

# SC MEMBERSHIP, LICENSING AND RACING POLICIES

## 1. MEMBERSHIP

- 1.1 Any person, stable or corporation participating directly in Standardbred racing, or one that has entered into a contract for services with the Association must be a Member in good standing of the Association and, where applicable, licensed by the Racing Commission of the Province in which such person, stable or corporation is so engaged.
- 1.2 In the event application for membership in the Association is denied or a decision thereon is deferred pending further investigation to determine if the applicant meets the requirements of the By-Laws or Regulations relative to membership; and in the event a Commission determines that such person meets its requirements and licences such person to participate at meetings under the jurisdiction of such Commission, the Association will grant an official performance record, if required, valid for that jurisdiction and a licence to participate in that jurisdiction only. The Association will maintain official performance records on such persons and horses in the same manner and for the same fees as for Members.

## 2. DEFINITIONS

- 2.1 Authorized Agent – a current Member in good standing and is at least 17 years of age on January 1 of the given year and has been appointed by a person on whose behalf he/she is acting as agent. The appointment must be made by document executed in writing, specifying the authorities delegated to the agent, and be available for presentation when requested by an official. If required by a Racing Commission, the appointment must be registered with, and completed on form required by the Commission. Appointments of authorized agents will be maintained electronically by the Association.
- 2.2 Breeder - the registered owner or lessee, subject to the terms of a lease agreement, at the time the mare conceived.
- 2.3 Commission - a Racing Commission created by an Act of a Provincial Legislature to govern, direct, control and regulate Standardbred racing in a particular Province.
- 2.4 Days - where a number of days not expressed to be clear days is prescribed, they shall be reckoned exclusively of the first day and inclusively of the last day.
- 2.5 Eligibility - an official performance record granted by the Association or the United States Trotting Association for the purpose of identifying a horse and recording time records, money winnings and current past performance information of the horse at the gait in which it performs.
- 2.6 Electronic Registration - electronic systems provided by the Association and the United States Trotting Association for recording of registration information about a horse. A horse will be placed on the electronic registration system upon presentation of the original certificate of registration and a request in writing from the registered owner or purchaser. A certificate of registration will be re-issued upon request by the registered owner or purchaser, in which case the horse shall be removed from the electronic registration system.
- 2.7 Electronic Claiming Authorization - an electronic system provided by the Association for recording the minimum price for which the horse may be claimed. Electronic Claiming Authorization must be initiated by a written or electronically verified authorization from the registered owner of the horse or his/her authorized agent and include the minimum price for which the horse may be claimed. If the horse is owned by more than one owner, all owners or their authorized agents must sign or verify electronically the claiming authorization. Upon presentation of the written authorization, such authorization will be entered by the Race Secretary or a representative of the Association on the Association's electronic system.
- 2.8 Horse - includes a horse, mare, filly, spayed mare or filly, colt, stallion, ridgling or gelding.
- 2.9 Judge - a person qualified by the Association to carry out the duties & responsibilities prescribed in this policy.
- 2.10 Judges' List - a current list of horses that are refused declaration.
- 2.11 Maiden - a horse that has never won a heat or race at the gait at which it is entered to start, and for which a purse is offered. Races or purse money awarded to a horse after the official sign has been posted shall not be considered winning performances or affect the status of a maiden unless the horse is placed first as the result of a positive test or disqualification of the winner of the race. Should a maiden finish first in a race for which a purse is offered and is subsequently disqualified; it shall not lose its maiden classification.
- 2.12 Official Performance Records - past performance statistics of races as compiled by the Association.
- 2.13 Owner - is the full owner, part owner, lessor or lessee of a registered standardbred horse who is recorded as such in the Association or the United States Trotting Association registry.

- 2.14 Participant - any person, stable, partnership, limited partnership, estate, corporation, or other legal entity participating directly in standardbred racing and who, under the Rules, is required to be licensed by the Association.
- 2.15 Post Position - the position assigned or drawn for a horse for the start of a race.
- 2.16 Stake - a race which will be contested subsequent to its closing for which there are nomination, sustaining and/or starting payments to determine the purse, in addition to monies given by the sponsor and/or track facility conducting the race.
- 2.17 Sustaining Fees - fees or payments made subsequent to the acceptance of nomination for an added money event.

### **3. VIOLATIONS, PENALTIES & EXPULSIONS**

- 3.1 The Racing Commission Board of Appeal may deal with placings, penalties, interpretation of these policies or other questions relating to the conduct of racing. Appeals may be made by any participant directly affected by the decision. Decisions by the Board of Appeal shall have no bearing on the distribution of pari-mutuel pools. Changes will be made to the Association database upon presentation of the official ruling from the respective Racing Commission.
- 3.2 Notice of a fine, suspension or expulsion may be given verbally, but also must be given in writing personally or by mail to the person's last known address. In addition, notice shall be posted immediately at the office of the track facility and shall be forwarded immediately to the Association and the Commission. The Association shall publish a record of fines, suspensions and expulsions, which may include publication on the Association's website, and may transmit notice to all persons having a legitimate interest in receiving the information.
- 3.3 Penalties imposed in accordance with the rules are payable forthwith upon their imposition and before the participant races again, unless there has been an appeal filed.
- 3.4 Whenever the penalty of suspension is prescribed in this policy it shall be effective from the time that notice is given. It shall mean exclusion and disqualification from any participation, direct or indirect, in the privileges and uses of any track facility, unless otherwise specifically limited, and from participating in any racing of standardbred horses.
- 3.5 No track facility shall allow a suspended, disqualified or excluded person to drive in a race, or a suspended or disqualified horse to start in a race or in a performance against time.
- 3.6 No track facility shall allow the use of its track or grounds to an expelled or suspended person or horse for the purpose of conducting any aspect of Standardbred racing.
- 3.7 Any Member who fails to pay an outstanding financial obligation to the Association shall be suspended until said obligation, including any interest accrued, is satisfied. Any Member who fails to honour payment of a negotiable instrument or fails to satisfy a court judgment related to standardbred racing, may be suspended or assessed an administration fee, or both.
- 3.8 All penalties imposed by a Commission or a governing body of Standardbred racing in a foreign country shall be recognized and enforced by the Association upon receiving notice from a Commission or governing body.
- 3.9 Any Member who has committed forgery on any document relating to the Association's business, may be suspended or assessed an administration fee for handling the case, or both.
- 3.10 Any Member who falsifies any documents relating to the Association's business, may be assessed an administration fee set by the Board.

### **4. TRACK FACILITIES**

No one shall conduct a race meeting unless the track facility at which the race meeting is to be conducted is a Member of the Association or has entered into a contract for services with the Association for the period for which the race meeting is scheduled. Racing dates must be sanctioned by a Racing Commission and by CPMA if applicable.

### **5. RACE REPORTS**

A record of each race conducted shall be entered in official race report form provided by the Association and it is the responsibility of the Presiding Judge to forward the reports to the Association not later than the following day. The track facility shall, within five days following the close of the meeting, remit to the Association all monies required by the By-Laws or the Rules and Regulations. Failure to comply will subject the Members to an administration fee or suspension.

## 6. PARTICIPANTS

### DRIVERS & RIDERS

- 6.1 No person shall drive a horse in any race or performance against time, without having first obtained a driver licence valid for the current year.
- 6.2 No person shall ride a horse in any race under saddle or performance against time, without having first obtained a rider licence valid for the current year.
- 6.3 Drivers and riders must register their racing colours with the Association.

### TRAINERS

- 6.4 No person shall train horses, or be programmed as a trainer of record without first having obtained a trainer licence valid for the current year from the Association. The holder of a driver licence issued by the Association is entitled to all privileges of a trainer and is subject to all Rules respecting trainers.

### OWNERS

- 6.5 No owner, lessee or stable Member shall have any interest whatsoever in any horse declared to race without first having obtained a licence valid for the current year.
- 6.6 The membership of every owner 16 years of age and under is valid for racing purposes only when,
  - (a) An authorized agent as defined in these Rules, has been appointed by such owner with written approval of a parent or guardian, and
  - (b) The authorized agent has accepted in writing all the responsibilities and liabilities of the owner.

### RACING, FARM, CORPORATE OR STABLE NAME

- 6.7 Racing, farm, corporate, limited partnerships, or stable names, hereinafter referred to as "stable names", may be used by owners or lessees provided the names are first registered with the Association. A name that is the same as or similar to one registered with the Association or the United States Trotting Association may not be used. The Association may reject a name considered to be confusing, unbecoming to the sport or which exceeds twenty-five (25) letters or spaces.
- 6.8 Applications by stables for membership shall include the names and addresses of each member thereof. Each Member of a registered stable, other than a corporation or limited partnership, must be a Member in good standing of the Association. Where the stable is a corporation or a limited partnership, the following persons must be Members of the Association:
  - A. with respect to a corporation, those Individuals who must be Members of the Association in good standing are identified below:
    - (a) for a corporation with less than ten (10) shareholders,
      - (i) every director and
      - (ii) every shareholder;
    - (b) for a corporation with ten (10) or more shareholders, but less than fifty (50),
      - (i) every director and
      - (ii) every Individual holding or controlling, directly or indirectly, shares giving him or her five (5) percent or more of the voting rights in the corporation;
    - (c) for a corporation with fifty (50) or more shareholders or whose securities are listed on a Canadian stock exchange,
      - (i) every director or, where applicable, every Member of its executive committee of its board of directors,
      - (ii) every Individual acting as chairman, secretary or holding a similar office,
      - (iii) the person responsible within the corporation for the activities for which the registration is required, and
      - (iv) every Individual holding or controlling, directly or indirectly, shares giving him or her five (5) percent or more of the voting rights in the corporation; and
    - (d) the Designated Corresponding Officer or officers of a corporation.
  - B. with respect to a Limited Partnership, those Individuals identified below must be Members in good standing of the Association:
    - (i) the general partner and where the general partner is a corporation or a general partnership, the persons covered by the foregoing provisions of this Section 6.8; and
    - (ii) the manager of the general partner or any person holding a similar office.

The foregoing provisions of Section 6.8 A. and B. do not apply to a shareholder of a corporation, to a maximum of two shareholders per corporation, who:

- (i) legally hold shares in a corporation merely in order to meet the statutory requirements of the jurisdiction in which the corporation is incorporated and otherwise has no beneficial interest in the corporation, or
  - (ii) is not an active participant in the management of the affairs of the corporation, apart from being a director, or
  - (iii) holds less than one (1) percent of the issued and outstanding shares of the corporation.
- C. with respect to a Partnership, then:
- (i) any Individuals who are partners must be Members in good standing of the Association;
  - (ii) any corporations which are partners shall require those Individuals identified in Section 2.4 A. to be Members in good standing of the Association; and
  - (iii) any Limited Partnership which are partners shall require those Individuals identified in Section 2.4 B. to be Members in good standing of the Association.

- 6.9 A stable is considered a Fractional Ownership Stable when it is comprised of 8 people or more. All new Members or returning Members (out for a full 2 years) in a Fractional Ownership Stable, will receive a 2 years full membership for a discounted fee. All new Members or returning Members will have the same privileges as paid-up Members including Trot Magazine, voting rights and discounted rate of TrackIT.
- 6.10 Each Member of a stable must sign a document designating a corresponding officer or officers. Corresponding officers must be Members of the Association and must be at least 18 years of age. Only the signature of the corresponding officer or officers will be recognized for transfers of ownership of horses or other documents pertaining to the registered stable. Documents bearing the signature of the corresponding officer or officers will be considered binding upon the Members of the stable.
- 6.11 The Association shall be notified forthwith if additional persons become Members of a stable or when a Member thereof becomes disassociated. Consent in writing must be given by any Member being disassociated from a stable.
- 6.12 Any liability of a stable and any penalty imposed upon the stable shall apply to all of its Members and/or horses owned wholly or in part by the stable. In the event one or more of the Members of a stable is suspended, the suspension shall also include any horses owned wholly or in part by the stable.

## **7. HORSES PERMITTED TO RACE**

- 7.1 Horses Eligible to Race – No horse will be eligible to be declared to any race at a track facility unless
- (a) An electronic eligibility has been issued by the Association or The United States Trotting Association in the current ownership.
  - (b) All horses must be parentage verified by DNA positive identification.
  - (c) The eligibility fee has been paid to the Association if Canadian owned, or the lifetime eligibility fee has been paid to the United States Trotting Association if American owned.
  - (d) All current owners of the horse are Members in good standing.
  - (e) If owned in whole or in part by Canadian Resident Members, the horse has been registered in current ownership with the Association. All persons having an ownership interest in the horse shall be shown on the registration. If there are more than four interests, the horse must be registered in the name of a stable.
  - (f) If leased, a copy of the lease in proper form is filed with the Association.
  - (g) If the race is an overnight event, other than a schooling race or a matinee race, the horse has qualified prior to the time of closing of declarations and in accordance with the qualifying standards of the track presenting the race.
  - (h) The horse has been microchipped or otherwise identified by a manner approved by the Association.
  - (i) The horse is at least two years of age to race at any meeting, but not older than fourteen (14) years of age to race at extended pari-mutuel meetings and is not older than seventeen (17) years of age to race at non-extended or fair meetings.
  - (j) A negative "Coggins Test" Certificate, properly identifying the horse and issued by a laboratory approved by Agriculture Canada certifying that the horse has been tested negative, and has been presented to the Association.
  - (k) The horse has not been "nerved" above its pastern.
  - (l) If a horse has been gelded or a mare has been spayed, that fact has been duly noted on the records of the Association
  - (m) The horse does not have a tube in its throat.
  - (n) The horse is not totally blind.
  - (o) The horse is eligible in accordance with the conditions or qualifications established by the track facility or sponsor for the race to which the horse is declared.
  - (p) The trainer of record is specified in the declaration.
- 7.2 All of the foregoing Section is, however, subject to the reservation that if a horse changes ownership such horse may start under the new ownership not more than once before the application of transfer of ownership is forwarded to the Association. Failure to forward the application for transfer of ownership within 20 days after a change of ownership may subject the transferee to a penalty by the Provincial Racing Commission. Any person who participates in skipping or omitting transfers of ownership directly or indirectly shall be subject to an administration fee, suspension or expulsion.

## **8. WINNINGS**

- 8.1 Winnings in the United States of America prior to January 1, 2024, will be deemed to be at par with Canadian funds and as of January 1, 2024, all earnings will be converted to Canadian dollars at the daily rate posted by The Bank of Canada.
- 8.2 Winnings earned outside of North America prior to January 1, 2024 will be calculated in U.S. dollars and in Canadian dollars thereafter based on the conversion rate as at January 1<sup>st</sup> of the year the foreign earnings were amassed, or recognized as recorded by the United States Trotting Association, whichever comes first.

## **9. CLAIMING RACES**

- 9.1 Owner's Consent – Unless a horse is currently on the electronic claiming authorization system, no horse shall race in a claiming race unless the owner or his/her authorized agent has provided written authorization to the Race Secretary thirty (30) minutes prior to post time of the race in which the horse is entered. If the horse is owned by more than one party, all parties must sign the authorization. Any questions relating to the validity of such authorization shall be referred to the Judges who shall have the authority to disallow a declaration or scratch the horse if they deem the authorization to be improper.
- 9.2 Registration Certificate Requirements – Unless a horse is on the electronic registration system, the Canadian registration certificate in current ownership, duly endorsed by all registered owners, must be filed with the Association for all horses claimed within forty-eight (48) hours after the race from which the horse was claimed. All horses that have been claimed out of a claiming race will automatically be put on electronic registration by the Association. The requirement of a Canadian registration certificate will be waived in the case of horses claimed by Members who are not Canadian Residents from other Members who are not Canadian Residents.
- 9.3 A person desirous of becoming an owner by effecting the claim of a horse, provided that application for membership has been submitted to the head office of the Association and a "Licence" has been issued to such person. An authorized agent may claim on behalf of a person eligible to claim. Any Member eligible to claim a horse, or his or her authorized agent, shall be allowed access to the grounds of the track facility in order to effect a claim at the designated place for making claims and to take possession of the horse claimed.
- 9.4 Vesting of Title to Claimed Horse - Every horse claimed shall race in the event in the interest and for the account of, the owner who declared it in the event, but title to the claimed horse shall be vested in the successful claimant at the time the horse is deemed to have started and the successful claimant shall become the owner of the horse, whether it be alive or dead, sound or unsound, or injured during the race or after it. If a horse is claimed out of a heat or dash of an event having multiple heats or dashes, the Judges shall scratch the horse from any subsequent heat or dash of the event.
- 9.5 Payment of Claiming Price - The claiming price shall be paid to the owner only when authorized by the Judges. Such authorization shall not be given until the Judges are satisfied that the claim is valid, the requirements of a "Coggins Test" have been fulfilled, and, if the horse is not on the electronic registration system, the registration certificate for the claimed horse is present, or available to affect the necessary transfer of ownership.

## **10. DECLARATIONS AND DRAWING OF POST POSITIONS**

After having been drawn to start in any race, or if named as also eligible to a race and not released, a horse shall not be sold or leased, nor shall any interest in the horse be sold or leased prior to the racing of that particular race, unless the horse is sold at public auction and the horse remains under the care, custody and responsibility of the trainer who entered the horse into the race.

## **11. PLACING AND MONEY DISTRIBUTION**

- 11.1 Purse Distribution - Unless specified otherwise in the conditions, purse money distribution shall be 50, 25, 12, 8 and 5 percent. In added money events, if less than five starters, the remaining premium shall go to the race winner unless the conditions call for a different distribution. In overnight events, if there are less than 5 starters, the premium for the positions for which there are no starters may be awarded to the race winner or may be retained by the track facility, but such premiums retained are not to be included in percentages of any agreement between the track facility and any recognized participants' association.
- 11.2 When a horse is disqualified as the result of being ineligible, or as the result of a positive test, it shall lose any purse money, its finishing position and its time in the following manner:
- (a) The horse will be disqualified and placed last
  - (b) The horse will lose all purse money earned from the race
  - (c) All remaining horses will move up in position, their summaries adjusted, and the money redistributed accordingly.

- (d) In the event the horse won the race, it shall lose the winning time and the actual time of the horse will read: TDIS (time disallowed). Further, the horse that finished second and placed first, will be awarded with a win and, credited with a winning time as determined by electronic timing from the official chart.

## **12. TIME**

- 12.1 A record will be the fastest time made by a horse in a heat or dash which it won, or in a performance against time.
- 12.2 In order that performances thereon may be recognized and/or published as official, every track facility shall have filed with the Association the certificate of a duly licensed Civil Engineer or Land Surveyor that the track has been measured from wire to wire three feet out from the inside pylons and certifying exactly the result of such measurement. Each track shall be measured and recertified in the event of any changes or relocation of the pylons.
- 12.3 The leading horse shall be timed and its time shall be announced. The horse shall not obtain a win-race time record by reason of the disqualification of another horse unless a horse is declared the winner by reason of the disqualification of a breaking horse on which it was lapped, or, unless the time of the horse that is being placed first, as the result of a disqualification due to ineligibility or a positive test, can be determined by electronic timing from the official chart.
- 12.4 In case of a dead heat, the time shall constitute a record for the horses making the dead heat and both shall be considered winners.
- 12.5 No person shall intentionally misrepresent the time of a race or alter the record thereof. Any record recorded as a result of misrepresentation may be expunged.

## **13. JUDGES' AND VETERINARIANS' LISTS**

- 13.1 Judges' List. - A horse that is dangerous or unmanageable shall be placed on the "Judges' List" and such horse is ineligible to race until removed there from. Only a Presiding or Associate Judge at an extended pari-mutuel meeting shall have the authority to remove a horse from the Judges' List.
- 13.2 Veterinarians' List - A horse that is unfit to race because it is sick, lame or otherwise physically unfit to race, may be placed on the "Veterinarians' List" and such horse is ineligible to race until removed there from. Only accredited veterinarians shall have the authority to place a horse on the "Veterinarians' List" or remove a horse there from.

## **14. LICENSING OF DRIVERS, RIDERS, TRAINERS, GROOMS**

- 14.1 Licensing of Drivers - There shall be the following categories of driver licences:
  - (a) "A", a general licence valid for all meetings;
  - (b) "B", a provisional licence valid for all meetings subject to satisfactory performance;
  - (c) "C", a licence valid for fairs and for qualifying races subject to first having driven an agreed upon rated mile to the satisfaction of the Judges, and for overnight races at all pari-mutuel meetings, subject to the approval of the Judges;
  - (d) "D", a licence valid for races restricted to amateur drivers. An amateur driver is one who has not accepted any valuable consideration by way of or, in lieu of compensation for his services as a trainer or driver during the past ten (10) years.
  - (e) "F", a licence valid for Fairs, and for non-extended pari-mutuel meetings,
  - (f) "P", a probationary licence valid for all meetings in accordance with the terms of the probation.
- 14.2 Repeated rule violations or other indications of lack of qualifications shall be considered grounds for refusal to grant or grounds for suspension or revocation or change of category of any driver licence.
- 14.3 First Time Applicants "F" Driver Licence – To be eligible for an "F" category driver licence for the first time, the applicant must:
  - (a) Have attained 18 years of age;
  - (b) Have been licensed by the Association as an "F" trainer for two full years;
  - (c) Submit a completed application;
  - (d) Have three favourable recommendations from licensed drivers, "A" trainers or race officials in response to confidential reference inquiries provided by the Association;
  - (e) Submit to a physical and eye examination valid within the prior twelve (12) months, the cost of which shall be the responsibility of the applicant; and
  - (f) Submit to a written examination and achieve a passing grade.
- 14.4 First Time Applicants "D" Driver Licence - To be eligible for a "D" category of driver licence, the applicant must:
  - (a) Have attained 18 years of age;
  - (b) Submit a completed application form; and

- (c) Submit to a physical and eye examination valid within the prior twelve (12) months, the cost of which shall be the responsibility of the applicant;
  - (d) The applicant must sign a declaration that he or she has the necessary skills to drive and control a race horse;
  - (e) Submit to a written examination and achieve a passing grade. Holders of "D" driver licences issued by the Régie des alcools, des courses et des jeux (RACJ) must provide proof of current licence in good standing with RACJ.
  - (f) The applicant must show that he or she has the necessary skill to drive and control a race horse by going a rated mile in front of the Judges
  - (g) Current holders of a RACJ Driver D licence will have to show at least one drive in order to drive in an Ontario Amateur race.
- 14.5 First Time Applicants "C" Driver Licence - To be eligible for a "C" category driver licence for the first time, the applicant must:
- (a) Have attained 18 years of age;
  - (b) have been licensed by the Association as an "A" trainer for one full year, or as an "F" trainer for three full years, or as an "F" driver for one full year and had a minimum of five drives;
  - (c) Submit a completed application;
  - (d) Have three favourable recommendations from licensed drivers, "A" trainers or race officials in response to confidential reference inquiries provided by the Association;
  - (e) Submit to a physical and eye examination valid within the prior twelve (12) months, the cost of which shall be the responsibility of the applicant; and
  - (f) Submit to a written examination and achieve a passing grade.
- 14.6 In the determination of whether a licensed "C" driver is satisfactory, the Judges shall evaluate his/her performance:
- (a) While coming to and while at the starting gate;
  - (b) While leaving the gate and positioning the horse;
  - (c) When confronted with situations during the race;
  - (d) While in the homestretch and during the finish of the race; and
  - (e) His/Her overall performance and conduct during the race.
- One point shall be credited for satisfactory performance in each of the five areas specified in the foregoing. The holder of a "C" category licence must attain 50 points in qualifying races before being permitted to drive in overnight events, and 75 points in overnight events to be eligible to be upgraded to a "B" category licence. Points awarded for each category of area shall be duly recorded in the electronically maintained official performance records.
- 14.7 Upgrading Category of Driver Licence - To be eligible to have a category of driver licence upgraded, the holder must fulfill the following requirements:
- (a) The holder of a "F" category of driver licence will be eligible to upgrade to a "C" licence:
    - (i) After having held a "F" driver licence for a minimum of one full year;
    - (ii) After having completed an application for a "C" driver licence; and,
    - (iii) After having driven in at least five races.
  - (b) The holder of a "C" category of driver licence will be eligible to be upgraded to a "B" category licence:
    - (i) After having driven a satisfactory rated mile;
    - (ii) After having accumulated 50 points in Qualifying races;
    - (iii) After having accumulated 75 points in Overnight events; and
    - (iv) Is recommended, in writing, for a "B" driver licence by a Judge licensed for extended meetings.
  - (c) The holder of a "B" category of driver licence will be eligible to be upgraded to an "A" category driver licence:
    - (i) After having held a "B" licence for a minimum of one full year;
    - (ii) After having driven satisfactorily in at least forty (40) purse races during the prior eighteen (18) months; and
    - (iii) Is recommended, in writing, for an "A" driver licence by a Judge licensed for extended meetings.
- 14.8 Policy respecting to "C" Drivers:
- (a) A rated mile should be successfully completed within three (3) attempts or the applicant will be required to wait a period of three (3) full months before attempting again. The time of the rated mile should be within five (5) seconds of the qualifying time at the track where the rated mile is attempted allowing for allowances given by the Judges for the track conditions on that date.
  - (b) All qualifying drivers and "C" drivers qualified for overnight races must present themselves to the Judges, before every qualifying race or overnight drive, thus affording not only the Judges, but the driver the opportunity to discuss his/her previous drive or any other questions or problems that he/she may have, which in turn will afford a better working relationship between drivers and officials.
  - (c) All qualifying drivers and "C" drivers qualified for overnight races who are inactive for one (1) full year from their last recorded drive will lose all of their accumulated points and will be required to start at zero (0) points, but may remain with the same category of driver licence.

- (d) All qualifying drivers and "C" drivers qualified for overnight races who are inactive for two (2) full years or more from their last recorded drive must re-apply and fulfill all requirements of a participant applying for a driver licence for the first time. (e.g. references, medical, exam).
  - (e) All qualifying drivers and "C" drivers qualified for overnight races should complete all requirements of the point system within three (3) years of their "first" recorded drive in an overnight race or will be required to start again in overnight races at zero (0) points.
- 14.9 Holders of USTA Driver Licences - A non-Canadian Resident, as defined in Article 1.1 of By-Law 1, who is the holder of a driver licence granted by the United States Trotting Association, shall be eligible for the equivalent Association category of licence providing the applicant:
- (a) Has attained 18 years of age;
  - (b) Submits a completed application; and
  - (c) Submits evidence acceptable to the Association of current driver licence granted by the United States Trotting Association.
- 14.10 Foreign drivers: The holder of a driver licence granted by one of the following foreign jurisdictions:
- (i) Sociedad Rural Argentina (Argentina)
  - (ii) Australian Harness Racing Council (Australia)
  - (iii) Federation Belge du Trot (Belgium)
  - (iv) Dansk Travsports Centralforbund (Denmark)
  - (v) Suomen Hippos R.Y. (Finland)
  - (vi) Societe d'Encouragement l'Elevage du Cheval Français (France)
  - (vii) Hauptverband fur Traberzucht und Rennen E.V. (Germany)
  - (viii) The Standardbred and Trotting Horse Association of Great Britain & Ireland (STAGBI)
  - (ix) Stichting Nederlands draf-en Rensport (Holland)
  - (x) Associazione Nazionale Allevatori Del Cavallo Trottatore (Italy)
  - (xi) New Zealand Harness Racing Conference (New Zealand)
  - (xii) Det Norske Travelskap (Norway)
  - (xiii) Svenska Travsportens Centralforbund (Sweden)
- will be eligible for a "B" driver licence on application to the Association provided that the applicant:
- (a) has attained 18 years of age;
  - (b) has submitted a completed application; and
  - (c) has submitted evidence acceptable to the Association of current driver licence granted by that foreign jurisdiction
- Foreign drivers who have obtained a "B" licence from the Association may be upgraded to an "A" category licence on receipt of a written recommendation from a Judge licensed for extended meetings.
- 14.11 Renewal of Driver Licences - Renewal of driver licences will be granted in each category subject to the following provisions:
- (a) Drivers who hold "A" and "B" licences and who have renewed their licences annually, but have amassed less than ten (10) drives during a period of three (3) or more years, will be flagged by the computer to this effect and will be required to fulfill any and all conditions as their respective provincial racing commission may impose.
  - (b) If the applicant has not renewed his/her driver licence for any period of less than five (5) years, such applicant will be eligible to be licensed in the same category as granted previously when:
    - (i) A completed application is submitted to the Association; and
    - (ii) If the applicant has not been licensed as a driver within the prior three (3) years, a satisfactory physical and eye examination valid within the prior twelve (12) months is submitted to the Association.
  - (c) If the applicant has not renewed his/her driver licence for a period of five (5) or more consecutive years, such applicant will be eligible to be licensed as a "C" category driver when:
    - (i) A completed application is submitted to the Association; and,
    - (ii) A satisfactory physical and eye examination report valid within the prior twelve (12) months is submitted to the Association.
    - (iii) Achieve a passing grade on a written examination
  - (d) Applicants for renewal of driver licences must submit a satisfactory physical and eye examination report every five (5) years, up to age 50, and then every two (2) years thereafter, before renewal of the licence will be granted.
  - (e) Applicants for renewal of driver licences who have been hospitalized or under medical care during the prior year shall, upon demand of the Association, submit a satisfactory physical and eye examination report valid within the prior twelve (12) months before renewal of licence will be granted.
  - (f) In cases where physical and/or eye examinations are required as a condition for renewal of a driver licence, the cost of same is the responsibility of the applicant.
- 14.12 Exhibition Races - Where non-betting promotional races such as celebrity races, junior driving championships, collegiate driving championships or other similar events are conducted by track facilities, such races shall be regarded as exhibitions and performances therein shall not be noted on the official performance records or otherwise officially credited to either horses or drivers. Any money awarded or paid on such races shall not be credited to the horses or drivers as official earnings and shall not affect the



eligibility of participating horses to any subsequent event. Participants in such races shall not be covered under the terms of the Association's insurance coverage.

- 14.13 First time applicants for Racing Under Saddle Qualifying Rider licence must:
- (a) have attained 18 years of age;
  - (b) submit a completed application;
  - (c) submit to a physical and eye examination valid within the prior twelve (12) months, the cost of which shall be the responsibility of the applicant, and;
  - (d) submit to a written examination and achieve a passing grade.
- 14.14 In the determination of whether a licensed RUS "Q" Rider is satisfactory for upgrade to a Rider licence, the Qualifying Rider must:
- (a) submit a written recommendation from a regional Judge who has evaluated the rider's performance:
    - (i) while coming to and while on the gate;
    - (ii) while leaving the gate and positioning the horse;
    - (iii) when confronted with situations during the race;
    - (iv) while in the homestretch and during the finish of the race; and
    - (v) his/her overall performance, strength, fitness and conduct during the race.
- 14.15 Holders of USTA Rider Licences – A non-Canadian Resident, as defined in Article 1.1 of By-Law 1, who is the holder of a Rider licence granted by the United States Trotting Association, shall be eligible for the equivalent Association category of licence providing the applicant:
- (a) Has attained 18 years of age;
  - (b) Submits a completed application; and
  - (c) Submits evidence acceptable to the Association of current Rider licence granted by the United States Trotting Association.
- 14.16 Foreign Riders
- The holder of a Rider licence granted by one of the following foreign jurisdictions:
- (i) Sociedad Rural Argentina (Argentina)
  - (ii) Australian Harness Racing Council (Australia)
  - (iii) Federation Belge du Trot (Belgium)
  - (iv) Dansk Travsports Centralforbund (Denmark)
  - (v) Suomen Hippos R.Y. (Finland)
  - (vi) Societe d'Encouragement l'Elevage du Cheval Français (France)
  - (vii) Hauptverband fur Traberzucht und Rennen E.V. (Germany)
  - (viii) The Standardbred and Trotting Horse Association of Great Britain & Ireland (STAGBI)
  - (ix) Stichting Nederlands draf-en Rensport (Holland)
  - (x) Associazione Nazionale Allevatori Del Cavallo Trotatore (Italy)
  - (xi) New Zealand Harness Racing Conference (New Zealand)
  - (xii) Det Norske Travelskap (Norway)
  - (xiii) Svenska Travsportens Centralforbund (Sweden)
- will be eligible for a Rider licence on application to the Association provided that the applicant:
- (a) Has attained 18 years of age;
  - (b) Has submitted a completed application; and
  - (c) Has submitted evidence acceptable to the Association of a current Rider licence granted by that foreign Jurisdiction.
- 14.17 Renewal of Rider Licences – Renewal of rider licences will be granted subject to the following provisions:
- (a) all applicants for renewal of a Racing Under Saddle licence must complete a satisfactory qualifier at the beginning of each season and submit to the Association a recommendation from the regional Judge ;
  - (b) riders who have renewed their licences annually, but have amassed less than ten (10) rides during a period of three (3) or more years will be required to fulfill any and all conditions as their respective provincial racing commission may impose.
  - (c) if the applicant has not renewed his/her rider licence for any period of more than three (3) years, such applicant will be eligible to be licensed when:
    - (i) a completed application is submitted to the Association; and,
    - (ii) a satisfactory physical and eye examination valid within the prior twelve (12) months is submitted to the Association; and,
    - (iii) he/she submits a written examination and achieve a passing grade
    - (iv) a written recommendation from a regional judge is submitted to the Association after having completed a satisfactory qualifier under saddle.
  - (d) applicants for renewal of rider licences must submit a satisfactory physical and eye examination report every five (5) years, up to age 50, and then every two (2) years thereafter, before renewal of the licence will be granted.
  - (e) applicants for renewal of rider licences who have been hospitalized or under medical care during the prior year shall, upon demand of the Association, submit a satisfactory physical and eye examination report valid within the prior twelve (12) months before renewal of the licence will be granted.

- (f) in cases where physical and/or eye examinations are required as a condition for renewal of a rider licence, the cost of same is the responsibility of the applicant.
- 14.18 Licensing of Trainers - There shall be the following categories of trainer licences:
- (a) "A", a licence valid for operation of a public stable and training of horses at all race meetings;
  - (b) "C", an Ontario resident apprentice licence valid for all meetings permitting the operation of a public stable, subject to satisfactory performance and ongoing approval of the Judges; and,
  - (c) "F", a licence restricted to training only horses wholly owned by the holder or his immediate family at all race meetings. Immediate family shall include son, daughter, son-in-law, daughter-in-law, father, mother, grandchild, grand-parent, adopted son, adopted daughter, stepson, stepdaughter, sister, brother, or person to whom the affected licensee stands in loco parentis.
- 14.19 First Time Applicant "F" Trainer Licence - To be eligible for an "F" category trainer licence for the first time, the applicant must:
- (a) Have attained 16 years of age;
  - (b) be licensed as an owner by the Association for one full year, within the last five (5) years;
  - (c) Submit a completed application;
  - (d) Submit to a physical and eye examination valid within the prior twelve (12) months, the cost of which is the responsibility of the applicant;
  - (e) Submit to a written examination and achieve a passing grade.
- 14.20 First Time Applicant "A" Trainer Licence - To be eligible for an "A" category trainer licence for the first time, the applicant must:
- (a) Have attained 16 years of age;
  - (b) Submit a completed application;
  - (c) Have four (4) favourable recommendations from licensed drivers, "A" trainers or race officials in response to six (6) confidential reference letters provided by the Association;
  - (d) Submit to a physical and eye examination valid within the prior twelve (12) months, the cost of which is the responsibility of the applicant;
  - (e) Submit to a written examination and achieve a passing grade.
- Ontario residents applying for an "A" trainer licence must first obtain a "C" trainer licence.
- 14.21 First time applicant "C" Trainer Licence – To be eligible for a "C" category of trainer licence for the first time, the applicant must:
- (a) Have a minimum of four (4) favourable reference letters on file from currently licensed "A" trainers and/or drivers;
  - (b) Submit a satisfactory physical and eye examination, the cost of which is the responsibility of the applicant;
  - (c) File a recommendation from the panel of regional Judges to write the trainer examination;
  - (d) Successfully complete the written trainer examination and achieve a passing grade of 75% or better;
  - (e) Receive a recommendation from the examination supervisor and successfully complete the Association's practical examination and achieve a passing grade of 75% or better.
- The Judges may impose any conditions on the holder of a "C" licence as deemed appropriate. This licence must be held for a minimum period of six (6) months before applying to the Judges for an upgrade to an "A" licence.
- 14.22 Upgrading to "A" Trainer Licence - To be eligible for an "A" category trainer licence, the applicant must:
- (a) Have completed two full years as an "F" trainer or two full years as a groom and "F" trainer combined;
  - (b) Submit a completed application;
  - (c) Have two favourable recommendations from licensed drivers, "A" trainers or race officials in response to confidential reference inquiries provided by the Association; and
  - (d) Submit to a written examination and achieve a passing grade if a trainer exam has not already been written.
- Ontario residents wishing to upgrade from "F" to "A" trainer licence must first upgrade to the "C" category of trainer licence. If the trainer has satisfied the requirements of the "C" licence in the past, at the discretion of the Judges, that trainer may be upgraded to an "A" trainer licence.
- 14.23 Upgrading from "C" to "A" Trainer Licence – The holder of a "C" category of trainer licence (Ontario Apprentice Trainer) will become eligible to be upgraded to an "A" category of trainer licence:
- (a) After having held a "C" trainer licence for a minimum of one (1) full year;
  - (b) After completing one (1) full year without any trainer violations or fines; and,
  - (c) When recommended in writing for an "A" trainer licence by an AGCO senior judge licensed for extended meetings.
- 14.24 Holders of USTA Trainer Licences - A person who is not a Canadian resident, holding a trainer licence granted by the United States Trotting Association, shall be eligible for the equivalent category of licence on application to the Association provided that the applicant;

- (a) Has attained 16 year of age;
  - (b) Has submitted a completed application; and
  - (c) Submits evidence acceptable to the Association of current trainer licence granted by the United States Trotting Association.
- 14.25 Licences of Foreign Jurisdictions Other Than USTA – The holder of a trainer licence granted by a foreign jurisdiction other than the United States Trotting Association applying to the Association for a trainer licence must;
- (a) Have attained 16 years of age;
  - (b) Submit a completed application;
  - (c) Submit evidence acceptable to the Association of current trainer licence granted by his/her foreign jurisdiction; and,
  - (d) Fulfill other such requirements that may be specified by the Association.
- 14.26 Renewal of Trainer Licences - Renewal of trainer licences will be granted in each category subject to the following provisions:
- (a) If the applicant has not renewed his/her trainer licence for any period of less than three years, a completed application must be submitted.
  - (b) If the applicant has not renewed his/her trainer licence for a period of three (3) years or more, the applicant must;
    - (i) Submit a completed application;
    - (ii) Have a minimum of two (2) favourable recommendations from licensed drivers, "A" trainers or race officials in response to confidential reference inquiries provided by the Association;
    - (iii) Submit to a satisfactory physical and eye examination valid within the prior twelve (12) months, the cost of which is the responsibility of the applicant, and
    - (iv) Achieve a passing grade on a written examination.
  - (c) Applicants for renewal of trainer licences who have been hospitalized or under medical care during the prior year shall, upon demand of the Association, submit a satisfactory physical and eye examination report valid within the prior twelve (12) months before renewal of their licence will be granted.
- 14.27 If the applicant has not renewed his/her driver licence for a period of five (5) or more consecutive years and wishes to reinstate as an "A" category of trainer, such applicant must:
- (i) Submit a completed application to the Association;
  - (ii) Provide a satisfactory physical eye examinations report valid within the prior twelve (12) months; and
  - (iii) Achieve a passing grade on a written trainer examination.
- Only after having held the "A" trainer licence for a minimum of one (1) full year, can such applicant apply for upgrade to the driver category, at which time he/she will be required to fulfill all licensing requirements for the "C" category driver licence.
- 14.28 Drivers, riders and trainers must have visual acuity of at least 20/40 (Snellen) in each eye without glasses or by correction, and form field vision of not less than 140 degrees, or if one eye is blind, at least 20/30 (Snellen) corrected vision and form field vision of not less than 140 degrees in the other eye. Those requiring corrective eye wear will be required to wear properly prescribed glasses or lenses at all times when driving or training.
- 14.29 In the event a driver, rider or trainer is involved in an accident in a race or elsewhere, such person shall, upon demand of the Association, submit to a physical examination within thirty (30) days of such request or his/her licence may be suspended until such time as a satisfactory medical examination has been filed with the Association.
- 14.30 Upon the request of any provincial regulatory body, the Association will request a satisfactory medical examination, as a condition of maintaining a driver, trainer or official licence.
- 14.31 Grooms - A Member ten (10) years of age or older will be eligible to be licensed as a groom upon submission of a completed application to the Association. For Members between the age of 10 and 16, written approval of a parent or guardian is also required.
- 14.32 Fees - Fees for driver, rider, trainer and groom licences, whether for first time or renewal, shall be in addition to annual membership fees.
- 14.33 Insurance Coverage – Members who are Canadian Residents are eligible for benefits as provided for by a group insurance policy administered through the Association for injuries resulting from horse-related accidents, subject to policy provisions. Members who are not Canadian Residents are eligible for benefits only when injuries are sustained in accidents occurring within the jurisdiction of the Association.

## **15. JUDGES**

- 15.1 No person shall be licensed as a Presiding Judge or Associate Judge for extended meetings unless that person has successfully completed a written examination set by the Association. The Association may, at its discretion, require an applicant for renewal of licence to resubmit to a written examination.
- 15.2 Applicants must satisfy the Association that they possess the necessary qualifications, both physical and mental, to perform the duties required. Qualifications to be considered are character, reputation, temperament, experience, knowledge of horsemanship and racing, knowledge of the Rules and of the duties of a Judge. A satisfactory medical and eye examination must be on file with the Association, as and when required.
- 15.3 To be eligible to be licensed as a Presiding Judge, the applicant must have served satisfactorily as an Associate Judge for at least one year.
- 15.4 It shall be the duty of the Judges to:
- (a) Provide the Association with appropriate copies of duly completed penalty notices or other rulings.
  - (b) Report in writing to the Association any violation of the Rules by a track facility or its officers or its employees or by a racing official.
  - (c) Make such other reports as required by the Association.
  - (d) Sign the "Judges' Official Race Report" verifying the correctness of information contained therein.
  - (e) Maintain a log of all accidents and insurance claims.
  - (f) Ensure that all participants are duly licensed.

## **16. RACE SECRETARY**

- 16.1 Applicants for licence as Race Secretary or Assistant Race Secretary must satisfy the Association that they possess the necessary qualifications to perform the required duties and, must successfully complete a written examination.
- 16.2 To be eligible for a Race Secretary licence, the applicant must have served for at least one year as an Assistant Race Secretary.

## **17. PADDOCK JUDGE**

- 17.1 Applicants for licence as Paddock Judge must satisfy the Association that they possess the necessary qualifications to perform the required duties and successfully complete a written examination.
- 17.2 The Paddock Judge shall be under the direction and supervision of the Judges and shall have complete charge of all paddock activities.

## **18. STARTER**

- 18.1 No person shall be licensed as a Starter until he/she has successfully completed a written examination and satisfies the Association that he/she has the necessary qualifications to perform the required duties.
- 18.2 Notwithstanding the provisions of Section 1 of this policy, the Association may grant Starter licences restricted to starting horses in matinee races, time performances or meetings not exceeding ten days in duration within a calendar year.
- 18.3 The Starter shall submit to a physical and/or eye examination when requested by the Association.

## **19. CHARTER**

- 19.1 No person shall be licensed as a Charter until he/she has successfully completed a written examination and satisfies the Association that he/she has the necessary qualifications to perform the required duties.
- 19.2 Track facilities shall appoint at least one chart maker who shall be responsible for properly and accurately completing the official chart by performing the following:
- (a) Accurately record the following information on the chart, regardless of the type of race and with the Standardbred Canada racing representative after he/she has had the opportunity to input the chart information to the data base for error checks within the chart for each race and making corrections as required;
  - (b) Date, place and size of the track, if other than the one-half mile;
  - (c) Symbol for free-legged pacers and hopped trotters;
  - (d) Track condition, track variant (in increments of full seconds), distance of race, temperature;
  - (e) Claiming prices;
  - (f) Post positions, position at the one-quarter, one-half, three-quarter and the stretch, with lengths behind the leader at each call;

- (g) At the completion of each race, determine from the photo-finish film the individual time and beaten lengths of each horse by using the formula of one-fifth or a second per length. Separations such as nose, neck, one-quarter, and one-half length do not signify one-fifth of a second difference but separations of three-quarters of a length signify one-fifth of a second (the same as one full length);
- (h) Closing dollar odds and wagering information such as betting favourite, mutual field, mutual entry, etc.;
- (i) For qualifying and schooling races, notation is to be made for individual horses subjected to urine or blood tests, using indicator 'TE' with the dollar odds;
- (j) Name of the driver;
- (k) Name of the trainer;
- (l) Names of horses placed first, second, and third by the Judges;
- (m) The standard symbols for breaks, interferences and parked-outs, where applicable;
- (n) Explanations of placings and disqualifications in 'comments' section of official chart;
- (o) Wagering pools and pari-mutuel pools and payoffs; and,
- (p) In the case of horses enrolled in the Exercise Induced Pulmonary Hemorrhage Program, the appropriate symbol for Furosemide use is assigned to the racelines for each certified horse.

## **20. OFFICIALS**

- 20.1 Applicants for renewal of official licences who have been hospitalized or under medical care during the prior year shall, upon demand of the Association, submit a satisfactory physical and eye examination report valid within the prior twelve (12) months before renewal of their licence will be granted.
- 20.2 Applicants for renewal of Officials licence, excluding Race Secretaries, must submit a satisfactory physical and eye examination report every 3 years before renewal of the licence will be granted.