all objections and inquiries based upon violations of Rule 7.6.; and
  - c. determine the extent of disqualification of the offending horse and the placing of affected horses.
2. These decisions of the Stewards shall be final and no appeal may be taken thereon.

**F. Final Determination of Objections or Protests**

1. When a race is in dispute, both the horse that finished first and any horse claiming the race shall be liable to all the penalties attached to the winner of that race until the matter be decided by the Board, whose decision shall be final.
2. The Stewards may order any purse, award or prize for any race withheld from distribution pending the determination of any objection or protest.
3. In the event any purse, award or prize has been distributed to an owner or for a horse which by reason of an objection, protest or other reason is disqualified or determined to be not entitled to such purse, award or prize, the Stewards or the Board may order such purse, award or prize returned and redistributed to the rightful owner or horse.
4. Any person who fails to comply with an order to return any purse, award or prize erroneously distributed shall be subject to fines and suspension.

## CHAPTER 8 HEARINGS, REVIEWS AND APPEALS

### 8.1. STEWARDS' HEARINGS

- A. The Stewards shall decide the nature and extent of any disciplinary action to be taken against a rider for a violation of Rule 7.6 or any other offense occurring during the running of a race. The offending rider shall have the opportunity to meet with the Stewards before such disciplinary action is taken.
  
- B. In all other cases involving a rule's violation, the Stewards shall conduct a hearing for the parties involved as soon as is practicable.
  - 1. Before conducting a hearing, the Stewards shall notify the party of the specific rule or rules infraction for which he is charged, the facts supporting the charge and the time and place of the hearing.
  - 2. All Stewards' hearings shall be closed, and the Stewards shall cause no public announcement to be made concerning a matter under investigation until conclusion of the hearing and the party charged has been notified of the decision.
  - 3. The Stewards shall conduct the hearing in such a manner as to ascertain and determine the substantial rights of the parties involved, and shall not be bound by technical rules of procedure and evidence.
  - 4. If at the conclusion of said hearing the Stewards shall find that a rule has been violated, they shall promptly issue a written ruling which sets forth the name of every person charged with the rule violation, identification of such person (if licensed) by license classification and address, the rule number and pertinent parts of the rule violated, the finding by the Stewards as to the violation of such rules, and the penalty affixed by the Stewards. Copies of such rulings shall be delivered to each party in interest.
  - 5. At least the Presiding Steward and one additional Steward shall be present at all times at the hearing.
  
- C. Any party who is the subject of any order or ruling of the Stewards may appeal to the Hearing, Review and Appeals Committee (referred to hereafter in these Rules as the "Hearing Committee") for a review of such order or ruling. This right of appeal does not apply to decisions of Stewards regarding the nature and extent of disqualification of horses for violation of Rule 7.6 occurring during the running of a race, which are deemed final.

## 8.2. APPLICATION FOR REVIEW

- A. An application to the Hearing Committee for review of a Stewards' order or ruling must be made within five (5) days after such order or ruling is issued in writing, and shall:
  - 1. be in writing addressed to the Hearing Committee, accompanied by a filing fee in the amount of \$500, which may be refunded at the Hearing Committee's discretion;
  - 2. contain the signature of the applicant, and the address to which notices may be mailed to the applicant;
  - 3. set forth the reasons for making such application;
  - 4. request a hearing.
- B. The Hearing Committee may stay a suspension until final determination by the Board.

## 8.3. CONTINUANCES

- A. All applications for continuance made prior to a hearing shall be in writing, shall set forth the reasons therefore, and shall be filed with the Hearing Committee after giving notice of such application by mail or otherwise to all parties or their attorney. At the time of the hearing, applications for continuance may be made orally. If requested, and in the manner prescribed by the Hearing Committee, the party applying for the continuance shall substantiate the reasons contained in such application.
- B. When application is made for continuance of a cause because of the illness of an applicant, licensee, witness or counsel, such application shall be accompanied by a medical certificate attesting to such illness and inability.
- C. An application for continuance of any Hearing Committee hearing must be received at least ninety-six (96) hours prior to the time fixed for a hearing. An application received within the ninety-six (96) hour period will not be granted unless a satisfactory arrangement in writing is made with the Hearing Committee for the payment of all expenses resulting from such continuance. However, the Hearing Committee may waive payment of such expenses for extenuating circumstances.
- D. If the Hearing Committee approves the application for continuance, the Hearing Committee forthwith shall set a date for the continued hearing.

#### 8.4. APPEAL HEARINGS

- A. Upon appeal of a matter determined by the Stewards, a de novo hearing, except as provided herein below, shall be held by the Hearing Committee. The Hearing Committee may reverse or revise such Stewards' ruling in all respects, except as to findings of fact by the Stewards as occurred during the running of a race or as to the extent of disqualification fixed by the Stewards for a foul in a race.
- B. Before holding any hearing provided for under these Rules, the Hearing Committee shall:
  - 1. Give written notice forthwith to all parties personally or by mail. If indispensable and necessary parties propose a large class, notice shall be served upon a reasonable number thereof as representatives of such class. Such notice shall include a statement of:
    - a. time and place of such hearing as designated by the Hearing Committee, but such time shall not be less than five (5) days nor more than thirty (30) days after service of notice unless at the request of a party and in order to provide a fair hearing;
    - b. the legal authority and jurisdiction under which the hearing is to be held;
    - c. specific designation of the particular rules alleged to have been violated; and
    - d. a clear and concise factual statement sufficient to inform each party with reasonable definiteness of the type of acts or practices alleged to be in violation of the act or rules promulgated thereunder. In fixing the times and places for hearings, due regard shall be had for the convenience of the parties and their representatives.
  - 2. The charge must be substantiated by personal testimony, sworn statements, witnesses or other evidence. Appellants may attend the hearing, may bring witnesses, sworn statements or other evidence in their own behalf.
  - 3. Upon written request of a representative of the Hearing Committee or of an accused, there shall be furnished before said hearing any evidence to be introduced at a hearing, the names of witnesses and the substance of their testimony.

4. Unless varied by the Hearing Committee, the order of proof in the de novo hearing may be:
  - a. Evidence presented by the prosecution as to alleged violations of a rule;
  - b. Cross examination of prosecution witnesses; redirect examination;
  - c. Evidence presented by a party charged, in defense or explanation;
  - d. Cross examination of party charged and his witnesses; redirect examination;
  - e. Rebuttal or other evidence, on behalf of the prosecution or any other party in interest as deemed pertinent by the presiding officer;
  - f. Closing argument by party charged; and
  - g. Closing argument by prosecution.
5. The Board shall keep a record of each hearing that shall include:
  - a. All pretrial and trial pleadings, motions and interlocutory rulings;
  - b. All evidence received or considered;
  - c. A statement of matters officially noticed;
  - d. Cross examination of party charged and his witnesses; redirect examination;
  - e. Rebuttal or other evidence, on behalf of the prosecution or any other party in interest as deemed pertinent by the presiding officer;
  - f. All Hearing Committee memoranda or data submitted to the Hearing Committee in connection with the Board's consideration of the case;
  - g. Any party may request in writing, at least five (5) days prior to the hearing and at such party's expense, the hearing be stenographically recorded; and
  - h. Final adjudication including findings of fact, based exclusively on evidence presented at the hearings and matters officially noticed, and any decision, opinion and ruling by the Hearing Committee on the matter.
6. The Hearing Committee may exclude evidence that is irrelevant, immaterial or unduly repetitious, and may admit evidence inadmissible under the rules of evidence but is of the type commonly relied upon by reasonably prudent men in the conduct of their affairs.

- a. Objections to evidentiary offers may be made, and shall be noted in the record; and
  - b. All or part of the evidence may be received in written form if the interest of the appearing parties will not be substantially prejudiced thereby.
7. The Hearing Committee may take official notice of technical facts or customs or procedures common to racing, but all appearing parties to the hearing shall be duly notified. Appearing parties shall have an opportunity to contest facts so noticed, including Hearing Committee memoranda or Hearing Committee data.
8. Members of the Hearing Committee participating in the adjudication of a matter before it shall not, directly or indirectly:
  - a. In connection with any issue of fact in the matter before the Hearing Committee, consult with any person or party who was engaged in the investigation or prosecution of the matter before the Hearing Committee, or conduct any personal investigation outside the record, without giving an opportunity for all appearing parties to participate.
  - b. In connection with any issue at law, no party or representative shall be consulted without giving all parties an opportunity to participate.
9. The Hearing Committee may make an informal disposition of the matter by stipulation, agreed settlement, consent order or by default.
10. Upon conclusion of the hearing, the Hearing Committee shall take the matter under advisement, shall render a decision as promptly as possible, and shall issue a ruling in final adjudication of the matter. Such ruling shall set forth the full name of every person charged with a rule violation; identification of such person if licensed, by license classification and address; the rule number and pertinent parts of the rule alleged to have been violated; a separate statement of findings of fact; a separate statement of conclusions of law; and penalties fixed by the Hearing Committee, if any. Copies of such ruling shall be delivered to each party.
11. Decisions of the Hearing Committee shall be the final decision of the NSA and no appeal may be taken thereon.

#### 8.5. HEARING OFFICER

- A. The Hearing Committee may, by written order, designate counsel for the Board or any other qualified person designated by the Hearing Committee as an Officer to take testimony, conduct hearings, and submit findings of fact, conclusions and sanctions, relief or denial thereof, to the Board.
  - 1. Decisions of the Hearing Officer become the decisions of the Hearing Committee without further proceedings; are deemed final and no appeal may be taken thereon.
  - 2. The Hearing Committee, in its sole discretion and on its own motion, may, after decision of the Hearing Officer, review the entire record of said hearing or any issue, or finding, or recommendation contained therein, or hold a new hearing, as well as determine whether the rules were properly interpreted and applied.
  
- B. A Hearing Committee member or Hearing Officer may at any time withdraw from the proceeding if he deems himself disqualified and, upon the filing in good faith before the termination of the hearing of an affidavit of personal bias or disqualification of any such member or Hearing Officer, the Hearing Committee shall determine the matter as a part of the record and decision in the case.
  - 1. In the event of such withdrawal or disqualification, any other member of the Hearing Committee, if there be such participating in the hearing, shall have the authority to complete the hearing and to participate in the decision.

**CHAPTER 9**  
**FORBIDDEN SUBSTANCES AND PRACTICES**

**9.1. FORBIDDEN SUBSTANCES**

- A. No horse may participate in any race if it has been administered in any manner any forbidden substance other than furosemide (Salix) or phenylbutazone (Bute) as prescribed herein. A forbidden substance is any drug, or drug metabolite, which might affect the speed or performance of a horse. Also prohibited are any drugs, regardless of how harmless or innocuous they might be, which might interfere with the detection of the aforementioned forbidden substances.
- B. Any trainer or person subject to these Rules who administers, attempts to administer, instructs, aids, conspires with another to administer, or employs anyone who administers or attempts to administer a forbidden substance to a horse competing at a sanctioned race meet shall be subject to the penalties provided under these Rules.
- C. The owner of a horse found to have received a forbidden substance may be required to forfeit or promptly return any portion of the purse and any trophy in such race. If a horse is disqualified in a race because of an infraction of this rule, the eligibility of other horses which ran in such race and which have started in a subsequent race before announcement of such disqualification, shall not in any way be affected.
- D. A trainer of a horse found to have received such forbidden substance shall be subject to whatever penalty is assessed by the Stewards under any of the Rules of Racing, including reference to the Board. Said trainer may be fined and may be suspended for a period of up to one year for the first offense, said suspension to be served at any time at the discretion of the Stewards.
- E. A horse found to have received a forbidden substance may be suspended for any period of time specified by the Stewards.
- F. Horses in competition at sanctioned race meetings are subject to examination by a licensed veterinarian appointed by the Board. Said licensed veterinarian, with the approval of the Board, may appoint a

technician to perform certain duties under this section. The examination may include physical, saliva, urine, blood tests, or any other tests or procedures in the discretion of said licensed veterinarian necessary to effectuate the purpose of this rule.

- G. Should the chemical analysis of blood, urine, saliva or other samples taken from a horse indicate the presence of a forbidden substance or any metabolite or derivative thereof, this shall be prima facie evidence that the forbidden substance has been administered to said horse in violation of these Rules.
- H. During the taking of specimens from a horse, the owner or trainer (who, in the case of a claimed horse, shall be the person in whose name such horse raced), or a stable representative designated by such owner or trainer, shall be present and witness the taking of such specimen and so signify in writing.

## 9.2. FORBIDDEN PRACTICES

- A. No person shall have in his possession in or about a recognized race meeting, nor shall any person use appliances, electrical, mechanical or otherwise, of such nature as could affect the speed or racing condition of a horse.
- B. No person may possess at a sanctioned race meet an instrument used for shock wave therapy. No horse may be treated with any form of shock wave therapy within ten (10) days of racing. The administration of shock wave therapy may only be performed by a licensed veterinarian. A veterinarian using shock wave therapy shall document and report each treatment on his daily medication report. A trainer or veterinarian who has been found to have violated any of the above provisions of this policy shall be subject to appropriate disciplinary action by the stewards including, but not limited to, a maximum suspension of ninety (90) days.
- C. No horse may be administered a "milkshake" or alkalizing agent on race day at a sanctioned race meet. A "milkshake" is the mixture of a bicarbonate of soda, sugar and electrolytes. A laboratory report indicating total carbon dioxide (TCO<sub>2</sub>) levels in blood serum or plasma shall not exceed 37 millimoles per liter of serum or plasma. The penalty for a violation of this rule will be forfeiture of purse and a \$1,000 fine to the trainer for a first offense.

## CHAPTER 10 MEDICATION

### 10.1. FUROSEMIDE

- A. The use of furosemide (Salix) shall be permitted under the following circumstances:
  - 1. Trainers shall designate the use of Salix at the time of entry and that designation shall be indicated by placing the letter "L" after the horse's name.
  - 2. Salix levels must not exceed 100 nanograms per milliliter (ng/ml) of plasma in horses administered Salix and with urine specific gravity measuring 1.010 or lower. Salix must be present in the plasma of any horse, which has been designated as being treated with the substance.
  - 3. In order to achieve the desired level, it is recommended that the Salix be administered [a] by intravenous injection; [b] no less than four hours prior to post-time for which the horse is entered to race and; [c] in a dosage which shall not exceed 10 ml (500 mg) and shall not be less than 3 ml (150 mg).
  
- B. Violations of the rules pertaining to the level of Salix quantification will be treated as follows:
  - 1. for the first violation, the stewards may fine the trainer an amount not to exceed \$250;
  - 2. for the second violation, the stewards may fine the trainer an amount not to exceed \$500;
  - 3. for the third violation within a 12 month period, the stewards may suspend and/or fine the trainer; and
  - 4. the stewards, in their discretion, may impose other more stringent disciplinary actions against trainers who violate the provisions under which Salix is permitted, regardless of whether or not the same horse is involved.
  
- C. If, prior to a race, a trainer reports that his horse has not received Salix even though its use was declared at the time of entry, the Stewards may order the horse to be scratched from the race, or they may fine the trainer, or both.

- D. It will not be necessary for a horse to "qualify" for the use of Salix by being observed as a bleeder.
- E. Violations pertaining to the use of Salix, other than those listed above, may result in disqualification of the horse and a fine and/or suspension of the trainer. Examples of these violations may include the absence of Salix in a horse declared to be on it and, conversely, the presence of Salix in a horse, which has not been declared to be on it.

## 10.2. PHENYLBUTAZONE

- A. The test level of phenylbutazone (Bute) shall not be in excess of 2.5 micrograms per milliliter of plasma without penalties in the following format.
- B. Violations of the rules pertaining to the test level of Bute will be treated as follows:
  - 1. for a finding of 0 to 2.5, the Stewards will warn the trainer;
  - 2. for the first violation of a finding of 2.6 to 4.9, the Stewards may fine the trainer an amount not to exceed \$250;
  - 3. for the second violation, within a twelve-month period, of a finding of 2.6 to 4.9, the Stewards may fine the trainer an amount not to exceed \$500;
  - 4. for the third violation, within a twelve-month period, of a finding of 2.6 to 4.9, the Stewards may fine the trainer \$500 and/or suspend the trainer and/or disqualify the horse from any purse earnings;
  - 5. a finding exceeding 5.0 will result in a \$500 fine, suspension and disqualification of the horse from any purse earnings.

## CHAPTER 11 CORRUPT PRACTICES

### 11.1. IMPROPER ACTS

- A. No person shall be party to any improper, corrupt or fraudulent act or practice in relation to racing in this or in any other country, or shall conspire with any other person to commit, or shall assist in the commission of any such act or practice.
- B. No person may willfully enter, or cause or permit to be entered, or to start in any race, a horse which he knows or has reason to believe to be disqualified.
- C. A person may not give or offer or promise, directly or indirectly, any bribe in any form to any person having official duties in relation to a horse, or to any trainer, rider, or to any other person having charge of, or access to, any horse.
- D. A person having official duties in relation to a race horse, or to any trainer, rider, or to any other person having charge of, or access to, any horse, may not accept or offer to accept any bribe in any form.
- E. If a person licensed by the Board is approached with an offer or promise of a bribe or for any improper, corrupt or fraudulent act or practice in relation to a race or racing, or that any race shall be conducted otherwise than fairly and in accordance with these Rules, such licensed person shall immediately report the matter to the Stewards or the Board.

### 11.2. PENALTIES

- A. Any person found by the Stewards to have violated the above Rules shall have such penalty imposed upon him, and the Stewards shall take such other action in the matter as they may deem proper under any of the Rules of Racing, including reference to the Board.
- B. The Board may fine or suspend any person for the violation of the above Rules, or impose other penalties as, in its judgment, shall be appropriate and proper under the circumstances.

- C. If any trainer, jockey, stable employee or other licensee solicits bets on a horse from the public, by correspondence or other methods, the Stewards may impose such punishment and take such action in the matter as they deem to be within the intent of these Rules, including reference to the Board.
- D. When any person subject to the jurisdiction of the Board is formally charged with the violation of these Rules, or any criminal statute of any state or of the United States, the Board may suspend him until the charge has been tried, dismissed or otherwise disposed of. When a person subject to the jurisdiction of the Board is convicted of a criminal offense in any state of the United States, the Board may rule him off.

### 11.3. RECIPROCITY RULINGS

- A. Every person ruled off the course of a recognized Association is ruled off wherever these Rules of Racing have force.
- B. Any person under suspension by the licensing body in any one country shall remain under suspension in all other countries until reinstated by the original licensing body.
- C. Anyone who has been ruled off or who has been suspended, whether temporarily for investigation or otherwise, and anyone penalized as above by the highest official regulatory racing body having jurisdiction where the offense occurred, shall be denied admission to all race tracks until duly reinstated, unless otherwise determined by the Board.
- D. All horses under the care of a trainer who has been ruled off or has been suspended, whether temporarily for investigation or otherwise, shall be automatically suspended from racing during the period of the trainer's exclusion or suspension. Permission may be given by the Stewards of the meeting for the transfer of such horses to another trainer during such period and, upon such approval, such horses shall again be eligible to race.
- E. Denial of a license by a recognized jurisdiction shall be considered as grounds for denial of a license by the Board.

## NOTES

## NOTES

### SCALE OF WEIGHTS FOR AGE

Age   Mar/Apr/May   June/July/Aug   Sept/Oct/Nov

#### 2 - 2-1/8 Miles

3	136	139	142
4	148	151	154
older	158	158	158

#### 2-1/4 - 2-3/8 Miles

3	134	137	140
4	146	149	152
older	158	158	158

#### 2-1/2 - 2-5/8 Miles

3	132	135	138
4	144	147	150
older	158	158	158

#### 2-3/4 - 3 Miles

3	130	133	136
4	142	145	148
older	158	158	158