

# RULES GOVERNING HORSE RACING IN ALBERTA



  
**THE HORSES**<sup>®</sup>  
HORSE RACING ALBERTA

Horse Racing Alberta

# Horse Racing Alberta Act

Horse Racing Rules

These rules are effective on and after May 1, 2024

## **HORSE RACING ALBERTA**

Horse Racing Alberta (HRA) was formed in June of 2002. Its purpose, in concert with all racing industry stakeholders, is to facilitate long term industry renewal for horse racing. The HRA is guided by the following mission statement:

***“To be a governing body whose role is to promote and facilitate the growth, integrity and economic contribution of the Alberta Horse Racing and Breeding Industry. This shall be done by providing quality entertainment, employment, economic and value-added agricultural opportunities within a unified, viable, progressive, accountable and self-regulated industry environment.”***

In accordance with the Horse Racing Alberta Act, the mandated objectives of the HRA are:

- to govern, direct, control, regulate, manage, market and promote horse racing in any or all of its forms;
- to protect the health, safety and welfare of racehorses and, with respect to horse racing, the safety and welfare of racing participants and racing officials; and
- to safeguard the interests of the general public in horse racing.

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## Horse Racing Alberta

### HORSE RACING ALBERTA ACT

### Horse Racing Rules

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- A a rule number followed by the letter *g* means that the rule applies to both standardbred and thoroughbred racing;**
- B a rule number followed by the letter *s* means that the rule applies to standardbred racing;**
- C a rule number followed by the letter *t* means that the rule applies to thoroughbred racing.**
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#### CHAPTER 1: INTERPRETATION

##### 1 *g* Interpretation rules

- (1) The Interpretation Act<sup>2</sup> applies to these rules.
- (2) Many words used in these rules are defined. The defined words are collected in Schedule 1 to these rules as a Dictionary of Definitions. Most defined words are identified by an asterisk appearing at the start of the word.
- (3) Once a defined term has been asterisked, subsequent uses of the word in the same section are not usually asterisked.
- (4) In these rules, as a guide to readers,
  - (a) a rule number followed by the letter *g* means that the rule applies to both standardbred and thoroughbred racing;
  - (b) a rule number followed by the letter *s* means that the rule applies to standardbred racing;
  - (c) a rule number followed by the letter *t* means that the rule applies to thoroughbred racing.
- (5) The explanatory notes and Schedule 4, Footnotes, in these rules are included to aid understanding and interpretation, but in the event of conflict between a note and a rule, the rule prevails.

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#### CHAPTER 2: LICENSING RULES

##### 2 *g* Application of Chapter 2

This Chapter applies to the licensing, and the suspension, revocation and reinstatement of licences of

- (a) \*racing officials, and
- (b) \*racing participants..

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<sup>1</sup> These rules are made by Horse Racing Alberta under section 22 of the Horse Racing Alberta Act.

<sup>2</sup> The Interpretation Act applies to the interpretation of all provincial acts and regulations. These rules adopt the Interpretation Act provisions so that the Act applies to these rules.

## PART 1 RACING OFFICIALS: DESIGNATION AND LICENSING

### 3 **g Designation of racing officials and licensed activities** *(amended 04/23)*

- (1) The following individuals are hereby designated by \*Horse Racing Alberta as \*racing officials:
  - (a) \*Director, Regulatory & Supervisor of Racing;
  - (b) \*Assistant Director, Regulatory & Supervisor of Security and Investigations
  - (c) judges;
  - (d) stewards;
  - (e) \*security investigators
  - (f) \*official veterinarians;
  - (g) racing secretary and assistant racing secretary;
  - (h) handicapper;
  - (i) clerk of the scales;
  - (j) starter and assistant starter;
  - (k) placing judge;
  - (l) paddock judge;
  - (m) identifier and equipment inspector;
  - (n) patrol judge;
  - (o) timer;
  - (p) official clocker;
  - (q) jockey room superintendent;
  - (r) horsemen's bookkeeper.
- (2) For the purposes of section 1(1)(d)(vii) of the \*Act, each of the activities and responsibilities of a racing official described in these and any other rules are prescribed as licensed activities..
- (3) Except for the \*Director, Regulatory & Supervisor of Racing, \*Assistant Director, Regulatory & Supervisor of Security and Investigations and \*security investigators and official veterinarians, a licence is required to be obtained by each of the individuals referred to in subsection (1) in respect of their activities and responsibilities as a racing official.

**Explanatory note:** Section 13 of the Act authorizes Horse Racing Alberta to require racing officials to be licensed. Section 1(1)(d)(vii) of the Act allows rules to be made prescribing what activities, specifically related to horse racing, require a licence. This section of the rules designates the officials who require a licence and refers to those activities related to horse racing that require a licence. Section 14 of the Act prohibits licensed activities from being carried out by unlicensed persons.

## DIVISION 1 DIRECTOR, REGULATORY AND SUPERVISOR OF RACING, ASSISTANT DIRECTOR, REGULATORY AND SUPERVISOR OF SECURITY & INVESTIGATIONS, JUDGES/STEWARDS, SECURITY INVESTIGATORS AND OFFICIAL VETERINARIAN

### 4 **g Director, Regulatory and Supervisor of Racing Appointment** *(added 04/23)*

- (1) As soon as practicable after January 1 each year, \*Horse Racing Alberta must appoint an individual as \*Director, Regulatory & Supervisor of Racing.
- (2) A person may not be appointed as \*Director, Regulatory & Supervisor of Racing unless that person holds or is eligible to hold a licence as a judge or steward.
- (3) The appointment of \*Director, Regulatory & Supervisor of Racing expires on December 31 of the calendar year of appointment, unless \*Horse Racing Alberta otherwise directs.

### 5 **g Director, Regulatory and Supervisor of Racing Responsibilities** *(added 04/23)*

- (1) The \*Director, Regulatory & Supervisor of Racing is responsible for
  - (a) the supervision of the \*judges/stewards board at \*race meetings, and
  - (b) any other duties assigned by \*Horse Racing Alberta.
- (2) In addition to the other authority given to the \*Director, Regulatory & Supervisor of Racing under these and any other rules, the Director has the same authority as a judge, steward and judges/stewards board..

### 6 **g Assistant Director, Regulatory and Supervisor of Security and Investigations Appointment** *(added 04/23)*

- (1) As soon as practicable after January 1 each year, \*Horse Racing Alberta must appoint an individual as \*Assistant Director, Regulatory & Supervisor of Security and Investigations.
- (2) The appointment of \*Assistant Director, Regulatory & Supervisor of Security and Investigations expires on December 31 of the calendar year of appointment, unless \*Horse Racing Alberta otherwise directs.

### 6.1 **g Assistant Director, Regulatory and Supervisor of Security and Investigations responsibilities** *(added 04/23)*

- (1) The \*Assistant Director, Regulatory & Supervisor of Security and Investigations is responsible for
  - (a) \*the supervision of the \*security investigators at \*race meetings, and
  - (b) any other duties assigned by \*Horse Racing Alberta and
  - (c) any duties assigned by the \*Director, Regulatory & Supervisor of Racing..
- (2) In addition to the other authority given to the \*Assistant Director, Regulatory & Supervisor of Security and Investigations under these and any other rules, the \*Assistant Director, Regulatory & Supervisor of Security and Investigations has the same authority as a judge, steward and judges/stewards board.

## **JUDGES/STEWARDS**

### **7 g Licensing of Judges/Stewards**

*(added 04/23)*

As soon as practicable after January 1 each year, \*Horse Racing Alberta must grant a licence to a sufficient number of individuals as a judge or steward, or as a judge and steward, and may, in its discretion, suspend, revoke or reinstate the licence.

#### **7.1 g Judges/Stewards Boards**

*(added 04/23)*

- (1) As circumstances require, \*Horse Racing Alberta must establish one or more
  - (a) \*Judges boards, and
  - (b) \*stewards board
- (2) A \*judges board or \*stewards board constituted under subsection (1) is disestablished on December 31 of the calendar year for which it was constituted, unless \*Horse Racing Alberta otherwise directs.

### **8 g Judges/Stewards Board responsibilities**

*(added 04/23)*

- (1) A \*judges/stewards board
  - (a) represents \*Horse Racing Alberta at \*race meetings;
  - (b) on behalf of \*Horse Racing Alberta, may grant or deny applications for a licence, subject to any conditions or limitations imposed by these or any other rules or by \*Horse Racing Alberta;
  - (c) must report to \*Horse Racing Alberta
    - (i) \*violations of the \*Act, violations of these or \*other rules, and violations of the conditions of any licence, and
    - (ii) the action taken as a result of the violation;
  - (d) must provide to \*Horse Racing Alberta any other report it requires;
  - (e) may provide any further report to \*Horse Racing Alberta the \*judges/stewards board considers necessary in the circumstances.
- (2) In addition to any other function or responsibility given to them by these and other rules, a \*judges/stewards board is responsible for
  - (a) regulating and governing
    - (i) the conduct of all horse racing, including entries and scratches from a \*race;
    - (ii) the conduct of other \*racing officials at or associated with a race meeting;
    - (iii) the conduct of \*racing participants at or associated with a race meeting;
    - (iv) the conduct of all other persons employed or engaged to carry out functions at or associated with a race meeting;
  - (b) exercising jurisdiction in a fair and impartial manner;
  - (c) enforcing track rules and conditions.

### **9 g Judges/Stewards board decision making**

*(added 04/23)*

- (1) Questions to be decided by a \*judges/stewards board are to be decided by a majority vote.

- (2) If there is no majority, the most senior \*judge/steward or the \*Director, Regulatory & Supervisor of Racing, as the Director determines, must give a casting vote.
- (3) If a \*judges/stewards board delegates its authority to one member of the board, subsections (1) and (2) do not apply.

### **9.1 g Specific authority of a judges/stewards board**

*(added 04/23)*

- (1) A \*judges/stewards board may, for any reason it considers sufficient,
  - (a) refuse the declaration or entry of a horse for a \*horse race;
  - (b) substitute a jockey or driver they select on a horse;
  - (c) temporarily place a horse in the charge of a \*trainer they select;
  - (d) excuse a horse from starting in a horse race;
  - (e) after consultation with a \*licensed operator, horsemen's representatives, jockey or driver representatives, and the \*official veterinarian, cancel or postpone a \*race card;
  - (f) fill any temporary vacancy of a \*racing official;
  - (g) issue any order, direction or ruling considered necessary.
- (2) In matters within their jurisdiction, an order, direction, or ruling issued by a \*judges/stewards board takes precedence over an order or direction issued by or on behalf of a licensed operator.

### **10 g Licensing of Security Investigators**

*(added 04/23)*

As soon as practicable after January 1 each year, \*Horse Racing Alberta must grant a licence to a sufficient number of individuals as a \*security investigator, and may, in its discretion, suspend, revoke or reinstate the licence.

#### **10.1 g Security Investigators responsibilities**

*(added 04/23)*

- (1) A \*security investigator
  - (a) represents \*Horse Racing Alberta at \*race meetings;
  - (b) must report to \*Horse Racing Alberta \*Assistant Director, Regulatory & Supervisor of Security and Investigations
    - (i) \*violations of the \*Act, violations of these or \*other rules, and violations of the conditions of any licence, and
    - (ii) the action taken as a result of the violation;
  - (c) must provide to \*Horse Racing Alberta any other report it requires;
  - (d) may provide any further report to \*Horse Racing Alberta the \*security investigator considers necessary in the circumstances.
- (2) In addition to any other function or responsibility given to them by the \*Director, Regulatory & Supervisor of Racing, \*Assistant Director, Regulatory & Supervisor of Security and Investigations, \*judges or stewards, these and other rules, a \*security investigator is responsible for
  - (a) Walking the barn area several times a day, looking for any activities that are against the rules of \*Horse Racing Alberta and the local racetrack or opposing the best interests of horse racing.

- (b) Performing barn searches and inspections as directed.
- (c) Being attentive to all complaints and concerns of horsemen and horse women.
- (d) Being aware of current stabling arrangements.
- (e) Conducting surveillance of the paddock and test barn area during race days.
- (f) Being in constant communication with racetrack operation security.
- (g) Look at all license applications and perform necessary checks where required.
- (h) Ensure all personnel entering the restricted areas of the racetrack have a current \*Horse Racing Alberta licence or have been signed in by an \*Horse Racing Alberta licensee.
- (i) Drug test all jockeys, valets, drivers and gate crew before starting a new race season and perform random drug testing on the former licensees throughout race meets.
- (j) Perform random drug/alcohol testing on all racing participants on a monthly basis.
- (k) Perform drug/alcohol tests based on cause.
- (l) Enter all drug/alcohol test data into computers.
- (m) Order all necessary supplies for drug/alcohol testing.
- (n) Deliver all samples to the lab and follow up on results.
- (o) Oversee all aspects of breathalyzer testing.
- (p) Keep a log on daily activities and report to \*Assistant Director, Regulatory & Supervisor of Security and Investigations.
- (q) Write a monthly report about your daily activities to the \*Assistant Director, Regulatory & Supervisor of Security and Investigations.
- (r) Send all drug testing documentation to the \*Assistant Director, Regulatory & Supervisor of Security and Investigations.

### **11 g Inspection, searches and seizure authority** *(added 04/23)*

The \*Director, Regulatory & Supervisor of Racing, \*Assistant Director, Regulatory & Supervisor of Security and Investigations, \*security investigators, and each judge and steward is hereby designated as a \*racing official who may

- (a) carry out inspections and other functions and duties under section 16(1) of the \*Act;
- (b) carry out searches and seizures under section 17(1) of the \*Act
- (c) conduct investigations and hearings under section 18(1) of the \*Act.

## **OFFICIAL VETERINARIAN**

### **12 g Appointment of official veterinarian**

- (1) As soon as practicable after January 1 each year, \*Horse Racing Alberta must appoint one or more individuals as \*official veterinarian.
- (2) A person appointed as official veterinarian must be a registered veterinarian in good standing and maintain good standing under the Veterinary Profession Act.

- (3) An appointment as official veterinarian expires on December 31 of the calendar year of appointment, unless Horse Racing Alberta otherwise directs.

### **13 g Official veterinarian's responsibilities** *(amended 03/20)*

- (1) In addition to any other function or responsibility given to the official veterinarian by these and other rules, the official veterinarian has the following responsibilities
  - (a) to be readily available at the race track at race meetings;
  - (b) to provide advice to Horse Racing Alberta and its staff on veterinary matters, including all regulatory aspects of the application and practice of veterinary medicine at a race meeting;
  - (c) when before a race starts, if a horse is a runaway or a horse falls, such horse shall be examined by the Commission Veterinarian or Official Veterinarian and if the horse is not ordered scratched by the veterinarian, the Judges/Stewards may permit the horse to compete (unless otherwise outlined by the jurisdiction's regulatory body);
  - (d) maintain a Veterinarian's list composed of horses who for veterinary reasons are unfit to race;
  - (e) post on the horsemen's bulletin board
    - (i) a notice explaining what a "bleeder" is and the rules related to bleeder medications;
    - (ii) a list of spayed mares;
    - (iii) A list of horses which have had their posterior digital nerve desensitized surgically or by other means.
- (2) If an injured horse must be euthanized on the race track, or in the paddock, before or after a race, the official veterinarian is responsible for euthanizing the horse.
- (3) If a race horse dies or is euthanized at the race track, the official veterinarian
  - (a) has the primary entitlement to take possession of the horse for a post mortem examination and may retain possession of it for any period that the official veterinarian considers appropriate;
  - (b) the results of any post mortem examination may be used for any purpose consistent with the Act and rules made under the Act.

### **14 g Inspection, searches and seizure authority**

An \*official veterinarian is hereby designated as a \*racing official who may

- (a) carry out inspections and other functions and duties under section 16(1) of the \*Act;<sup>4</sup>
- (b) carry out searches and seizures under section 17(1) of the Act.<sup>5</sup>

### **15 g Attendance at investigations and hearings and recommending sanctions**

- (1) An \*official veterinarian must attend an investigation or hearing under these rules that a \*licensed veterinarian attends.
- (2) An official veterinarian must recommend to the \*judges/stewards board a sanction to be imposed on a licensed veterinarian who \*violates these or any \*other rules.

## **DIVISION 2 OTHER RACING OFFICIALS**

### **16 g Licensing of other racing officials**

- (1) On application to it on the \*prescribed form, \*Horse Racing Alberta may grant to an applicant, with or without special conditions, a licence referred to in subsection (2), or refuse the application.
- (2) The licences to which this section applies are:
  - (a) racing secretary;
  - (b) assistant racing secretary;
  - (c) handicapper;
  - (d) starter;
  - (e) assistant starter;
  - (f) placing judge;
  - (g) clerk of the scales;
  - (h) paddock judge;
  - (i) identifier and equipment inspector;
  - (j) patrol judge;
  - (k) timer;
  - (l) official clocker;
  - (m) jockey room superintendent;
  - (n) horsemen's bookkeeper;
  - (o) charter (standardbred).
- (3) Horse Racing Alberta may, in its discretion, suspend, revoke or reinstate a licence granted under this Division.

### **17 g Conditions of licences**

Every licence issued under this Division is subject to the following conditions:

- (a) the licensee will comply with the \*Act and these and \*other rules;
- (b) the licensee will use their best endeavours to promote the best interests of horse racing and ensure that the Act and these and other rules are complied with;
- (c) any special conditions prescribed by \*Horse Racing Alberta in respect of a particular licensee.

## **DUTIES AND RESPONSIBILITIES OF RACING OFFICIALS**

### **18 g Officials' responsibilities**

The responsibility of \*racing officials under these rules are in addition to any other function or responsibility given to the official under any \*other rules.

### **19 g Racing secretary and assistant secretary responsibilities**

- (1) The racing secretary is responsible for
  - (a) writing the conditions for \*horse races at \*race meetings;
  - (b) checking that the official race meeting program is accurate;
  - (c) receiving all declarations or entries;
  - (d) receiving all scratches;
  - (e) drawing the entry sheets and post position numbers;
  - (f) keeping the preferred list;
  - (g) compiling the official entry list;
  - (h) maintaining and keeping safe the registration certificates of horses competing at a race meeting;
  - (i) performing such other duties as the office of racing secretary may require.
- (2) An assistant racing secretary is responsible for assisting the racing secretary and acting under the direction and control of the racing secretary.

### **20 t Handicapper responsibilities**

At thoroughbred \*race meetings, a handicapper is responsible for

- (a) assigning the weights to be carried by each horse in a handicap \*race, and
- (b) posting the weights in the owner's room by the time prescribed by the racing secretary.

### **21 s Additional responsibilities of racing secretary for standardbred racing**

The racing secretary has the following additional responsibilities for standardbred horse racing:

- (a) receiving and keeping safe the eligibility and registration certificates of all horses competing at the \*race meeting;
- (b) checking each certificate and certifying to the \*judges board as to the eligibility of each horse;
- (c) publishing the \*race conditions and posting them at least 24 hours before declarations close;
- (d) assigning post positions for a handicap race.

### **22 t Clerk of the scales responsibilities**

- (1) At thoroughbred \*race meetings, the clerk of the scales is responsible for
  - (a) weighing all jockeys out and in;
  - (b) posting all overweights immediately after the specified check-in-time;
  - (c) notifying the \*trainer concerned if any jockey is overweight by more than five pounds;
  - (d) prohibiting a jockey from passing the scales more than five pounds overweight, unless the trainer has waived allowances previously claimed;

- (e) reporting
    - (i) a \*violation or attempted violation of weight rules, or
    - (ii) improperly recording or attempting to improperly record any weight;
  - (f) recording on the scale sheets, unless the horsemen's bookkeeper performs these functions
    - (i) jockey's charges,
    - (ii) valet's charges,
    - (iii) starting fees, and
    - (iv) all earnings of horses;
  - (g) arranging for a distinctive and conspicuous ribbon to be attached to the tack of every horse designated by the stewards to attend at the test barn.
- (2) The clerk of the scales is also responsible for posting, on a bulletin board conspicuously located for the convenience of the wagering public, or causing to be posted,
- (a) all late scratches,
  - (b) changes in riders,
  - (c) overweights;
  - (d) corrected weights and any other changes.
- (3) The clerk of the scales may, for the sake of expediency, change or substitute a rider without the approval of the \*stewards board, but if that occurs, must report it to the stewards board immediately.

### 23 g Starter responsibilities

- (1) The starter is responsible for
- (a) providing for a fair start to \*horse races and to give any orders necessary to accomplish a fair start;
  - (b) maintaining a list of horses to be schooled in starting, to be known as the "starter's list";
  - (c) notifying the \*judges/stewards board of any \*violation of these or any other rules;
  - (d) at standardbred \*race meetings,
    - (i) controlling horses and drivers from the formation of the parade until the word "go" is given, and
    - (ii) acting as patrol judge.
- (2) The starter must decide if a start is valid, and the starter's decision is final unless the judges/stewards board otherwise orders.

### 24 g Placing judge responsibilities

The placing judge is responsible

- (a) in every \*horse race, for occupying an area designated by the \*licensed operator as the placing judge's stand when the horses pass the winning post, except in standardbred racing or horse racing at minor meets, when the position can be filled by the \*judges/stewards board, if the Supervisor of Racing so decides;
- (b) for placing and recording the first five horses who finish the \*race or as many more as are considered necessary, in the order of finish in which the noses of the horses pass the finishing line;
- (c) for notifying the \*judges/stewards board and the pari-mutuel department of the order of finish and causing the order to be promptly posted, but the results do not become the official results of the race until so declared by the judges/stewards board.

### 25 g Paddock judge responsibilities

- (1) The paddock judge has the supervision, direction, and control of the paddock at a \*race meeting and the people, horses, and activities in it.
- (2) The paddock judge is responsible for
- (a) checking or requiring that all \*race horses entered in a \*race are checked and properly identified;
  - (b) promptly reporting to the \*judges/stewards board
    - (i) any ineligibility or irregularity concerning a race horse or its equipment, or
    - (ii) if a positive identification of a \*race horse cannot be made;
  - (c) promptly reporting to the \*official veterinarian any unsoundness of a \*race horse;
  - (d) notifying the judges/stewards board of the reason for a horse returning to the paddock after having entered the track for the post parade and before the start of the race;
  - (e) reporting to the judges/stewards board a \*violation of these or any other rules;
  - (f) keeping or causing to be kept, for each \*horse race, a record of the equipment that the judges/stewards board has approved be carried by each race horse;
  - (g) preventing any equipment that has not been approved by the judges/stewards board, from being carried by a race horse.
- (3) At thoroughbred race meetings, the paddock judge is responsible for ensuring that all horses are properly shod.

### 26 g Identifier and equipment inspector responsibilities *(amended 06/19)*

- (1) An identifier and equipment inspector is responsible to the paddock judge for preparing and maintaining a card listing
- (a) all equipment worn by each horse in a race;
  - (b) the tattoo number, or if required, other evidence of identification, for each horse racing at the race meeting.



- (2) The identifier and equipment inspector must identify each horse that races by checking its lip tattoo or freeze brand, or both, or if required, other evidence of identification, and comparing the equipment actually being used on the horse with the approved equipment listed on the card referred to in subsection (1).
- (3) The responsibilities described in this section may be performed by two officers, an identifier and an inspector, or when the responsibilities can be competently performed by one person, that person holds the position of identifier and equipment inspector.

### **27 g Patrol judge responsibilities**

Patrol judges are responsible for

- (a) observing the \*horse races from positions allotted by the \*judges/stewards board, and
- (b) reporting to the judges/stewards board during or immediately following the \*race any \*violation of these or any other rules.

### **28 g Timer responsibilities**

The timer is responsible for accurately timing each \*horse race and causing the time to be posted and announced as soon as practicable after each \*race.

### **29 t Official clocker responsibilities at thoroughbred race meetings**

- (1) At thoroughbred \*race meetings, the official clocker is responsible for
  - (a) attending the \*race track or any alternate location approved by Horse Racing Alberta for official work-outs of \*race horses,
  - (b) timing the performance of each horse at the work-out, and
  - (c) making the work-out results available to any interested person.
- (2) To assist the official clocker perform their responsibilities under subsection (1), a \*racing participant in charge of the \*race horse must tell the official clocker
  - (a) the \*race horse being exercised,
  - (b) the distance over which the horse is being exercised, and
  - (c) the point on the track at which the work-out is to start.

### **30 t Jockey room superintendent responsibilities**

At thoroughbred \*horse race meetings, a jockey room superintendent is responsible for

- (a) order, decorum and cleanliness of the jockey's room,
- (b) the care and storage of colours, and
- (c) assisting the clerk of the scales.

### **31 g Horsemen's bookkeeper responsibilities**

The horsemen's bookkeeper is responsible for

- (a) maintaining the ownership records for \*race horses;
- (b) recording all monetary transactions respecting \*racing participants, including
  - (i) purse distribution,
  - (ii) jockey, driver, valet, and nomination fees,
  - (iii) entry and starting fees, and
  - (iv) claiming money;
- (c) accounting to the persons entitled to the money referred to in clause (b);
- (d) providing a complete accounting to the persons entitled to the money of all transactions not later than 14 days after the horse \*racing season each year;
- (e) maintaining a record of all \*judges/stewards board rulings;
- (f) maintaining a record of all accident reports at the \*race meeting.

### **32 s Charter (standardbred responsibilities)**

*(amended 03/20)*

An Association shall appoint at least one charter who shall be responsible for properly and accurately completing the official chart by doing the following:

- (a) reporting to the Judges's stand at least one-half hour before first posttime, and proof-reading each chart against the program, noting program changes, and changes made subsequent to the printing of the program;
- (b) accurately recording the following information on the chart, regardless of type of race, and providing the completed chart to the Judges for verification and approval and also checking with the Standardbred Canada field representative after he/she has had the opportunity to input the chart information to the data base for error checks with the chart, for each race and making corrections as required:
  - (i) date, place and size of the track, if other than one-half mile;
  - (ii) symbol for free-legged pacers and hopped trotters;
  - (iii) track condition, track variant (in increments of full seconds), distance of race, temperature;
  - (iv) claiming prices;
  - (v) post positions, position at the one-quarter, one-half, three-quarter, and stretch, with lengths behind the leader at each call;
  - (vi) 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 of 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), the order of finish will be determined by the Judges;
  - (vii) closing dollar odds and wagering information such as betting favorite, mutual field, mutual entry, etc.;

- (viii) name of driver;
- (ix) name of trainer;
- (x) names of horses placed first, second, and third by the Judges;
- (xi) the standard symbols for breaks, interferences, and parked-outs, where applicable;
- (xii) explanations of placings and disqualifications in 'comments' section of official chart;
- (xiii) wagering pools and pari-mutuel pools and pay offs, and
- (xiv) in the case of horses enrolled in Exercise Induced Pulmonary Hemorrhage Program, the appropriate symbol for Furosemide use is assigned to the race lines for each certified horse.

## **PART 2 RACING PARTICIPANTS: DESIGNATION AND LICENSING**

### **33 g Designation of racing participants**

- (1) The following individuals are designated as \*racing participants and a licence is required to be obtained by each individual in respect of their activities as a racing participant:
  - (a) veterinarians who engage in \*veterinary medicine in respect of \*race horses during a \*racing season;
  - (b) \*animal health technologists who engage in veterinary medicine under the supervision and control of a \*licensed veterinarian in respect of race horses;
  - (c) \*unregistered veterinary auxiliaries;
  - (d) owners, \*trainers, drivers, and jockeys of race horses;
  - (e) apprentice jockeys, grooms, jockey's agents, jockey's valets, and exercise persons;
  - (f) pony persons;
  - (g) stable employees;
  - (h) farriers;
  - (i) outriders;
  - (j) tradesmen selling products related to the horse racing industry at \*race meetings;
  - (k) any person conducting or operating a business at a \*race track.
- (2) For the purposes of section 1(1)(d)(vii) of the \*Act, each of the activities of a racing participant are prescribed as licensed activities.

### **34 g Unlicensed racing personnel**

A person who is the holder of a subsisting licence issued by \*Horse Racing Alberta contravenes these rules if they employ or engage a person who is required to be licensed under the Act or any rules made under the Act but who is not licensed.

## **DIVISION 1 RACING PARTICIPANT'S LICENCES**

### **SUBDIVISION 1 LICENSED VETERINARIANS, LICENSED ANIMAL HEALTH TECHNOLOGISTS AND UNREGISTERED VETERINARY AUXILIARIES**

#### **35 g Licensed veterinarians**

On application to it on the \*prescribed form by a registered veterinarian<sup>6</sup>, \*Horse Racing Alberta may grant the applicant, with or without special conditions, a licence as a \*licensed veterinarian, or refuse the application.

#### **36 g Conditions of veterinarian licence**

A licence issued to a registered veterinarian is subject to the following conditions:

- (a) the licensee will comply with the \*Act, and these and \*other rules;
- (b) the licensee will use their best endeavours to promote the best interests of horse racing and ensure that the Act and these and other rules are complied with;
- (c) the licensee will notify \*Horse Racing Alberta if the licensee ceases to be registered in good standing under the Veterinary Profession Act;
- (d) the licensee will supervise and control any \*animal health technologist and unregistered veterinary auxiliary for whose conduct the licensee is responsible;
- (e) the licensee is responsible to Horse Racing Alberta for the proper care and treatment of \*race horses during the \*racing season and for the effects of that treatment, including the administration of drugs, medications, and foreign substances;
- (f) the licensee while practising at any location under Horse Racing Alberta's jurisdiction is subject to the authority of the \*official veterinarian and the \*judges/stewards board;
- (g) the licensee will not apply for or hold a \*trainer's licence;
- (h) any special conditions prescribed by Horse Racing Alberta.

#### **37 g Effect of licence**

A licence issued to a registered veterinarian entitles the holder, subject to the rules, to engage in the practice of \*veterinary medicine with respect to \*race horses.

<sup>6</sup> A registered veterinarian is a veterinarian registered under the Veterinary Profession Act.

### **38 g Suspension or revocation of licence**

- (1) The \*judges/stewards board may suspend or revoke a licence issued to a registered veterinarian, for appropriate cause.
- (2) Appropriate cause includes
  - (a) \*violating the \*Act, or these or any \*other rules;
  - (b) violating the conditions of a licence;
  - (c) engaging in conduct that, in the opinion of the \*judges/stewards board, is prejudicial to the best interest of horse racing;
  - (d) the suspension or revocation of the \*licensed veterinarian's registration as a registered veterinarian;
  - (e) failing to properly establish or maintain an up-to-date treatment log book;
  - (f) failing to supervise or inadequately supervising an assistant veterinarian or licensed animal health technologist or unregistered veterinary auxiliary who is licensed under these rules and is under the supervision and control of the licensee;
  - (g) violating any other law.
- (3) The \*judges/stewards board must give the licensee concerned an opportunity to present their case before the \*judges/stewards board makes a decision.

### **39 g Treatment log book**

*(amended 06/19)*

- (1) A licensed veterinarian must maintain an up-to-date treatment log book recording all veterinary treatment provided by the veterinarian or by a person acting under the veterinarian's supervision and control, on forms supplied by Horse Racing Alberta or the official veterinarian.
- (2) The log book must include
  - (a) the name of the licensed veterinarian and any person acting under the veterinarian's supervision and control,
  - (b) the name and identification of the horse to which veterinary treatment is provided by tattoo number, or if required, other evidence of identification or description, including markings, colour and sex,
  - (c) an index or key to codes or abbreviations used for drugs, medications and foreign substances, method of administration, and any other information required by the official veterinarian or Horse Racing Alberta,
  - (d) the name of the trainer,
  - (e) the place, date and time of treatment, prescription or administration, and
  - (f) the identification of the drug or medication by generic name and the dosage prescribed or administered.
- (3) The log book must be made available to the judges/stewards board, Horse Racing Alberta, or the official veterinarian, on demand, or at the time and place specified by the person requesting it.

### **LICENSED ANIMAL HEALTH TECHNOLOGISTS AND UNREGISTERED VETERINARY AUXILIARIES**

#### **40 g Applications for licence**

- (1) An individual may apply to \*Horse Racing Alberta, on the \*prescribed form, for
  - (a) an \*animal health technologist's licence, or
  - (b) an \*unregistered veterinary auxiliary's licence.
- (2) An applicant for an \*animal health technologist licence must be registered as an animal health technologist under the Veterinary Profession Act.
- (3) An application under subsection (1) must be supported by a \*licensed veterinarian under whose employment, supervision and control the applicant performs.

#### **41 g Decision on licence**

\*Horse Racing Alberta may grant an application for an \*animal health technologist's licence or an \*unregistered veterinary auxiliary's licence with or without conditions or may refuse the application.

#### **42 g Conditions of licence**

Every \*animal health technologist's licence and \*unregistered veterinary auxiliary's licence is subject to the following condition's:

- (a) the licensee will comply with the \*Act and these and any \*other rules;
- (b) the licensee will only engage in activity that the licensee is competent to perform and then only under the employment, supervision and control of a \*licensed veterinarian;
- (c) any special conditions prescribed by \*Horse Racing Alberta.

#### **43 g Effect of licence**

- (1) An \*animal health technologist's licence entitles the holder to engage in veterinary practice assisting a \*licensed veterinarian under the veterinarian's supervision and control.
- (2) An \*unregistered veterinary auxiliary's licence entitles the holder to be employed by a \*licensed veterinarian in a lay capacity under the veterinarian's supervision and control.

#### **44 g Suspension or revocation of licence**

- (1) The \*judges/stewards board may suspend or revoke an \*animal health technologist's licence or a an \*unregistered veterinary auxiliary's licence for appropriate cause.
- (2) Appropriate cause includes
  - (a) violating the \*Act or these or any other rules;
  - (b) violating the conditions of a licence;
  - (c) engaging in conduct that, in the opinion of the \*judges/stewards board, is prejudicial to the best interest of horse racing;
  - (d) failing to practice under or in accordance with the supervision and control of a \*licensed veterinarian;
  - (e) violating any other law.

## **SUBDIVISION 2 RACE HORSE OWNER'S LICENCE**

### **45 g Application for race horse owner's licence**

- (1) An applicant for a \*race horse owner's licence must apply to \*Horse Racing Alberta on the \*prescribed form.
- (2) The application must
  - (a) give the name and address of all the owners or proposed owners of the \*race horse or horses in respect of which the application is made,
  - (b) name the \*race horse or horses owned or proposed to be owned,
  - (c) specify the name under which each horse will run,
  - (d) specify the interest or proposed interest of each owner in each horse,
  - (e) specify to whom winnings are payable in respect of each horse and the proportionate share of winnings payable to each person,
  - (f) specify who is entitled to enter, declare, nominate and scratch horses from a \*horse race,
  - (g) if the applicant is not an individual, the person or persons entitled to represent the owner,
  - (h) the terms of any contingency, lease or other arrangement for each horse, and any other information \*Horse Racing Alberta requires.
- (3) If the applicant is a corporation, the application must also include
  - (a) the names and addresses of the directors and the officers of the corporation,
  - (b) each shareholder owning 10% or more of the voting shares, and their respective interests in the corporation, and
  - (c) the head office of the corporation and its recorded address for official purposes in Alberta.
- (4) If the applicant is a partnership, whether general or limited, the application must also include
  - (a) the names and addresses of all partners,
  - (b) the interest each partner has in the partnership, and
  - (c) the chief executive officer or manager of the partnership.
- (5) If the applicant is an estate
  - (a) the name of the estate, and
  - (b) the names of the executors and administrators of the estate.
- (6) In the case of any other owner
  - (a) the nature of the ownership,
  - (b) the names of persons having an interest in the ownership and their respective interests, and
  - (c) the names and addresses of the principals managing or administering the affairs of the owner.

- (7) A person is ineligible to apply or to be part of an application for a \*race horse owner's licence if that person is under suspension by a jurisdiction similar to Horse Racing Alberta.

### **45.1 g Fractional race horse ownership licences**

*(added 04/23)*

- (1) More than one individual may apply to be the \*licenced owner of the same \*race horse provided they each obtain all of the required memberships, licences and/or registrations for each applicable Alberta and Canadian racing breed association. A corporation, partnership, non-profit organization or any other entity comprised of more than one individual may not be a \*fractional owner under a \*fractional ownership.
- (2) A person may only become a \*fractional owner if the person has never owned a \*race horse, or has not owned a \*race horse during the 3 years prior to applying to become a \*fractional owner.
- (3) All \*fractional ownership licences shall be valid for a period of 2 years, unless suspended or revoked sooner. A person may not be a \*fractional owner for more than 2 years. During the 2-year licence period, a \*fractional owner may own a fractional interest in more than one \*race horse at a time.
- (4) Each \*fractional ownership must appoint an individual as its \*owner's agent, who will communicate with \*trainers, veterinarians, \*racing officials, on behalf of the \*fractional owners.
- (5) Each person wishing to be a \*fractional owner is required to apply to \*Horse Racing Alberta for a \*fractional ownership licence on the \*prescribed form. The application must:
  - (a) give the name and address of all the \*fractional owners or proposed \*fractional owners of the \*race horse or horses in respect of which the application is made,
  - (b) name the \*race horse or horses owned or proposed to be owned,
  - (c) specify the name under which each horse will run,
  - (d) specify the interest or proposed interest of each \*fractional owner in each horse,
  - (e) specify to whom winnings are payable in respect of each horse and the proportionate share of winnings payable to each person,
  - (f) specify the person or persons entitled to enter, declare, nominate and scratch horses from a \*horse race, and
  - (g) specify the name of the person appointed as the \*owner's agent for the \*fractional ownership.
- (6) Any liability of a \*fractional ownership and any penalty imposed upon it shall jointly and severally apply to all of the \*fractional owners, and may apply to any \*race horse owned wholly or in part by the \*fractional ownership, at the discretion of \*Horse Racing Alberta.
- (7) Any suspension of a licenced owner required to be licenced as part of a \*fractional ownership in Rule 45.1 shall include any \*race horse owned wholly or in part by the \*fractional owner.
- (8) If a fractional owner ceases to be a licenced owner, but the \*fractional ownership and the \*race horse are not suspended or otherwise ineligible, the remaining \*fractional owners may continue with the \*fractional ownership until their respective \*fractional ownership licences expire.

7 Licensed veterinarians must be registered under the Veterinary Profession Act.

- (9) For greater certainty, these Rules, as they apply to a \*race horse owner's licence, a \*licensed owner, or an \*owner, shall also apply to a \*fractional ownership licence, to the extent possible or applicable.

#### **46 g Decision on application**

- (1) \*Horse Racing Alberta may require an applicant for a \*race horse owner's licence to satisfy \*Horse Racing Alberta of their financial responsibility.
- (2) A jockey's agent is not to be licensed as a race horse owner.
- (3) \*Horse Racing Alberta may grant a \*race horse owner's licence to an applicant, with or without special conditions, or refuse the application.

#### **47 g Conditions of horse owner's licence**

Every \*race horse owner's licence is subject to the following conditions:

- (a) the licensee will comply with the \*Act, and these and any \*other rules;
- (b) the licensee will use their best endeavours to promote the purpose and ensure compliance with these and any other rules;
- (c) any special conditions prescribed by \*Horse Racing Alberta.

#### **48 g Effect of licence**

A \*race horse owner's licence entitles the holder, subject to these and any other rules,

- (a) to own or lease \*race horses and enter the horse in \*horse races, and
- (b) to access the backstretch area at a \*race meeting, subject to any restrictions imposed by the track rules.

#### **49 g Ownership declarations**

- (1) A declaration of joint ownership or partnership of a \*race horse, or changes to the declaration, must be approved by the \*judges/stewards board before the changes become effective, and they must also be registered with the \*licensed operator concerned.
- (2) No person may own or jointly own a race horse in which a jockey has an ownership interest.

#### **50 g Suspension or revocation of licences**

- (1) The \*judges/stewards board may suspend or revoke a \*race horse owners licence for appropriate cause.
- (2) Appropriate cause includes
- (a) \*violating the \*Act or these or any \*other rules;
- (b) \*violating the conditions of a licence;
- (c) engaging in conduct that, in the opinion of the \*judges/stewards board is prejudicial to the best interests of \*horse racing;
- (d) \*violating any other law.
- (3) In addition to revoking or suspending a \*race horse owner's licence, the \*judges/stewards board may prohibit, restrict, suspend, or limit

- (a) a part owner,
- (b) any person who has an interest in a \*race horse, or
- (c) any person who administers or manages the affairs of a race horse owner from exercising any right or privilege associated with being a \*licensed owner or part owner, and in default of compliance may revoke or suspend the owner's licence whether or not the \*licensed owner was aware of that person's activities.

**51**

*(repealed 02/19)*

### **SUBDIVISION 3 STABLE NAMES**

#### **52 g Stable name registrar**

- (1) \*Horse Racing Alberta must continue the register of stable names in whatever form it considers appropriate.
- (2) The register must contain
- (a) the name and contact information of the registrant,
- (b) the stable name registered,
- (c) an identifying code, and
- (d) any other information about the registrant or the stable name it considers necessary.

#### **53 g Name options for racing**

- (1) A \*licensed owner may enter \*race horses that the owner owns or leases
- (a) in the owner's own name, or
- (b) in a stable name registered in accordance with this Subdivision.
- (2) If a licensed owner does not enter or intend to enter race horses in the owner's own name then the owner must register a stable name.

#### **54 g Application for stable name**

- (1) A \*licensed owner may, on payment of the fee specified in Schedule 2, apply to \*Horse Racing Alberta, on the \*prescribed form, to register a stable name.
- (2) \*Horse Racing Alberta may register the stable name with or without conditions.
- (3) \*Horse Racing Alberta may refuse to register a stable name if
- (a) the name is known to be used by another person,
- (b) the name is already registered as a stable name,
- (c) the name is known to be the real name of any other person,
- (d) the name is, in the opinion of \*Horse Racing Alberta, inappropriate, unsuitable, or undesirable, or
- (e) the name is, in the opinion of \*Horse Racing Alberta, likely to cause confusion with another owner or stable name.

- (4) The registration of a stable name expires at the end of the calendar year in respect of which it is registered, but may be renewed for the next calendar year on payment of an annual fee prescribed in Schedule 2.

#### **55 g Prohibition on use of stable names and abandonment**

- (1) No person may use a stable name that is not registered with \*Horse Racing Alberta.
- (2) A person may abandon a stable name by giving written notice to \*Horse Racing Alberta, and \*Horse Racing Alberta may then cancel the name from its register.

#### **56 g Suspension or revocation of stable names**

On giving the \*licensed owner notice of its intention, \*Horse Racing Alberta may, in its discretion, suspend or revoke the registration of a stable name.

#### **57 t Stable names of thoroughbred horses**

- (1) The \*licensed owner of a thoroughbred \*race horse may only have one stable name.
- (2) Licensed owners may only \*race thoroughbred horses
  - (a) under their own name,
  - (b) under their stable name, or
  - (c) under their own name and as a partner in one other stable name.
- (3) If thoroughbred horses owned by a partnership are to be run in the name of a member of a partnership, that name need not be registered as a stable name, but all horses of the partnership must be run under
  - (a) the names of all members of the partnership, or
  - (b) one name of a partner plus "and partner" or "and partners" as applicable.

#### **58 s Stable names of standardbred horses**

- (1) If there are more than 4 owners of a standardbred horse, the \*licensed owners must register a stable name.
- (2) The stable name may only be used if it, or any changes to it, are also registered with
  - (a) Standardbred Canada, and
  - (b) the \*licensed operator of the \*race track at which the horse is entered to \*race.
- (3) A person may abandon a standardbred stable name by giving written notice to \*Horse Racing Alberta and Standardbred Canada, and \*Horse Racing Alberta may then cancel the registration.

### **DIVISION 2 TRAINER'S LICENCES**

#### **59 g Categories of trainer's licence**

The following categories of \*trainer's licence are established:

- (a) a category A \*trainer's licence;
- (b) an assistant \*trainer's thoroughbred licence;
- (c) a \*minor meeting \*trainer's licence.

#### **60 g Application for category A trainer's licence** *(amended 05/24)*

- (1) An individual is eligible to apply to Horse Racing Alberta for a category A trainer's licence in flat racing, on a form prescribed by Horse Racing Alberta, only if the applicant
  - (a) is at least 18 years old, and
  - (b) has been employed as a licensed groom for at least 2 years or has equivalent experience,
  - (c) if the applicant has not previously completed and passed a category A trainer's exam at a racetrack recognized by Horse Racing Alberta must successfully complete and pass an examination set by Horse Racing Alberta, and
  - (d) an oral examination given by the stewards board.
- (2) An individual is eligible to apply to Horse Racing Alberta for a category A trainer's licence in standardbred racing, on a form prescribed by Horse Racing Alberta, only if the applicant
  - (a) be a minimum of 16 years old,
  - (b) if the applicant has not previously held a category A trainer's licence, successfully complete and pass a written examination set by Standardbred Canada guidelines,
  - (c) at the applicant's own expense, pass a physical and an eye examination, by a physician
    - (i) when the application is made for the first time,
    - (ii) whenever required by the judges board during the term of the licence before the applicant becomes 65 years old, and
    - (iii) each year a licence is sought on and after the applicant becomes 65 years old.

#### **61 g Minor meeting trainer's licence**

- (1) On application to the \*judges/stewards board on the \*prescribed form, the \*judges/stewards board may grant the applicant a licence as a \*trainer at \*minor meetings.
- (2) The applicant for a minor meeting \*trainer's licence must meet requirements established by the \*judges/stewards board.



## 62 g Conditions of trainer's licences

Every \*trainer's licence is subject to the following conditions:

- (a) the licensee will comply with this \*Act and these and any \*other rules;
- (b) the licensee will use their best endeavours to promote the purpose and ensure compliance with these and other rules;
- (c) to undergo any physical or eye examinations required;
- (d) any special conditions prescribed by the \*judges/stewards board.

## 63 g Decision on application

The \*judges/stewards board may grant, with or without special conditions, a trainer's licence, or refuse the application.

## 64 g Effect of licence

A \*trainer's licence entitles the holder, subject to these and any other rules,

- (a) to train \*race horses in accordance with the licence issued;
- (b) to enter and make declarations with respect to \*horse races;
- (c) to engage jockeys and drivers;
- (d) to represent the \*licensed owner;
- (e) to access the backstretch area at a \*race meeting, subject to any restrictions imposed by the track rules.

## 65 g Prohibition on licensing

No \*trainer may be licensed

- (a) as a jockey's agent for a \*race meeting at which the trainer is acting in the capacity of trainer, or
- (b) as a \*licensed veterinarian, or vice versa.

## 66 g Suspension or revocation

*(section 4a repealed 03/21)*

- (1) The \*judges/stewards board may suspend or revoke a \*trainer's licence for appropriate cause.
- (2) Appropriate cause includes
  - (a) \*violating the \*Act or these or any \*other rules;
  - (b) \*violating the conditions of a licence;
  - (c) engaging in conduct that, in the opinion of the \*judges/stewards board, is prejudicial to the best interests of horse racing;
  - (d) \*violating any other law.
- (3) The \*judges/stewards board must give the licensee concerned an opportunity to present their case before the judges/stewards board makes a decision.

- (4) If a \*trainer's licence is suspended because of a positive drug analysis of a horse under the \*trainer's care,
  - (b) the trainer is to be denied all privileges of the grounds, including the grandstand, while a suspension remains in effect.

## 67 g Effect of trainer's suspension on horses in training

- (1) If a \*trainer's licence is suspended or revoked, all horses being trained by the \*trainer at that time are ineligible to \*race until the horse is transferred to the responsibility of another \*trainer who is
  - (a) in the opinion of the \*judges/stewards board, at arms-length from the \*trainer, and
  - (b) satisfactory to the \*judges/stewards board.
- (2) Subsection (1) prohibits a transfer to
  - (a) an assistant trainer employed by the trainer;
  - (b) another employee of the trainer;
  - (c) a spouse, interdependent partner (as defined in the Adult Interdependent Relationships Act) or family member, unless that person is an independent trainer in their own right operating apart from the trainer whose licence is suspended or revoked.

## 68 g Effect of trainer's suspension or revocation on an owner's licence

- (1) If a \*trainer's licence is suspended or revoked and that person owns a \*race horse in whole or in part, the \*judges/stewards board may also suspend the owner's licence for not more than the same period for which the \*trainer's licence is suspended.
- (2) An owner/trainer under subsection (1) may, with the permission of the \*judges/stewards board, sell their ownership in a race horse and, if so, may not re-acquire an ownership interest in any \*race horse sold for at least 12 months from the sale date.

## **ASSISTANT TRAINER'S LICENCE**

### **69 t Application for assistant trainer's thoroughbred licence**

An individual is eligible to apply to the \*stewards board for an assistant \*trainer's thoroughbred licence on the \*prescribed form, only if

- (a) the applicant is at least 18 years old,
- (b) the application is supported by the holder of a category A \*trainer's licence,
- (c) the applicant meets the requirements of section 60 [Application for category A trainer's licence], unless modified by the \*stewards board, and meets any other requirements specified by the \*stewards board, and
- (d) a trainer demonstrates to the \*stewards board a valid need for the assistant trainer.

### **70 g Decision on application**

The \*stewards board may grant, with or without special conditions, an assistant \*trainer's licence, or refuse the application.

### **71 g Conditions of assistant trainer's licence**

- (1) The holder of an assistant \*trainer's licence is subject to the same conditions as a category A \*trainer's licence, in addition to any special conditions imposed by \*Horse Racing Alberta.
- (2) An assistant \*trainer may substitute for and assume the same duties, responsibilities and restrictions that are imposed on the \*licensed trainer.

### **72 t Effect of licence**

An assistant \*trainer's thoroughbred licence entitles the holder, subject to these and any \*other rules,

- (a) to assist in training \*race horses under the direction and control of a category A \*licensed trainer, and
- (b) to access the backstretch area at the \*race meeting, subject to any restrictions imposed by the track rules.

## **DIVISION 3 STANDARDBRED DRIVER'S LICENCES**

### **73 s Categories of standardbred driver's licence**

- (1) There are the following categories of driver's licences:
  - (a) an A licence, being a full general driver's licence valid for all \*race meetings,
  - (b) a B licence, being an apprentice driver's licence, valid upon satisfactory performance, for all race meetings,
  - (c) a C licence, being a beginner's driver's licence, valid with the approval of the \*judges board for fairs, and for qualifying and overnight \*races, and
  - (d) a P licence, being a probationary driver's licence valid for all race meetings but indicating that the driver is on probation having been found guilty of repeated rule \*violations.
- (2) The category of a driver's licence must be printed beside the driver's name on a race meeting program and the program must include the definition of the licence categories.

### **74 s Applicants for a driver's licence**

*(amended 05/19)*

- (1) Every applicant for a driver's licence, in addition to any other requirement of these and any other rules, must apply to the judges board on the prescribed form and
  - (a) submit evidence of their ability to drive in a race;
  - (b) show that they are at least 18 years old;
  - (c) have held a category "A" trainers licence or assistant trainer's licence for at least one year,
  - (d) provide medical evidence satisfactory to the judges board, including but not limited to general health, vision and hearing tests, that the applicant is able to safely perform the normal functions of the occupation for which the licence is sought;
  - (e) for a category "C" licence, submit to and pass a written examination at a designated time and place to determine their qualifications to drive and their knowledge of racing and these and other rules.
- (2) The judges/stewards board may require any applicant for a licence, or licensee, under this section to attend a physician or its choice, at its own expense, whenever it considers further medical evidence is reasonably required to determine if the medical condition of the applicant or a licensee may impair the safety of the applicant or licensee, any other person, or a horse.

## 75 s Treatment as first time applications

An applicant is to be treated as a first time applicant for a driver's licence if:

- (a) in the case of a category "A" driver's licence application, the applicant has not renewed their licence for more than 3 licence years and has not driven in at least 30 performances in purse or qualifying \*races during that period, and
- (b) in the case of a category "B" driver's licence application, the applicant has not renewed their licence for more than 3 years and has not driven in at least 25 performances in purse or qualifying races during that period.

## 76 s Insurance coverage

An applicant for a driver's licence must provide evidence of comprehensive medical insurance, including hospital coverage, of a type and in an amount satisfactory to the \*judges board.

## 77 s Decision on licence applications

The \*judges board may grant to an applicant an appropriate category of driver's licence, with or without special conditions, or refuse the application.

## 78 s Conditions of driver's licences

Every driver's licence is subject to the following conditions:

- (a) the licensee will comply with this \*Act and these and any \*other rules;
- (b) any special conditions imposed by the \*judges board.

## 79 s Effect of driver's licences

A driver's licence entitles the holder, subject to these and any \*other rules,

- (a) to drive in \*race meetings in accordance with the category of licence held;
- (b) to access the backstretch area at the race meeting, subject to any restrictions imposed by the track rules.

## 80 s Changes in driver's licence category

- (1) A driver may apply to the \*judges board for a change in category of driver's licence.
- (2) Changes in driver's licence categories are governed by the following:
  - (a) the holder of a category "C" driver's licence may, with the written approval of the judges board, have their licence upgraded to a category "B" licence if the applicant has completed at least 10 qualifying drives, a rated mile prescribed by the judges, and 15 overnight drives;
  - (b) the holder of a category "B" licence may, with the written approval of the judges board, have their licence upgraded to a category "A" licence if the applicant
    - (i) has had at least one full year of driving experience while holding a category "B" driver's licence, and
    - (ii) has made 40 drives satisfactory to the judges board in the calendar year preceding the application for a category "A" licence;
  - (c) the holder of a probationary licence may have their licence upgraded to the category of licence held before being issued the category "P" licence, if the driver has driven for at least 12 months without any major or repeated rule \*violations.
- (3) The judges board may grant the change in category of driver's licence, with or without special conditions, or refuse the application.

## 81 s Suspension or revocation of driver's licences

*(amended 04/20)*

- (1) The judges may review the performance of a driver at any time and may take the following actions:
  - (i) amend the licence category;
  - (ii) revoke the licence;
  - (iii) apply conditions to the licence, or
  - (iv) required the driver to re-qualify for his or her licence in accordance with Standardbred Canada regulations.
- (2) Appropriate cause includes
  - (a) \*violating the \*Act or these or any \*other rules;
  - (b) \*violating the conditions of a licence;
  - (c) engaging in conduct that, in the opinion of the judges board, is prejudicial to the best interests of horse racing;
  - (d) \*violating any other law.
- (3) The \*judges board must give the licensee concerned an opportunity to present their case before the \*judges board makes a decision.
- (4) If a driver is suspended for a driving \*violation, the driver may, with the consent of the \*judges board, drive in stakes \*races during the suspension, but if so, the suspension is extended one day for each date on which the driver drives in a stakes race.

## **DIVISION 4 JOCKEYS AND APPRENTICE JOCKEY'S LICENCES**

### **82 t Jockey's licence**

- (1) A person may apply to the \*stewards board, on the \*prescribed form, for
  - (a) a jockey's licence, or
  - (b) an apprentice jockey's licence.
- (2) An applicant for a jockey's licence or an apprentice jockey's licence must provide evidence of comprehensive medical insurance, including hospital coverage, of a type and in an amount satisfactory to the \*stewards board.
- (3) An applicant for a jockey's licence or apprentice jockey's licence must provide medical evidence satisfactory to the stewards board, including but not limited to general health, vision and hearing tests, that the applicant is able to safely perform the normal functions of the occupation for which the licence is sought.
- (4) The judges/stewards board may require any applicant for a licence, or licensee, under this section to attend a physician of its choice, at its own expense, whenever it considers further medical evidence is reasonably required to determine if the medical condition of the applicant or a licensee may impair the safety of the applicant or licensee, any other person, or a horse.

### **83 t Decision on licence application**

The \*stewards board may grant to an applicant a jockey's licence or an apprentice jockey's licence, with or without special conditions, or refuse the application.

### **84 t Conditions of jockey's licence**

Every jockey licence and apprentice jockey licence is subject to the following conditions:

- (a) the licensee will comply with this \*Act and these and any \*other rules;
- (b) the licensee will not be a jockey at any \*race meeting in which there is entered a horse the jockey owns, in whole or part, or trains;
- (c) any special conditions imposed by the \*stewards board.

### **85 t Effect of jockey's licence**

A jockey's licence and apprentice jockey's licence entitles the holder, subject to these and any \*other rules,

- (a) to be a jockey or apprentice jockey at \*horse races, and
- (b) to access the backstretch area at the \*race meeting subject to any restrictions imposed by the track rules.

## **86 t Suspension or revocation of jockey's licences**

*(amended 05/14)*

- (1) The \*stewards board may suspend or revoke a jockey's licence or an apprentice jockey's licence, for appropriate cause.
- (2) Appropriate cause includes
  - (a) \*violating the \*Act or these or any \*other rules;
  - (b) violating the conditions of a licence;
  - (c) engaging in conduct that, in the opinion of the \*stewards board, is prejudicial to the best interests of \*horse racing;
  - (d) \*violating any other law.
- (3) The \*stewards board must give the licensee concerned an opportunity to present their case before the \*stewards board makes a decision.
- (4) If a jockey is suspended for what the stewards board considers to be a minor infraction the jockeys may ride in stakes races if their engagement slips are properly completed, have been filed with the racing secretary no later than the closing of nomination for a particular stakes race. Slips must be first call, signed by both parties and state the horse's name. The jockey may ride in the stakes race under the following conditions:
  - (a) a day in which the suspended jockey participates in one stakes race counts as a suspension day;
  - (b) a day in which a suspended jockey participates in more than one stakes race does not count as a suspension day, and the suspension is extended one day for each date on which the jockey participates in more than one stakes race.

## **DIVISION 5 OTHER RACING PARTICIPANTS' LICENCES**

### **87 g Application**

This Division applies to all \*racing participants, except veterinarians, assistant veterinarians, licensed animal health technologists and unregistered veterinary auxiliaries, owners, \*trainers, drivers, and jockeys.

### **88 g Eligible applicants**

- (1) A person may apply on the \*prescribed form, to the \*judges/stewards board, for a \*racing participant licence.
- (2) An applicant for a racing participant licence
  - (a) must be at least 15 years old, or if younger, must be employed by his or her parent or guardian, and
  - (b) must be of reputable character and sufficient ability.
- (3) An applicant for a racing participant's licence may be required to provide medical proof, including but not limited to general health, vision and hearing tests, that they are able to safely perform the normal functions of the occupation for which the application is made.

- (4) A \*licensed owner or a part owner of a \*race horse must not be licensed as a jockey's agent
- (5) The \*judges/stewards board may grant a \*racing participant's licence, or may refuse the application.

### 89 g Conditions of racing participant's licences

A \*racing participant's licence is issued subject to the following conditions:

- (a) the licensee will comply with the \*Act and these and any \*other rules;
- (b) the licensee will cooperate with the \*judges/stewards board and \*racing officials in the performance of their functions;
- (c) any special conditions considered necessary by the \*judges/stewards board.

### 90 g Effect of licence

A \*racing participant's licence entitles the holder, subject to these and any \*other rules,

- (a) to perform the functions normally associated with the title of the licence, and
- (b) to access the backstretch area in order to perform those functions, subject to the track rules.

### 91 g Suspension and revocation of racing participant licences

- (1) A \*racing participant's licence may be suspended or revoked by the \*judges/stewards board if the racing participant's employment or engagement is terminated for cause.
- (2) The \*judges/stewards board may also suspend or revoke a racing participant's licence for appropriate cause.
- (3) Appropriate cause for suspending or revoking a racing participant's licence includes
  - (a) \*violating the \*Act or these or any \*other rules;
  - (b) \*violating a condition of the licence;
  - (c) engaging in conduct that, in the opinion of the \*judges/stewards board, is prejudicial to the best interests of horse racing;
  - (d) \*violating any other law.
- (4) The \*judges/stewards board must give the licensee an opportunity to present their case before making a decision.
- (5) For reasons the \*judges/stewards board considers sufficient, a \*racing participant's licence may be reinstated on any conditions the board considers appropriate.

## PART 3 GENERAL LICENSING RULES

### 92 g Application

This Part applies to

- (a) \*racing official's licences and applications for them, and
- (b) \*racing participant's licences and applications for them.

### 93 g Licence Information

- (1) Every application for a licence must be accompanied by a non-refundable application fee of an amount specified in Schedule 2.
- (2) No licence is transferable, but an applicant who is licensed as a \*racing participant for one form of horse racing may apply for a corresponding licence in another form of racing, without payment of a fee.
- (3) On satisfactory proof of loss, a duplicate \*racing participant licence may be issued on payment of the fee prescribed in Schedule 2.
- (4) Every licence expires on December 31 of the year for which it is issued.

### 94 g Suspension in other jurisdictions and previously revoked licences

- (1) A person who is under suspension in a jurisdiction outside Alberta, by a turf authority having jurisdiction similar to \*Horse Racing Alberta or a \*judges/stewards board, is ineligible to apply for any licence under these rules.
- (2) A person who is licensed under these rules and who also holds an equivalent licence under rules of a jurisdiction outside Alberta and whose licence is suspended by the other jurisdiction is automatically also suspended in Alberta and their Alberta licence may not be reinstated without the approval of a \*judges/stewards board.
- (3) A person whose licence has previously been revoked under these rules, former rules, or any \*other rules or by a turf authority having jurisdiction similar to \*Horse Racing Alberta or \*judges/stewards board, must satisfy the licensing authority that their application for a licence should be considered.
- (4) The decisions or rulings of other turf authorities recognized by Horse Racing Alberta are to be respected by any person or body making a decision on an application or appointment under these or any other rules.

### 95 g Co-operating with investigations and providing samples

It is a condition of every appointment made and licence issued that the appointee or licensee will

- (a) co-operate with any inspection or investigation conducted under these and any \*other rules, and
- (b) provide any samples that are required to be provided under these or any other rules or the \*Act.

**96 g Additional or other sanctions on licensees**

In addition to or instead of suspending or revoking a licence, other sanctions authorized by these or any \*other rules may be imposed on the licensee.

**97 g Bankruptcy or assignment in bankruptcy**

A licensee who has made an assignment in bankruptcy or who has been declared bankrupt may be licensed as a \*racing participant on the condition that the person work as an employee of another licensee, but may not be licensed as:

- (a) an owner,
- (b) a \*trainer, or
- (c) a public stable operator, without the permission of \*Horse Racing Alberta and the trustee in bankruptcy.

**98 g Return of licences**

If a licence is suspended or revoked, the licence must, on request, be returned to \*Horse Racing Alberta.

**99 g Spouses and interdependent partners of licensees**

- (1) A person and their spouse or interdependent partner may be considered as a single legal entity for the purpose of any ruling relating to a licence, disqualification, expulsion, or denial of admission to a \*race track.
- (2) Any ruling that applies to one may be applied by the \*judges/stewards board to the other, and a person may be suspended, expelled, denied a licence, or denied admission to a race track if it is determined that the person's spouse or interdependent partner would be denied a licence upon application, and \*Horse Racing Alberta may require the person's spouse or interdependent partner to complete and submit an application in order to make a determination.
- (3) In this section
  - (a) "interdependent partner" has the same meaning as it has in the Adult Interdependent Relationships Act;
  - (b) "spouse" means either a man or woman who is a husband or wife, but does not include a husband or wife who are living separate and apart from each other under a written agreement or an order of a Court.

**100 g Insurance and other coverage**

- (1) A person who has a licensee in a horse-related occupation on their payroll as an employee at a \*race track must, during their employment
  - (a) ensure the employee is properly covered for workers' compensation under the Workers' Compensation Act, or
  - (b) if the Act does not apply, with such disability and liability insurance as is acceptable to the \*judges/stewards board, or both.
- (2) A \*trainer or other person shipping-in \*race horses from outside Alberta must satisfy the \*judges/stewards board that their employees have coverage equivalent to the coverage described in subsets 1a or 1b.

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**A a rule number followed by the letter g means that the rule applies to both standardbred and thoroughbred racing;**

**B a rule number followed by the letter s means that the rule applies to standardbred racing;**

**C a rule number followed by the letter t means that the rule applies to thoroughbred racing.**

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## CHAPTER 3: GENERAL HORSE RACING RULES

### 101 g Purpose of Chapter 3

The purpose of Chapter 3 is

- (a) to provide for the responsible management of \*horse races, and to regulate matters associated with horse racing;
- (b) to provide for fair horse races that represent a true competitive effort by both \*horse and rider or driver;
- (c) to protect the legitimate interests of those involved in the \*horse racing industry;
- (d) to protect the public interest.

## PART 1

### ADMINISTRATION OF HORSE RACES AND VETERINARY CARE

#### DIVISION 1 APPOINTMENT OF OFFICIALS, FACILITIES, AND RECORD KEEPING RACING OFFICIALS

##### 102 g Appointment of racing officials

- (1) A \*licensed operator must, for each \*race meeting, propose to \*Horse Racing Alberta the appointment of the \*racing officials required for the proper conduct of the race meeting or that are otherwise required by Horse Racing Alberta.
- (2) The appointment of a racing official is only effective if
  - (a) the appointment is confirmed by Horse Racing Alberta under section 14(2) of the \*Act, and
  - (b) the individual holds a current licence for the position.
- (3) A licensed operator must not employ or engage a person as a \*racing participant unless they hold a current licence for the function to be performed.
- (4) Each racing official may, at the race meeting at which the official is appointed, perform the functions and responsibilities given to the official under these and any \*other rules.

**Explanatory note:** Section 14(2) of the Act referred to in section 102(2)(a), reads:

- (2) A person shall not carry out, attempt to carry out or purport to carry out an activity of a racing official unless that person is appointed by Horse Racing Alberta as a racing official.

##### 103 g Approval of other personnel

A \*licensed operator must not, when conducting \*horse races, employ, engage or use the services of any person who has not been approved by \*Horse Racing Alberta.

##### 104 g Multiple roles for racing officials

- (1) Unless \*Horse Racing Alberta otherwise permits, a \*racing official must not
  - (a) be appointed to more than one official position at a \*race meeting;
  - (b) serve or perform the functions of more than one racing official position.
- (2) Horse Racing Alberta may only permit a racing official to serve in more than one function if it is satisfied that the responsibility and functions of the positions can be performed
  - (a) without a conflict between the responsibility and function, and
  - (b) efficiently and effectively.

### **105 g Race horse owners cannot be racing officials**

A \*licensed owner of a \*race horse participating in a \*race meeting is not permitted, at that \*meeting,

- (a) to be appointed as a \*racing official, or
- (b) to carry out any function or responsibility of a racing official.

### **106 g Prohibition on other employment at race meetings**

At a \*race meeting, a \*racing official must not

- (a) be employed or engaged in any capacity other than as a racing official,
- (b) accept employment or an engagement in any capacity other than as a racing official, or
- (c) engage in any other work or activity that is unrelated to the function for which the official is appointed, unless permitted to do so by \*Horse Racing Alberta.

## **FACILITIES, SERVICES, AND EQUIPMENT**

### **107 g Equipment and maintenance facilities and track surface** *(amended 03/20)*

A licensed operator must

- (a) provide the proper and necessary equipment for the preparation and maintenance of racetrack facilities, and
- (b) races shall not be conducted until, in the opinion of the Judges/Stewards, the Association has caused the racing strip to be suitably prepared for racing.

### **108 g Adequate facilities for racing officials** *(amended 03/20)*

As a condition of its Racetrack Operator's licence, an Association shall provide:

- (a) A Judge's/Steward's stand, acceptable to the Registrar or Regulatory Authority, to be located and constructed so as to afford the Judges an unobstructed view of the entire racing strip and having adequate facilities acceptable to the Registrar or Regulatory Authority for the carrying out of their duties. Such facilities to include washroom, outside telephone line and speaker phone to the paddock.

### **109 g Certificate of measurement of the track**

- (1) Every \*licensed operator must file with \*Horse Racing Alberta the certificate of a civil engineer or land surveyor that the \*race track has been measured from wire to wire 3 feet out from the rail or inside hub rail of the track, and certifying to the nearest foot the result of each measurement.
- (2) If any changes or relocation of the hub rail are made at a track, that track must be measured and recertified in accordance with subsection (1).

### **110 g Services at race meetings** *(amended 03/20)*

- (1) A licensed operator conducting a standardbred or flat race meeting must
  - (a) Associations conducting extended meetings shall provide a paddock which shall be policed, and records maintained of all persons entering and leaving. The paddock must be constructed and policed so as to exclude unauthorized persons. Associations failing to comply with this rule, after notice from the Registrar, or Regulatory authority, may be subject to a monetary penalty and
  - (b) provide and maintain in the paddock or receiving barn, in accordance with standards approved by Horse Racing Alberta, washroom facilities, hot and cold running water, and proper lighting.
- (2) During horse racing hours at major race meetings, associations shall provide in the paddock:
  - (a) the services of a blacksmith during racing hours;
  - (b) suitable extra equipment necessary to prevent unnecessary delay to the racing program;
  - (c) direct communication facilities to the Judge's stand; and
  - (d) a microchip scanner in good working order.
- (3) To protect the safety and integrity of the industry, all racetracks in Alberta must provide outrider approved by the Board of Stewards/Judges.

### **111 g Proper facilities and services**

A \*licensed operator must not, when conducting \*horse races, provide or use any equipment or facility, or provide any service, that has not been approved by \*Horse Racing Alberta.

### **112 g First aid and ambulance facilities** *(amended 04/22)*

- (1) A \*licensed operator shall provide and equip a first aid room and have present on their premises, or within easy call, a licensed physician, registered nurse, or qualified attendant and shall have present during morning workouts, qualifying races and during the regular racing program an ambulance or mobile first aid vehicle, equipped and operated by the St John Ambulance or equivalent, for participants and patrons.
- (2) A \*licensed operator shall have during morning workouts, qualifying races and during the regular racing program, a qualified person who has completed the Sport Concussion Assessment Tool 5th Edition (SCAT5) training for concussion assessment.
- (3) A \*licensed operator shall have a horse ambulance available in the stable area on race days for the removal of injured animals.
- (4) Provide a horse ambulance available to remove horses from the track.

## **RECORD KEEPING**

### **113 g Creating and retaining records**

- (1) A \*licensed operator must establish and maintain complete records of each \*horse race conducted by it, including
  - (a) everything necessary to comply with
    - (i) the Pari-Mutuel Betting Supervision Regulations (Canada), as amended from time to time, made under the Criminal Code,
    - (ii) the General Fees and Promotional Levy Rule, and
    - (iii) financial and administrative requirements of the \*Act and these and any \*other rules, and
  - (b) the results of the recording of details of electronic data processing systems and programs to illustrate what the systems do and how they operate.
- (2) The records are to be retained in safe-keeping at the licensed operator's place of business in Alberta, unless \*Horse Racing Alberta otherwise permits in writing.
- (3) The records are to be retained for at least 2 years after the end of the horse race season to which they relate, but then may be disposed of, unless a law otherwise requires or Horse Racing Alberta otherwise directs.
- (4) Licensed operators must provide, to persons authorised by Horse Racing Alberta, access to all records maintained under this section.

## **TRACK RULES**

### **114 g Preparation of track rules**

The racing secretary must prepare track rules for the efficient and effective operation of the \*race track for which the secretary is appointed.

### **115 g Approval of track rules**

- (1) At least 30 \*days before a \*race meeting, the \*licensed operator must send to \*Horse Racing Alberta,
  - (a) all track rules for the conduct of \*horse racing at the \*meeting, and
  - (b) a list of all \*racing officials who will officiate at the meeting, for approval.
- (2) Track rules have no effect unless they are
  - (a) approved by Horse Racing Alberta, and
  - (b) posted at the race meeting at which they are effective.

### **116 g Enforcement of track rules**

- (1) In addition to their other functions and responsibilities, a \*judges/stewards board and \*racing officials may enforce track rules as the need requires.
- (2) For the purposes of enforcing approved track rules, a track rule approved by \*Horse Racing Alberta is to be considered to be a rule made by Horse Racing Alberta.

## **DIVISION 2**

## **VETERINARY TREATMENT OF RACE HORSES GENERALLY**

### **117 g Veterinary medicine for race horses registered for racing**

- (1) When a \*horse is registered for racing with a \*licensed operator during the \*racing season, a \*licensed owner or \*trainer may only employ or engage a \*licensed veterinarian to provide \*veterinary medicine with respect to that horse.
- (2) Subsection (1) does not apply in cases of extreme emergency.

### **118 g Must be medical reason for treatment**

A \*licensed veterinarian must not administer or prescribe any \*drug, \*medication, or \*foreign substance to any \*horse without first having made a diagnosis or having a medical reason for the treatment.

### **119 g Labelling of medications, drugs and foreign substances**

- (1) A \*licensed veterinarian must label all \*drugs, \*medications, or \*foreign substances administered, prescribed or provided for the care or treatment of \*race horses.
- (2) The label must contain
  - (a) the date the drug, medication, or foreign substance was prescribed;
  - (b) the name of the \*trainer;
  - (c) the name of the \*horse for which the drug, medication, or foreign substance is prescribed;
  - (d) the name and dosage of the drug, medication, or foreign substance, and the recommended time that the drug, medication, or foreign substance is required to be withdrawn so as to be undetectable in an official sample;
  - (e) the name of the licensed veterinarian prescribing the drug, medication, or foreign substance.

### **120 g Responsibility for treatment**

In addition to their other responsibilities, a \*licensed veterinarian is responsible to \*Horse Racing Alberta for the consequences of the administration, prescription, or provision of any \*drug, medication, or \*foreign substance to or for a \*race horse and any other veterinary treatment provided to the \*horse by the veterinarian.

### **121 g Reporting deaths of horses**

The licensed \*trainer of a \*horse registered with a \*licensed operator to \*race in Alberta must report to the \*official veterinarian the death of a horse, whether the death is from natural causes, by euthanasia, or other causes, immediately after the death occurs.

## 122 g Shock Wave Therapy

(amended 03/20)

The use of Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy is not permitted unless the following conditions are met:

- (1) Any Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy machine, whether in operating condition or not, must be registered with and approved by the Commission Veterinarian before such machine is brought to or possessed on any racetrack within the jurisdiction of the Commission;
- (2) The use of Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy within the jurisdiction:
  - (a) Is limited to veterinarians licensed to practice by the commission.
  - (b) May only be performed with machines that are:
    - (i) Registered and approved for use by the HRA; and
    - (ii) Used at a previously-disclosed location that is approved by the commission Veterinarian.
- (3) Must be reported within 24-hours prior to treatment on the prescribed form to the Official Veterinarian.
  - (a) Any treated horse is not permitted to race, breeze and/or train for a minimum of 10 days following treatment;
  - (b) Any horse treated with Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy is to be added to a list of ineligible horses. This list is to be kept in the race office and accessible to all racing participants during normal business hours and be made available to other regulatory jurisdictions.
  - (c) A horse that receives any such treatment without full compliance with this section and similar rules in any other jurisdiction in which the horse was treated is to be placed on the Judge's or Steward's List.

## DIVISION 3 VETERINARY CARE AT RACE MEETINGS

### VETERINARY CARE AT RACE MEETINGS

#### 123 g Equine infectious anemia (e.i.a.)

(amended 04/23)

- (1) Any person who is responsible for a \*race horse stabled on the grounds of a \*race track for the purpose of racing must ensure that a negative test for equine infectious anemia (Coggins test) dated in the preceding 12 months (365 days), has been issued with respect to that horse.
- (2) No person may bring a horse onto the grounds of a race track or permit the entry of a horse onto the grounds of a race track, unless a certificate of a negative test for equine infectious anemia has been issued with respect to that horse in accordance with subsection (1).
- (3) A \*horse the subject of a positive test for equine infectious anemia must be immediately reported, by its \*trainer or other person in charge of it, to the \*official veterinarian.
- (4) On receipt of the report, the official veterinarian must arrange for the affected horse to be isolated.

#### 124 g Licensed veterinarians access restricted

A \*licensed veterinarian must not enter the paddock, the \*test barn, or onto the \*race track during \*horse races or immediately following a \*race without the permission of the \*official veterinarian, except in an emergency and then only if the licensed veterinarian is unable to contact the official veterinarian after a reasonable effort to do so.

#### 125 g Official veterinarian must approve treatment at race meetings

A \*licensed veterinarian must not treat a \*race horse in the paddock, \*test barn, or on the \*race track during \*race meetings without the permission of the \*official veterinarian.

#### 126 g Possible scratch following treatment

A \*licensed veterinarian who treats a \*horse that is entered to \*race in a manner that may necessitate a \*scratch must report in writing the reason for treating the horse, and the treatment, to the \*official veterinarian immediately after the treatment.

## DIVISION 4 EXERCISE INDUCED PULMONARY HEMORRHAGE

### 127 g Bleeder list

- (1) In accordance with these rules, an \*official veterinarian designated by \*Horse Racing Alberta must continue to maintain the list of \*race horses, known as the \*bleeder list, established under former Horse Racing Rules.
- (2) The \*official veterinarian must keep the bleeder list up-to-date and notify the \*stewards board of all changes to it.

### 128 g Putting horses on the bleeder list

- (1) The \*official veterinarian must place a \*horse on the \*bleeder list after being satisfied that
  - (a) the horse bled during or within 2 hours of a \*horse race, or
  - (b) the horse bled during or within 2 hours of a work-out for the \*race.
- (2) In order to determine if bleeding occurred, a fiberoptic bronchoscopic examination may be performed, in accordance with a direction of the \*judges/stewards board, or at the discretion of the official veterinarian.
- (3) No person is to prevent or obstruct a \*licensed veterinarian from carrying out the examination.
- (4) For the purpose of this section, a horse bled if
  - (a) the horse exhibited hemorrhage from the nostrils following exercise, or
  - (b) blood was present in the trachea or bronchi in sufficient quantity to affect its performance.
- (5) In subsection (4)
  - (a) performance is considered to have been affected if a licensed veterinarian and the official veterinarian so decide after examination of the horse with a fiberoptic bronchoscope;
  - (b) a hemorrhage occurs if so determined by the official veterinarian.
- (6) Horses on the bleeder list may be known as “bleeders”.

### 129 g Horses on the bleeder list

- A \*horse placed on the bleeder list may not participate in a horse race for at least
- (a) 14 consecutive days after the first occurrence;
  - (b) 90 consecutive days after the second occurrence;
  - (c) 365 consecutive days after the third occurrence.

### EIPH Program Certification - Major Thoroughbred / Major Quarter Horse / Major Standardbred *(amended 03/21)*

No 2-year-old Thoroughbred, Quarter Horse, or Standardbred will be eligible for the EIPH Program

### 130 g EIPH eligibility requirements *(amended 05/24)*

- (1) The official veterinarian may certify a horse as eligible for the EIPH Program after the horse has been examined with endoscopy by a Horse Racing Alberta licensed veterinarian to verify the horse does have pulmonary hemorrhage, and the trainer verifies, on a prescribed form, that they have determined that it would be in the horse's best interest to race with furosemide and be placed on the EIPH certified list.
- (2) The official veterinarian must certify a horse as eligible for the EIPH Program if the stewards/judges board or the official veterinarian certifies, on a prescribed form, that
  - (a) they have received documentation that the horse is qualified for the EIPH Program in another jurisdiction,
  - (b) the certification is made by a veterinarian in the other jurisdiction who performs the duties ordinarily performed by the official veterinarian in Alberta, and
  - (c) the other jurisdiction is recognized by Horse Racing Alberta for the purpose of this section.

### 131 g EIPH Certified List *(amended 05/18)*

- (1) When the official veterinarian is satisfied that a horse meets the eligibility requirements of the EIPH Program, the veterinarian must place the name of the horse on a list, to be known as the "EIPH certified list".
- (2) The official veterinarian is responsible for keeping the EIPH certified list up-to-date.
- (3) At each major Thoroughbred, Quarter Horse and Standardbred race meeting the official veterinarian must provide to the stewards/judges board a list of all horses currently on the EIPH certified list and the stewards/judges board must notify the racing secretary accordingly.
- (4) A certification is only valid with respect to a horse race if it is accepted by the stewards/judges board at the time the horse is entered for the race.

### 132 g Remaining on the EIPH Program *(amended 05/18)*

A horse on the EIPH certified list must remain in the EIPH Program for 100 days from the date of its most recent certification, regardless of any change of owner or trainer.

### 133 g Only approved licensed Veterinarians and/or Animal Health Technicians/ Registered Veterinary Technicians may administer EIPH Program *(amended 05/18)*

Only a licensed veterinarian and/or a licensed Animal Health Technician (AHT)/Registered Veterinary Technician (RVT) approved by Horse Racing Alberta may be contracted to administer furosemide and collect blood samples for the EIPH Program.

### 134 g Administration of Lasix *(amended 05/18)*

- (1) A person entering a race horse in a race meeting must disclose on the entry form that a horse is on the EIPH certified list.
- (2) If a horse is on the EIPH certified list, its trainer or the trainer's licensed representative must, before the horse competes,
  - (a) ensure that the horse does not receive furosemide for at least 36 hours before the race, except in accordance with clause (c);
  - (b) (i) if a Thoroughbred or Quarter Horse, be present at the horse's stall to witness and assist if required, the administration of furosemide;

- (ii) if a Standard bred, the trainer or his authorized representative must report with the horse to the test barn at the appointed time for the injection and assist if required, the administration of furosemide;
  - (c) ensure that the licensed veterinarian or licensed Animal Health Technician (AHT)/ Registered Veterinary Technician (RVT) administers intravenously not less than 150 mg and not more than 250 mg of furosemide to the horse between 4 hours and 15 minutes and 3 hours and 45 minutes before the published post time of the race in which the horse is entered.
- (3) The stewards/judges board must scratch a horse from a race if the requirements of this section are not met.

**135 g Misrepresentation of certification** *(amended 05/18)*

A person who knowingly misrepresents that a horse is or is not on the certified EIPH list violates these rules.

**136 g Decertification** *(amended 05/18)*

The official veterinarian may remove the name of a horse from the EIPH certified list after the expiration of 100 days from its most recent certification on application on the prescribed form by the horse's trainer.

**137 g Out of Province EIPH Programs** *(amended 05/18)*

A horse from a jurisdiction, other than Alberta, which is racing in that jurisdiction under an EIPH Program must race under the EIPH Program in Alberta unless the horse

- (a) has been in an EIPH Program for more than 100 days, and
- (b) is decertified in accordance with these rules.

**138 g List of EIPH certified horses to be provided** *(amended 05/18)*

- (1) At least 5 hours before post time of the 1st race on any horse race program, the racing secretary must provide the test inspector with a list of the EIPH certified horses participating in that program.
- (2) The racing secretary must
  - (a) ensure that the appropriate symbol for furosemide use appears in the daily program for each EIPH certified horse,
  - (b) provide on the daily racing program the appropriate symbols approved by the stewards/judges board
    - (i) for horses treated with furosemide,
    - (ii) for horses treated with furosemide for the start for which the program is printed, but not treated with it for their last start, and
    - (iii) for horses treated with furosemide for their last start, but not treated with it for the start for which the program is printed, and
  - (c) ensure that the daily racing program includes an explanation of the symbols.

**PART 2  
RACE MEETINGS**

**DIVISION 1  
TRAINERS' RESPONSIBILITIES**

**139 g Condition and performance of horses**

- (1) \*Trainers are each responsible for the condition and consistent performance of \*race horses in their charge.
- (2) In addition, trainers are responsible for the results of the analysis of samples from any \*horse in their charge whether or not the results of the analysis were caused or contributed to by a 3rd party, and whether or not the trainer was aware of the activities of the 3rd party.
- (3) Horse Racing Alberta may issue or post directives with respect to
  - (a) the sanctions warranted by particular violations of these rules;
  - (b) the sanctions warranted by 2nd and subsequent violations of one or more rules.

**140 g Horses trained must be owned by licensed owners**

\*Trainers may not have in their charge, in their capacity as a trainer, \*race horses owned wholly or in part by a person who is not a \*licensed owner.

**141 g Trainer to register horses**

Each \*trainer must register with the \*licensed operator all \*horses in their charge at each \*race meeting.

**142 g Representation as a trainer**

A \*trainer must not represent that they are the trainer of a \*race horse unless the trainer is in charge of and actually trains the \*horse.

**143 g Trainer appointing authorized agent**

- (1) A \*trainer may appoint an authorized agent to act on behalf of the trainer for the purpose of making entries, nominations and \*scratches only.
- (2) An authorized agent may not represent more than one trainer.

**144 g Attention to horses at race meetings**

- (1) \*Trainers must
  - (a) attend their \*horse in the paddock,
  - (b) be present to supervise the preparation of the horse, unless with the prior permission of the \*judges/stewards board another licensed trainer is sent as a substitute, and
  - (c) report promptly to the \*official veterinarian the sickness, unsoundness, or injury of any horse in their charge that is entered to \*race.

- (2) If a horse being shipped that is entered in a race must be \*scratched because of injury, sickness or unsoundness, the trainer of that horse, if requested by the official veterinarian, must provide a certificate to the official veterinarian indicating the reason for the scratch and any \*drug, \*medication, or \*foreign substance administered to the horse.

#### 145 g Trainer's obligation to exercise persons and stable employees

No \*trainer may permit an exercise person or stable employee to ride or drive a \*horse under the trainer's care anywhere on the \*licensed operator's property unless the person or employee is wearing a protective helmet of a type approved by the \*judges/stewards board.

#### 146 g Substitute trainers

- (1) A \*trainer who is absent on a \*day on which the trainer has a \*horse in a \*race, must obtain another trainer, satisfactory to the \*judges/stewards board, to act as their substitute.
- (2) A trainer who substitutes for more than 5 days is, after the 5th day, fully responsible for the horses in their charge and must accept that responsibility in writing, and be approved by the judges/stewards board.
- (3) An absent trainer remains responsible for the horses the trainer declares as \*starters and the substitute trainer is responsible for additional horses the substitute trainer declares as starters.

#### 147 t Special rules for thoroughbred racing

*(amended 05/24)*

- (1) A \*trainer may not have in their charge, in their capacity as a trainer, nor may a trainer train a \*horse, in which a \*jockey has a direct or indirect ownership interest.
- (2) Trainers must have their horses suitably shod for the track condition. In any event, should a trainer wish to race a horse without shoes, he or she may be permitted to do so with the approval of the Board of Stewards.
- (3) At thoroughbred \*race meetings, each trainer is responsible for
  - (a) the eligibility of horses in the trainer's care, and
  - (b) the accuracy of the weight shown on the \*entry form of all horses in the trainer's care, and
  - (c) any Canadian foaled thoroughbred must be registered with the Canadian Thoroughbred Horse Society prior to being allowed to race.
- (4) A trainer is jointly responsible for all acts and omissions of an assistant trainer under their supervision or who substitutes for the trainer.
- (5) A trainer who, at the request of the \*stewards board or the paddock \*judge saddles a horse that is not under the trainer's care, is not responsible for any conduct or activity relating to the horse before the horse came under that trainer's care.

#### 148 s Special rules for trainers at standardbred races

A \*trainer at a standardbred \*race meeting

- (a) is responsible for the eligibility on the \*declaration form of all \*horses in the trainer's care;

- (b) is responsible for obtaining \*eligibility certificates from Standardbred Canada for all horses in the trainer's care.

#### 149 s Trainers listed in official program – Standardbred

- (1) The principal \*trainer of a training or racing stable at standardbred \*races must be listed as the trainer in the official program and must be in good standing with \*Horse Racing Alberta.
- (2) In the event a training or racing stable requests to list an individual in addition to or other than the principal trainer in the official program, the request must be approved by the \*judges board, using the criteria in section 150(2) [Criteria-standardbred], before the individual is listed.
- (3) If a person other than the principal trainer is listed in the official program, no change may be made to this status without prior approval of the judges board.

#### 150 s Criteria for deciding on the principal trainer – Standardbred

- (1) Before any request to list someone other than the principal \*trainer in the official program at standardbred \*races is considered, the training or racing stable must
  - (a) contain a minimum of 20 \*horses currently in a race mode at any one location,
  - (b) disclose the number of trainers on the payroll of the training stable, and
  - (c) disclose the number of different stabling locations.
- (2) The \*judges board must use the following criteria to determine the identity of the principal trainer or the need to list someone other than or in addition to the principal trainer in the official program:
  - (a) the identity of the person who is responsible for the business decisions of the training or racing stable, including but not limited to business arrangements with and any payments to or from \*owners or other trainers, licensed or otherwise, veterinarians, feed companies, hiring and firing of employees, obtaining workers' compensation or proof of adequate insurance coverage, payroll, horsemen's bookkeeper;
  - (b) the identity of the person responsible for communicating with the racing secretary's office, staff manager, \*Horse Racing Alberta, owners regarding racing schedules;
  - (c) the identity of the person responsible for the principal conditioning of a horse or horses;
  - (d) the identity of the person responsible for race \*day preparation including, but not limited to, accompanying horses to the paddock, selection of equipment, authority to warm up horses before the public, and discussion of strategy;
  - (e) the total number of horses in the control of the training or racing stable.

#### 151 s Equal liability for rule violations – Standardbred

\*Trainers listed on the official program at standardbred \*races, and principal trainers, may be held equally liable for rule \*violations.



## DIVISION 2 ENTRIES AND NOMINATIONS

### 152 **f** Application of the Division

This Division applies to

- (a) thoroughbred \*horse racing,
- (b) quarter horse racing, and
- (c) other forms of flat racing approved by \*Horse Racing Alberta.

### 153 **f** Conditions on racing a horse

*(amended 05/24)*

- (1) A \*horse may only be entered in a \*horse race if
  - (a) In the case of a horse entered in a thoroughbred \*race, the horse has been registered with The Jockey Club;
  - (b) in the case of a horse entered in a quarter horse race, the horse has been registered with the American Quarter Horse Association;
  - (c) in the case of a horse entered in a race for other breeds, the horse has been registered with their respective breed organizations that are recognized by \*Horse Racing Alberta;
  - (d) registration certificates have been filed with the \*licensed operator, unless filing is excused by the \*stewards board;
  - (e) the horse is in good standing, is owned by a \*licensed owner and is in the care of and saddled by a \*trainer;
  - (f) the horse is entered in the name of the \*owner as recorded on the registration certificate or in the name of a registered lessee, or in their respective stable names.
- (2) Thoroughbred horses foaled in Canada must be registered with the Canadian Thoroughbred Horse Society prior to being allowed to race.

### 154 **f** Hurdle and flat race eligibility

For the purpose of eligibility and allowances, winners or losers of hurdle \*races are not to be considered as winners or losers on the flat, and vice versa.

### 155 **f** Before race entries are accepted

Before a \*horse is entered in a \*horse race, the following information must be registered with the \*licensed operator

- (a) name of the horse, evidence of tattooing and, if required, other evidence of identification;
- (b) name of \*owner and \*declaration of the nature of the ownership;
- (c) name of \*trainer;
- (d) description of colours that has been given to the registrar, and confirmation that the \*jockey's room superintendent has a set of the colours;
- (e) stable name, if any;
- (f) information about any alteration of the sex of the horse.

### 156 **f** How race entries are made

- (1) Entries and nominations for a \*horse race must be made in writing and signed by the \*owner or the \*trainer, or the authorized agent for one of them, and for entries, must name the \*jockey.
- (2) However, a \*horse named in the official \*entry list and not \*scratched, is considered to have been properly entered.
- (3) Entries may be made by fax, email, or telephone, but must be promptly confirmed by the entrant, in writing, to the racing secretary.
- (4) The racing secretary is to decide whether an entry under subsection (3) has been properly made.

### 157 **f** Limitation on entries

*(amended 06/19)*

- (1) A horse may only be entered in a race if
  - (a) the horse is not on the starter's list, steward's list or the veterinarian's list;
  - (b) the horse is tattooed, or if required, other evidence of identification, and a record of the tattoo, or if required, other evidence of identification, appears on the registration certificate and the tattoo number, or if required, other evidence of identification, is registered with the Thoroughbred Protective Bureau, or other breed registry recognized by Horse Racing Alberta.
- (2) A horse may not be entered
  - (a) in 2 or more races on the same day, at the same race meeting, or
  - (b) in 2 or more races at different race tracks on the same day.

### 158 **f** Overnight entries

Entries in overnight events close at the time designated by the racing secretary and no \*entry may be accepted after that time, unless \*races do not fill, in which case additional time may be allowed by the racing secretary for entries to the race.

### 159 **t** Races declared off

When a \*race is declared off, the names of the \*horses entered to race are to be announced during the calling of entries.

### 160 **t** Horses owned or trained by the same person *(amended 03/23)*

- (1) In all \*races except \*sweepstakes, not more than two (2) \*horses owned or trained by the same interest may be entered in the same race, except when, the third (3) horse;
  - (a) "A" Circuit tracks the third horse makes the field larger than seven (7) horses,
  - (b) "B" Circuit tracks the third horse makes the race field larger than six (6) horses,
  - (c) "C" Circuit tracks the third horse makes the race field larger than four (4) horses.

If the race overfills and is not divided, the third entry holds no preference over any single or double entries. The second part of the entry, if the race overfills and is not divided, the second part of the \*entry will be:

- (a) if running in different ownership to the first part, preferred over a single entry but only if it has superior preference to the single entry, or
  - (b) if the entry has common ownership, the second part must not start to the exclusion of a single entry unless the single entry is an in-today, in which case they would draw to get into the race.
- (2) If the second part of an entry is an in-today, all other interests will have preference to it in drawing into the race.

### 161 **t** Unrecognized race meetings

If a \*horse has raced in unrecognized meets, the lines for the last 6 starts of the horse must be registered with the \*licensed operator before the horse may be entered in a \*race, and the racing secretary must draw these performance lines to the attention of the public.

### 162 **t** Cancellation of program

- (1) In an overnight event, at least 8 \*horses owned by entirely different interests must enter, or the racing secretary may declare the \*race off.
- (2) If a racing program or any portion of the program is cancelled for any reason, the overnight events are not to be run off at a later date, but a \*sweepstakes on the cancelled program may be run at a later date.

### ENTRIES IN MAJOR THOROUGHBRED RACES

#### 163 **t** Prohibitions on entries *(amended 03/21)*

- (1) Subject to subrule (2), if a \*horse is aged 13 years or more:
  - (a) the horse is ineligible for; and
  - (b) a person must not enter or start the horse in, any \*race
- (2) The \*stewards board may give their express permission for a \*horse aged 13 years to start in a \*race/s during its 13-year-old racing season, if:
  - (a) the trainer provides to the \*stewards board a veterinary report in respect of the horse's condition and suitability to race, and any other information, examination or report as required by the \*stewards board; and
  - (b) the \*stewards board are satisfied that the horse is suitable to race.
- (3) Any permission granted by the \*stewards board under subrule (2) expires at the conclusion of the \*horse's 13-year-old racing season, or earlier as provided by the \*stewards board.
- (4) Upon a \*horse turning 14 years of age, it is immediately retired and de-registered under these Alberta Rules and is ineligible to race, trial or be trained.
- (5) If a \*horse aged 13 years participates in any \*race without the permission of the \*stewards board in accordance with this rule, or if a \*horse over 13 years participates in a \*race, the \*horse may be disqualified from the relevant \*race.

#### 164 **t** Limitation on entries *(amended 05/24)*

- (1) A \*horse may only be entered in a major and minor race meeting if:
  - (a) in the case of a horse that is racing for the 1st lifetime start, the horse has had, in the presence of an official clocker, 2 qualifying workouts within 30 \*days of the day of the race for which it is entered and the results have been filed with the racing secretary and are included in the official program;
  - (b) in the case of a race of less than 6 furlongs, the horse has either started or had, in the presence of an official clocker, one qualifying workout within 30 days of the day of the race for which it is entered and the results have been filed with the racing secretary;
  - (c) in the case of a race of 6 furlongs or more, the horse has either started or had, in the presence of an official clocker, one qualifying workout of at least 5 furlongs within 30 days of the day of the race for which it is entered and the results have been filed with the racing secretary;
  - (d) in the case of a horse that has not started for 30 days or more but has had a race of 5 furlongs or more during the current calendar year, the horse must have, in the presence of an official clocker, one qualifying workout of at least 4 furlongs within 30 days of the day of the race for which it is entered, and the results have been filed with the racing secretary.

- (2) A Quarter Horse may only be entered in a major and minor \*race meeting if:
  - (a) in the case of a quarter horse is racing for the 1st lifetime start, the horse has had, in the presence of an official clocker, 2 qualifying workouts within 45 \*days of the day of the race for which it is entered, and the results have been filed with the racing secretary and are included in the official program; and
  - (b) in the case the quarter horse has not started for 45 days or more, but has had raced in the current calendar year, the horse must have, in the presence of an official clocker, one qualifying workout within 45 days of the race for which it has been entered.
- (3) If a race in the condition book is written
  - (a) in yards as the distance, all horses entered in the race would follow the Quarter Horse qualifying 45 day rule and,
  - (b) in furlongs as the distance, all horses entered in the race would follow the Thoroughbred qualifying 30 day rule.

### **PREFERRED LIST**

#### **165 t Placement on preferred list**

The racing secretary must

- (a) keep a current list of the preference status for entries into \*horse races of all \*horses, to be known as the "preferred list", and
- (b) determine and specify the limits of each classification of the preferred list.

#### **166 t Excess overnight entries**

If the number of entries in an overnight \*horse race is more than the specified number of \*horses that may start,

- (a) the \*starters for the \*race and their \*post positions are to be determined by lot drawn by the racing secretary and supervised by the \*stewards board in the presence of those making entries, taking into account the preferred list rules;
- (b) horses not drawn as entries must have their names placed on the preferred list.

#### **167 t Posting of preferred list**

The preferred list must be posted each \*day in the area designated as the \*owner's room.

#### **168 t When preferences must be claimed**

Preference must be claimed at the time a \*horse is entered for a \*race and any \*claim for that preference after the entries are called need not be recognized.

#### **169 t Preference to horses on preferred list**

- (1) \*Horses on the preferred list must be given a preference the next time they are entered in a \*horse race, if
  - (a) entered in the preferred category, and
  - (b) the preference is \*claimed when the \*entry is made.
- (2) A change of \*owner or \*trainer of a horse does not affect the preference of that horse.

#### **170 t Special preferences**

- (1) If a racing program or any portion of a program is cancelled or a \*race is declared no contest, the \*horses affected by that cancellation or \*declaration must receive a special preference.
- (2) The special preference is good in all categories except \*stakes races and is to be considered "best preference".

#### **171 t Removal from preferred list**

Once a \*horse has had an opportunity to start, the racing secretary must remove its name from the preferred list, unless it is \*scratched from paddock to post and the \*stewards board decides that the scratch was caused by another horse.

#### **172 t "in-today" entries**

- (1) When the name of a \*horse appears in the entries and the horse has had an opportunity to start, if it is entered in a \*race other than a sweepstake for the next \*day of racing, it must be classed as an "in-today".
- (2) A horse so classed that does not get an opportunity to start is not to be added to the preferred list.

### **SWEEPSTAKES**

#### **173 t Nomination, entry, and starting fees**

- (1) Conditions and payments for \*stakes scheduled by a \*licensed operator must be handled by the operator unless an organization approved by \*Horse Racing Alberta is delegated that authority.
- (2) Nomination, \*entry, and starting fees must be specified and paid in accordance with the conditions of a stakes race.
- (3) If a \*sweepstakes is not run, all fees must be returned to the nominators.

#### **174 t Entry nominations not affected by ownership change**

A nomination in a \*sweepstakes

- (a) is automatically transferred with the \*horse when a horse changes ownership by sale or \*claim, and
- (b) is not affected by the death of the nominator.

#### **175 t Handicaps and sweepstake entries**

In all \*handicaps and \*sweepstakes, \*entry must be made through the entry box before the usual time of closing on the \*day prescribed by the racing secretary, otherwise nominees are automatically out.

### 176 t Rules for sweepstake entries and preferences

- (1) Subject to subsection (2), if the number of entries in a sweepstake is more than the number of \*horses permitted to start, preference will be determined in the following sequence:
  - (a) firstly, single \*entry horses, and 1st parts of an entry;
  - (b) secondly, the 2nd and subsequent parts of an entry in different ownership than the 1st or 2nd part;
  - (c) thirdly, the 2nd and subsequent parts of an entry in the same ownership as the 1st or 2nd part.
- (2) When preference conditions of a sweepstake permit more than one part of an entry to draw into the body of a \*race, not more than 3 horses owned or trained in the same interest may be drawn into the race, unless
  - (a) the number of entries is less than the number of horses permitted to start, in which case more than 3 horses may be drawn into the race, or
  - (b) the number of entries is more than the number of horses permitted to start, in which case preference will be determined in following sequence:
    - (i) firstly, single entry horses, and 1st, 2nd, or 3rd parts of an entry, as preferred by the conditions,
    - (ii) secondly, the 4th and subsequent parts of an entry in different ownership than the 1st, 2nd, or 3rd part, and
    - (iii) thirdly, the 4th and subsequent parts of any entry in the same ownership as the 1st, 2nd, or 3rd part.
- (3) Subsection (2)(b) does not apply to Quarter Horse \*Stakes.

### 177 t Sweepstakes split into divisions

- (1) If the number of entries in a sweepstake exceeds the number of \*horses permitted to start, the racing secretary may split the \*race into divisions.
- (2) When the sweepstake is split into divisions
  - (a) the \*added money, the nomination fees, and interim fees are to be divided equally among the divisions, and
  - (b) the starting fees are to be divided in proportion to the number of horses starting in each division.

### 178 t Scheduled sweepstakes

- (1) All scheduled \*sweepstakes must be run regardless of the number of \*horses entered.
- (2) When less than 5 horses are entered, the normal purse payout applies to those horses finishing the \*race and all purse monies not paid out accrue to the horseowners' purse account.
- (3) All nomination, \*entry and \*starter's fees not paid out due to the number of participants must be paid to the winner of the race.

### STAKES AT MINOR RACE MEETINGS

#### 179 t Conditions for stakes

- (1) Conditions for \*stakes at minor \*race meetings must be approved by \*Horse Racing Alberta before publication of the stakes program.
- (2) The conditions must include the following information:
  - (a) the categories that are eligible to be nominated;
  - (b) the amount to be added to the purse by the \*licensed operator or sponsor;
  - (c) the dates and amounts of nomination and sustaining payments;
  - (d) the percentage distribution of the purse to the money winners and the formula for calculating the distribution, if the number of \*starters is less than the number of premiums advertised.

#### 180 t List of nominations

A \*licensed operator or sponsor must provide a list of nominations to each nominator and to \*Horse Racing Alberta in all early-closing stakes within 30 \*days after the date on which payments were due, including

- (a) a resume indicating the current financial status of the event by listing the number of \*horses remaining eligible, and
- (b) the amounts of nomination and sustaining payments received.

#### 181 t Two horses in the same interest

In trials for \*stakes and \*handicap \*races at minor \*race meetings, more than 2 \*horses in the same interest may be nominated and entered in the race.

#### 182 t Quarter horse racing

Pari-mutuel Quarter Horse Racing is governed by the Rules of Thoroughbred Racing unless otherwise stated.

#### 183 t Time trials

- (1) When time trials are being run, the track operator must make arrangements for 3 hand timers to be in place in the event a malfunction occurs with the electronic timer.
- (2) The individuals picked for hand timing must be acceptable to the stewards board.

### SCRATCHES - THOROUGHBRED

#### 184 t Scratches

- (1) \*Scratches in a \*sweepstakes must be made by the \*owner, the \*trainer, or their authorized agent to the racing secretary before the scratch time specified by the \*licensed operator.
- (2) In subsection (1), scratch time means the time established for \*horses listed on the also-eligibles to draw into a \*race if there is a scratch of a horse entered in the race.

### 185 **t** Scratches are irrevocable

Once a \*horse is \*scratched from an engagement, the scratch is irrevocable.

### 186 **t** Scratches in sweepstakes races

Late \*scratches in a \*sweepstakes will be considered by the \*stewards board up to one hour before \*post time of the \*race.

### 187 **t** Scratches in overnight races

In overnight \*races, no \*horse, including any part of a multiple \*entry, may be \*scratched without cause acceptable to the \*stewards board.

### 188 **t** Scratches for veterinary reasons

A \*horse \*scratched by the \*official veterinarian or for veterinary reasons may not be entered in another \*race for at least 48 hours from the date it was to race, and then only if it has been approved for \*entry by the official veterinarian.

### 189 **t** Post positions after scratches

- (1) When \*scratches reduce the body of a \*race, the \*horses left in the race are to move into the lower numbered \*post positions before any horses are drawn from the also-eligibles.
- (2) Horses drawn from the also-eligibles take the place of horses scratched from the list of \*starters and must take the lower number open-post position in the order in which they are drawn.

### 190 **t** Horses on official program must start

Each \*horse whose name appears on the official program must start unless excused by the \*stewards board, and no horse may start unless its name appears on the official program.

## DIVISION 3 WEIGHTS, ALLOWANCES, AND PENALTIES

### 191 **t** Top weight in major thoroughbred racing

- (1) In major thoroughbred \*races exclusively for 2-year olds \*bred in Canada, the top weight must not exceed 120 pounds, except in \*stakes and \*handicap races when the top weight must not exceed 128 pounds.
- (2) In races exclusively for 2-year olds, the weight is to be 122 pounds.
- (3) In races exclusively for 3-year olds or 4 year olds, the weight is to be 126 pounds.

### 192 **t** Minimum weight in major meetings

In major thoroughbred \*races,

- (a) every \*horse must carry at least 95 pounds weight, and
- (b) except in \*handicaps,
  - (i) 2-year old fillies are to be allowed 3 pounds, and
  - (ii) 3-year old or older fillies and mares are to be allowed 5 pounds before September 1, and 3 pounds after that date.

### 193 **t** Weight range in minor meetings

*(added 02/19)*

At minor thoroughbred \*racing meets, no \*horse may carry less than 120 pounds or more than 130 pounds in any \*race, without the consent of the \*stewards board.

A Quarter Horse entered in a race in Alberta may not carry less than 124 pounds or more than 130 pounds in any race, without the consent of the steward's board.

## PENALTIES AND ALLOWANCES

### 194 **t** Weights named in conditions

Weights named in the conditions of a thoroughbred \*horse race are effective at the time the \*race starts, and penalties incurred or allowances forfeited between the time of \*entry and the start must be applied as the case requires.

### 195 **t** Penalties obligatory, allowances optional

- (1) Penalties are obligatory, but allowances are optional as to all or any part of them.
- (2) In overnight events, allowances must be \*claimed at the time of \*entry.

### 196 **t** Penalized horses not entitled to allowances

- (1) \*Horses penalized in a \*horse race are not entitled to any of the allowances in the \*race.
- (2) Horses not entitled to the 1st allowance in a race are not entitled to the 2nd and, if not the 2nd, then to no subsequent allowances.

### 197 **t** Winner after weights published

A winner of a \*handicap, after weights have been published for a future overnight handicap, must carry a penalty of 3 pounds.

## 198 † Horses foaled in Canada

In \*maiden and \*claiming races that are not restricted to Alberta or \*Canadian bred horses, a weight allowance of 3 pounds is to be made for 2-year olds foaled in Canada that are registered with the Canadian Thoroughbred Horse Society.

## DIVISION 4 APPRENTICE JOCKEYS, JOCKEYS, AND JOCKEY'S AGENTS

### 199 † Apprentice jockey certificate

- (1) \*Horse Racing Alberta may, in respect of thoroughbred racing at major \*race meetings, grant to an applicant an apprentice \*jockey certificate for a period of 3 years if the applicant
  - (a) is at least 16 years old,
  - (b) has never previously been licensed anywhere as a jockey at a recognized thoroughbred race meeting,
  - (c) has been approved out of the starting gate by the \*starter,
  - (d) has been approved by the \*stewards board, and
  - (e) is not under suspension by another jurisdiction having jurisdiction similar to Horse Racing Alberta.
- (2) A person under 18 years old must have their parent's or guardian's consent to the application.

### 200 † Allowances for apprentice jockeys

- (1) An apprentice \*jockey at a major thoroughbred \*meeting may \*claim in all overnight \*races, except \*sweepstakes and \*handicaps, an allowance of
  - (a) 10 pounds in races up to and including the 5th winner, and
  - (b) 5 pounds in subsequent races during the period of one year following the date of the 5th winner.
- (2) If, within the year referred to in subsection (1), an apprentice jockey has not ridden 40 winners, the 5 pounds allowance continues during the balance of the term of the certificate or until the jockey has ridden 40 winners, whichever occurs first.

### 201 † When allowances must be claimed

- (1) Allowances must be \*claimed no later than the drawing of entries and the \*owner, \*trainer, or authorized agent concerned is not entitled to abandon any allowance to which an apprentice \*jockey is entitled without permission of the \*stewards board, who may grant or withhold the permission as they consider appropriate.
- (2) The allowance must be designated on the \*entry sheets as follows:
  - (a) 10 pounds – xx;
  - (b) 5 pounds – x.

## 202 † Apprentice jockeys not to ride in sweepstakes without permission

An apprentice \*jockey may not ride in \*sweepstakes and \*races for 2-year olds before the jockey has ridden 10 winners, unless the \*stewards board otherwise permits.

## 203 † Time allowances

- (1) A time allowance in addition to one calendar year from an apprentice \*jockey's 5th winner will be made for an apprentice jockey who does not accept riding engagements after the end of the Alberta horse racing season, but if an apprentice jockey accepts riding engagements between the Alberta horse racing seasons, the time allowance will revert to the end of the Canadian horse racing season.
- (2) If an apprentice jockey is incapacitated for 30 \*days or more by injury, sickness, or other valid reasons, the \*stewards board may extend the jockey's time allowance.

## 204 † Jockey certificates

\*Jockey certificates in force in Alberta and elsewhere will be recognized by \*Horse Racing Alberta only if the \*stewards board is satisfied about all the information and endorsements on the certificate relating to each win by the apprentice jockey.

## 205 † Wins to be recorded

The \*stewards board must record each win by an apprentice \*jockey on the jockey's certificate.

## JOCKEYS

### 206 † Entry to jockey's room limited

- (1) No person may enter the \*jockey's room on \*race day except
  - (a) \*racing officials,
  - (b) representatives of \*Horse Racing Alberta,
  - (c) jockeys, and
  - (d) jockey's room attendants.
- (2) The jockey's room superintendent is responsible for refusing to permit unauthorized persons from entering the jockey's room.
- (3) The use of any communication device in the jockey's room is prohibited unless the use is authorized by the jockey's room superintendent.

### 207 † Attendance at the jockey's room

*(amended 05/24)*

- (1) \*Jockeys must attend at the jockey's room each \*day of the \*race meeting at least one hour before post time of any race in which they are programmed to ride, unless excused by the Stewards.
- (2) Jockeys must remain in the jockey's room until their engagements for the day have been completed.
- (3) After leaving the jockey's room the jockey must not return without the consent of the jockey's room superintendent or the superintendent's designate.
- (4) Jockeys must fulfill all engagements in respect to racing unless excused by the \*stewards board.

### 208 t Jockey's dress

- (1) Each \*jockey must be neat in appearance and properly dressed.
- (2) During \*horse races a jockey must wear a protective riding helmet and flak jacket both of a type approved by the \*stewards board.
- (3) Jockeys must provide their own helmets, saddles, lead pads, as well as boots and white riding breeches, and protective flak jackets.

### 209 t Riding Crop Requirements

(amended 03/20)

- (1) No riding crop may weigh more than ½ pound.
- (2) No riding crop may be used in a \*horse race unless:
  - (a) A cushioned riding crop with a soft popper, no less than 6 inches
  - (b) There is no stitching on the end or sides,
  - (c) It is made of leather, or other material approved by the \*stewards board,
  - (d) It is not less than 1 ¼ inches in width,
  - (e) Unaltered from original manufacturer.
- (3) No riding crop may exceed 30 inches in length.
- (4) Must be approved by the Board of Stewards.

### 210 t Use of riding crops

(amended 05/24)

- (1) In a \*race in which a \*jockey will not ride with a riding crop; an announcement of that fact must be made over the public address system.
- (2) Although the use of riding crop is not required, any jockey who uses a riding crop during a race must not apply to a \*horse:
  - (a) On the head, flanks, or on any part of its body, other than the shoulders or hind quarters;
  - (b) During a post parade;
  - (c) Excessively or brutally, so as to cause welts or breaks in the skin;
  - (d) When the horse is clearly out of the race has obtained its maximum placing;
  - (e) Persistently, even though the horse is showing no response under the riding crop.
- (3) Correct uses of the riding crops are:
  - (a) Showing horses, the riding crop before urging them,
  - (b) Using the riding crop in rhythm with the horse's stride,
  - (c) Using the riding crop as an aid to maintain a horse running straight,
  - (d) Jockeys may use the riding crop on the hindquarters to activate and focus the horse a maximum of six times during a race. The six permitted uses shall be in increments of two or fewer strikes. The rider must allow at least two strides for the horse to respond before using the riding crop again.
  - (e) Jockeys may tap the horse on the shoulder with the riding crop while both hands are holding on to the reins and both hands are touching the neck of the horse.

### 211 t Riding and valet fees

In the absence of a contract, \*jockey's riding fees for thoroughbred \*horse racing must be prescribed by the \*licensed operator and, in the case of contract mounts, valet fees must be paid according to the scale adopted by the operator.

### 212 t Replacement jockeys

By agreement of the Jockey's Benefit Association of Canada and the Horsemen's Benevolent and Protective Association, an \*owner or \*trainer who, with the consent of the \*stewards board replaces a \*jockey engaged to ride a \*horse in a \*race, may be directed by the stewards board to pay not less than the losing mount fee and not more than the winning mount fee.

## JOCKEY'S AGENTS AT MAJOR THOROUGHBRED MEETINGS

### 213 t Appointment of agent

\*Jockeys may only engage, as their agent, a licensed jockey agent.

### 214 t Engagements booked by agents

A licensed \*jockey agent may, with respect to major thoroughbred \*horse race \*meetings, book engagements for

- (a) not more than 2 jockeys and one apprentice jockey;
- (b) not more than 2 apprentice jockeys and one jockey;
- (c) with the permission of the \*stewards board, 3 jockeys.

### 215 t Engagement book

- (1) The \*stewards board may require a \*jockey's agent to maintain an engagement book, provided by the \*licensed operator, which must contain slips on which engagements made for jockeys are to be recorded.
- (2) The slips must
  - (a) be made in duplicate,
  - (b) record the name of the jockey, the \*day and number of the \*race for which the engagement is made,
  - (c) whether there is a 1st or subsequent calls on the services of the jockey named on the slip, and
  - (d) be signed by the jockey's agent and the \*owner or \*trainer of the \*horse concerned or their authorized agent.

### 216 t Disputes

In the case of a dispute over a call, the engagement slip must be produced, but the decision of the \*stewards board is final.



## DIVISION 5 - RACE DAY

### SUBDIVISION 1 PRE-RACE PREPARATION SHIP-INS

#### 217 g Drivers of horse-carrying vehicles

Drivers of \*horse-carrying vehicles wishing to enter the \*race track barn area must

- (a) produce, on request, paper-work properly identifying each horse as well as the starting point and destination of each animal, and
- (b) be accompanied by a \*licensed owner, licensed \*trainer, or the licensed agent of either of them, or be otherwise approved for \*entry by \*Horse Racing Alberta.

#### 218 g Race horses shipped in (amended 04/23)

- (1) When \*race horses are shipped-in to participate in a \*horse race the following rules apply:
  - (a) the \*horses must be registered for racing with and accepted for \*entry by the racing secretary and be fully eligible to participate in a \*race meeting in every respect in accordance with these rules, but nothing in this rule affects the right of a \*licensed operator to select which horses it will accept for racing on its premises;
  - (b) horses must arrive as follows:
    - (i) a thoroughbred or quarter horse entered for a \*race at any racetrack in Alberta must arrive at the \*race track no later than 10:00 on the \*day of the race for a Veterinarian check regardless of post-time;
    - (ii) a standardbred horse entered for a race at any racetrack in Alberta must arrive at the race track no later than 4 hours and 15 minutes in advance of the first post-time;
  - (c) a horse that is late arriving on race day may be \*scratched by the \*judges/stewards board;
  - (d) \*trainers must file with the judges/stewards board the name and location of the premises in which they intend to board race horses and from which they intend to ship for racing;
  - (e) the onus for the security of the horse remains with the trainer under the trainer responsibility rule and the shortest and most direct route must be taken, without stops, when race horses are shipped;
  - (f) personnel entering the security area at the race track with shipped-in horses must be licensed under these rules;
  - (g) a trainer racing a horse under the "ship-in" rule that tests positive for a prohibited substance may lose their ship-in privileges for at least one year, or such longer period as a judges/stewards board specifies following completion of their suspension.
- (2) It is a \*violation of these rules for a trainer of a shipped-in horse to fail to present their horse for an appointment at a race track.
- (3) A horse that is entered to race and is stabled on or shipped onto the race track grounds, must remain on the premises until such time as the horse has raced. Exceptions would only be made by the \*stewards/judges permission or in the case of an emergency.

## THE PADDOCK

### 219 g Persons allowed in the paddock

Only the following persons are entitled to admission to or to be in the paddock area designated by the \*licensed operator

- (a) when a \*horse is competing on the \*day of the \*race and is in the paddock, the horse's \*licensed owner, \*trainer, \*jockey, driver, and groom,
- (b) representatives of \*Horse Racing Alberta,
- (c) \*racing officials, and
- (d) persons authorized by the paddock \*judge.

### 220 t Attendance in the paddock at thoroughbred race meetings

Thoroughbred \*horses must be saddled in the paddock and accepted by the paddock \*judge in sufficient time before the start of the \*race in which they are entered.

### 221 t Parade in the paddock

- (1) After saddling, all thoroughbred \*horses paraded in the paddock must be walked without blankets, unless excused by the \*official veterinarian, so that a satisfactory examination by spectators is assured.
- (2) A thoroughbred horse may not wear any bandages in the paddock other than those in which the horse is to \*race.

### 222 s Arrival of horses in the paddock at standardbred meetings

- (1) Standardbred \*horses must be in the paddock at least one hour before \*post time of the \*race in which they are to compete.
- (2) Except for warm-up trips, no horse may leave the paddock until called to the post.

### 223 s Driver's report time (amended 03/20)

- (1) Drivers must report to the paddock judge at least one hour before post time of any race in which they are programmed to drive, unless excused by the Judges.
- (2) When programmed to drive in a race that is part of a feature pool, drivers must be in the paddock at least one hour before post time of the race which comprises the 1st part of the feature pool, unless excused by the judges board.
- (3) Drivers programmed to drive in Standardbred races when advanced wagering takes place on any feature betting race must make their presence known to the paddock judge before the start of the advance wagering.
- (4) Drivers must provide a breath sample for analysis, to a person authorized by law or by these rules to require a sample,
  - (a) at the time they are required to report to the paddock judge, and
  - (b) at any other time during the race meeting, on request of an authorized person.

### 224 s Limitation on numbers in the paddock

At standardbred \*horse races, not more than 2 members of a registered stable may be in the paddock on any racing \*day, unless the \*judges board otherwise permits.

## 225 s Tongue ties

At standardbred \*race meetings

- (a) tongue ties may only be applied in the paddock before a \*race and under the supervision of the paddock \*judge or assistant, except for training,
- (b) the tongue ties must be supplied by the \*licensed operator at a fee prescribed by it,
- (c) no tongue tie may be used more than once, and
- (d) strap tongue ties are not permitted unless
  - (i) supplied by the licensed operator,
  - (ii) applied in the paddock before a race, and
  - (iii) applied under the supervision of the paddock judge or assistant.

## 226 g Numbers

(amended 02/19)

Each horse in a Thoroughbred or Quarter Horse race must carry a conspicuous saddle cloth number and a head number both of which must correspond to its number on the official program.

## 227 g Equipment changes prohibited

After a \*horse has raced, no change may be made in the equipment used in the \*race for the next race, without permission of the \*judges/stewards board.

## WEIGHING OUT

### 228 f Jockeys to be weighed out

- (1) Before the time fixed for each \*race, \*jockeys must be weighed out for their respective mounts by the clerk of the scales or jockey's room superintendent.
- (2) A jockey's weight is to include clothing, saddle, and attachments.
- (3) Section 231 [Treatment of flak jackets] applies to the weight of flak jackets.
- (4) All weights must be true weights without any tolerance, but if the scale shows a fraction of a pound over, that fraction is to be considered a full pound by the clerk of the scales and all other \*racing officials.

### 229 f Substitute jockeys

If a \*jockey is substituted after the original jockey has weighed out

- (a) the substitute jockey must be weighed as promptly as possible, and
- (b) the name of the substitute and the substitute's weight must be publicly announced and posted.

### 230 f Jockey's carrying overweight

- (1) If a \*jockey intends to carry overweight, the jockey must declare the amount of the overweight to the clerk of the scales and the overweight must be publicly announced and posted.

- (2) 5 pounds is the limit of overweight any \*horse is allowed to carry, however
  - (a) if a \*trainer has arranged to waive allowances previously \*claimed, an allowance may be waived with the permission of the \*stewards board, or
  - (b) an \*owner or their representative, in the absence of sufficient allowance, may request an overweight in excess of 5 pounds in all \*sweepstakes and the stewards board may grant the request if they believe it is in the best interests of \*horse racing.

### 231 f Treatment of flak jackets

- (1) A flak jacket must
  - (a) weigh 1 1/2 pounds, and
  - (b) be weighed separately by the clerk of the scales on a random basis.
- (2) The weight of a flak jacket is not to be included in the weighing out and weighing in process except in weight for \*age \*stakes races approved by the \*stewards board.

## SUBDIVISION 2 THE RACE / THE START

### 232 g Exclusions from the race course

After the \*horses are ordered to the starting post and until a \*race has been run, no person may enter or be on the course, except \*racing officials.

### 233 f Starter's authority

- (1) \*Horses must parade from paddock to the starting post carrying full weight and riders and when parading must stay in line according to their numbers, unless an accident occurs or the \*starter otherwise permits.
- (2) Horses are under the supervision and control of the starter from the moment they leave the paddock and step on the track until the gate is released, or the flag is dropped, indicating the start of the \*race.
- (3) When \*race horses are under the starter's supervision and control they are not entitled to any further care from their attendants, but if an accident happens to \*jockey or equipment the starter may permit the jockeys to dismount and the horses to be cared for during the delay, otherwise no jockey may dismount.

### 234 f Jockeys to obey the starter and not to take unfair advantage

- (1) \*Jockeys must obey the orders of the \*starter.
- (2) A jockey must not take or attempt to take any unfair advantage at the start of a \*race.

### 235 g Schooling

- (1) A \*horse must be schooled in starting if required by the \*starter.
- (2) 2-year-olds and other non-starters must be schooled at the starting gate before the horse may start in a \*race, and the starter must give permission before the horse may start.
- (3) A 1st time starter in a thoroughbred \*horse race may not wear blinkers, unless schooled with blinkers from the starting gate and approved by the starter.

### **236 g Unmanageable horse**

A \*race horse that is unmanageable at the starting gate, or does not start properly, may subsequently be refused \*entry until the \*starter is satisfied that the \*horse's conduct has been corrected.

### **237 t Location of the start**

All \*races must be started from a starting gate, unless otherwise ordered by the \*stewards board.

### **238 t Starting doors not opening**

- (1) If the doors at the front of a stall of the starting gate do not open when the \*starter starts the field, causing a \*horse to be left, the starter must immediately report the name of the horse to the \*stewards board.
- (2) If the stewards board, after consultation with the starter, considers that a horse did not receive a fair start, through no fault of the horse or the \*jockey, they may declare the horse to be a nonstarter.
- (3) The stewards board must
  - (a) order money wagered on a horse declared a nonstarter under this section, deducted from the pool and refunded to the purchasers of tickets on that horse, and
  - (b) order any nomination, \*entry, or starting fee to be refunded.

### **239 t Horse leaving the gate**

If one \*horse of an \*entry, or one of the horses grouped in the field leaves the gate, there is to be no refund on the entry nor on the field.

## **FROM POST TO FINISH**

### **240 t During the race**

After the start of a \*race, when clear, a \*horse may be taken to any part of the course.

### **241 t Straightaway races**

In a straightaway \*race, every \*horse must maintain a position as nearly as possible in the lane in which it starts.

### **242 t Best and fastest race**

Unless it has been injured or is obviously suffering from some physical impairment, every \*horse in every \*race

- (a) must be ridden so as to finish 1st or as near as possible to 1st, and show the best and fastest race it is capable of at that time, and
- (b) not be eased up or coasted, even if it has no apparent chance to win 1st, 2nd, 3rd or 4th prize, so that the record of that race may, as truly as possible, show its real ability.

## **WEIGHING-IN**

### **243 t Jockeys to be weighed**

- (1) After a \*race finishes, \*jockeys must ride to the designated weighing-in place and, after obtaining the permission of the \*stewards board, must dismount and be weighed by the clerk of the scales.
- (2) If a jockey is prevented from riding to the weighing-in place because of accident or illness the jockey may, with the consent of the stewards board, walk or be carried to the scales, or may be excused from weighing.

### **244 t Unsaddling**

Unless excused by the \*stewards board, every \*jockey must unsaddle their own \*horse and must not deliberately touch any person or thing other than their own equipment before weighing in.

### **245 t Assistance to jockeys prohibited**

No person may assist a \*jockey in taking equipment off their \*horse, except with the permission of the \*stewards board.

### **246 t Horses not to be covered until equipment removed**

No person may cover a \*horse at the dismounting place until its equipment has been removed.

### **247 t Disqualification**

If a \*jockey

- (a) fails to attend the weigh in,
- (b) is more than 2 pounds short in weight, or
- (c) misrepresents or misleads about their weight or weighing, the jockey is liable to fine or suspension, or both, and the \*horse may be disqualified.

## **THE FINISH**

### **248 g The winner**

The \*horse whose nose first crosses the finish line wins the \*race.

### **249 g Dead heats not to be run off**

When \*horses run a dead heat, the dead heat is not to be run off.

### **250 g Divided first place winners**

Each \*horse that divides a prize for 1st place is a winner.

### **251 g Dead heat prizes**

- (1) When 2 or more \*horses finish in a dead heat for 1st place the prizes allocated for 1st and 2nd finishing horses must, if possible, and subject to subsection (2) be divided equally between those horses that finished in a dead heat, and the same principle applies to:
  - (a) a division of prizes between whatever the number of horses that finish in dead heats, and

(b) whatever the finish position in which the dead heat occurs.

- (2) If a non-monetary prize cannot be divided equally or otherwise among persons entitled to it, the \*judges/stewards board may decide the matter by drawing lots for the prize.

#### **252 f Jockey's fees**

- (1) In a dead heat, the \*jockeys involved are to divide equally the fees they would have received individually had one beaten the other.
- (2) Despite subsection (1), in the event of a dead heat for 1st place in any \*race, the horsemen's bookkeeper may pay each of the 2 winning jockeys 10 percent of half of the combined base purses for 1st and 2nd \*horses.

#### **253 g Effect of disqualified horse ahead of dead heat**

If a \*horse finishing in front of the dead heat is disqualified, the horses that finished in the dead heat are to be considered to have finished the \*race in a dead heat for the position the disqualification places them, but a win race record may not be recorded for a standardbred \*race horse.

#### **254 g Walkovers**

- (1) A \*horse must complete the \*race course in a \*walkover in order to claim any money.
- (2) A walkover by a horse entitles it to 1/2 of the \*added money offered to the winner together with all \*stakes fees, and the monies payable to 2nd and lower place horses in a race accrue to the horsemen's purse account.
- (3) If a walkover is the result of an arrangement between \*licensed owners, the \*judges/stewards board may decide that none of the added money, nor any other prize, need be given.

#### **255 g Official race results**

- (1) The results of a \*horse race are not official until so declared by the \*judges/stewards board.
- (2) A photo-finish device, approved by the Canadian Pari-Mutuel Agency, may be installed at a \*race track to help determine the finishing order of \*horses in a \*race, but the results of the device are not binding.

#### **256 g Purse money**

*(amended 02/17)*

The purse money for each horse race is not to be paid out until at least 72 hours after the end of the race. Stake races will not be paid out for a minimum of fifteen (15) days or until cleared by the Board of Stewards/Judges.

### **WINNINGS**

#### **257 g What are winnings**

*(amended 04/22)*

- (1) For the purpose of determining eligibility and allowances only, the winning of a fixed sum is the value of a \*race to the winner.
- (2) A Quarter Horse is considered a winner regardless of the money earned.

#### **258 g Determining the value of winnings**

In \*sweepstakes, all nominations, \*entry, and starting fees paid on the account of the winner must be included in determining the value of the winnings.

#### **259 g Winnings held pending objections**

Before an objection is determined, any moneys which the \*horse the subject of the objection may have won are to be held by the \*licensed operator until the objection is determined.

#### **260 g Winnings during a year**

Winnings during a year are all purse money won from 1 January to the following December 31 including

- (a) winnings in all \*horse races in any country, and
- (b) dividings and \*walkovers.

### **SUBDIVISION 3**

### **TESTING FOR DRUGS, MEDICATIONS, AND FOREIGN AND PROHIBITED SUBSTANCES**

#### **261 g Samples after each race**

After each \*horse race, samples must be obtained by test inspectors authorized under the Pari-Mutuel Betting Supervision Regulations (Canada), as amended from time to time, from those \*horses designated by the \*judges/stewards board or the \*official veterinarian, or both, and the samples must be handled and analysed in accordance with those regulations.

#### **262 g Care of horse before sample taken**

When a sample is to be taken from a \*horse after a \*race, nothing may be administered or given to the horse, other than pure drinking water, until the samples have been taken, unless the \*judges/stewards board otherwise permits, and in that case whatever is provided or administered must be provided or administered in the presence of the \*official veterinarian.

#### **263 g Blood sample readings**

*(amended 07/21)*

- (1) A licensed \*trainer having the care, custody, control or management of a \*race horse, and any other person having care and custody of the \*horse, violates these rules if a blood
- (a) sample is taken from the horse, before or after a \*race, showing a reading of plasma total carbon dioxide content of 36 or more millimoles per litre, or
- (b) if the horse is treated with furosemide under the \*EIPH Program, a reading of plasma total carbon dioxide content of 38 or more millimoles per litre.
- (2) A violation under subsection (1) is prima facie evidence that the race horse has been administered a foreign substance or a prohibited substance for the purpose of altering the performance of the horse in violation of these rules.

### **264 g Detection of drugs, medication, or foreign substances is prima facie evidence**

The detection of a \*drug, \*medication, or \*foreign substance in a sample taken from a \*race horse constitutes prima facie evidence that the performance of the \*horse was affected by the drug, medication, or foreign substance, and that it was administered by the \*trainer and any other person or persons having care and custody of that horse.

### **265 g Certificate of positive analysis**

- (1) A certificate of positive analysis of an official sample completed in accordance with Part V of the Pari-Mutuel Betting Supervision Regulations (Canada),
  - (a) purporting to be signed by one or more official chemists,
  - (b) stating that the chemist or chemists has or have analyzed or examined the substance, and
  - (c) stating the result of the analysis or examination, is admissible in evidence in any hearing before the Appeal Tribunal or the judges/stewards board.
- (2) In the absence of evidence to the contrary, the certificate described in subsection (1) is proof of the statements contained in the certificate without proof of signature or official character of the person or persons appearing to have signed the certificate.
- (3) The party against whom a certificate of positive analysis of an official sample is produced at any hearing may require the attendance of the chemist or chemists for the purpose of cross-examination.

### **266 g Effect of drugs**

In the case of a positive test of a sample taken from a \*race horse, the \*drug, \*medication, or \*foreign substance found are to be considered to have the therapeutic effect classification designated in pharmaceutical reference books recognized by the \*judges/stewards board.

### **267 g Positive test results in disqualification** *(amended 03/21)*

- (1) If a test detects a \*drug, \*medication, or \*foreign substance in the \*horse's system in \*violation of these rules, the horse is disqualified and the order of finish in the \*race must be revised by the \*judges/stewards board.
- (2) An \*owner of a horse disqualified as a result of the detection of a drug, medication, or foreign substance must pay the \*jockey or driver of the horse on the basis of the original, not revised, order of finish unless the driver is the trainer of the disqualified horse.
- (3) Notwithstanding a request pursuant to Rule 268 and Directive 091-2019 the \*trainer of a horse from which a test of the following classes of drugs, \*medication or foreign substance in the horse's system in \*violation of these rules is suspended from racing any horses that are entered or transfer any horses pending a hearing with the board of judges/stewards. Any horses entered will be scratched.
  - (a) Class I;
  - (b) Class II;
  - (c) Class III

### **268 g Repeat of tests**

*(amended 04/22)*

- (1) If a licensee is found culpable by the judge/stewards board with respect to a positive test for a prohibited drug in a horse under the licensee's care, the licensee may, at their own expense, arrange for a repeat test at a laboratory accredited by a recognized national accrediting body under ISO/IEC 17025, and is also known as a laboratory that does analysis on equine samples, on any residue of the urine, blood or saliva originally tested, if in the opinion of the official laboratory that has handled the initial testing
  - (a) there is sufficient quantity of the residue remaining for a proper test to be conducted, and
  - (b) the sample has not suffered degradation to the extent that the retesting results would be inconclusive..
- (2) Once a test of a sample has been requested, any movement of that sample is under the control of Horse Racing Alberta, the Canadian Pari-Mutuel Agency and the official laboratory that handled the initial testing.
- (3) A request for the release of an official sample residue must be made by the Originator (owner or trainer) to the Provincial Regulatory Body and the Canadian Pari-Mutuel Agency within 21 calendar days from the date of issue indicated on the Certificate of Positive Analysis..

### **269 g Out of Competition testing program**

- (1) Horse Racing Alberta may order that biological samples, including but not limited to blood, hair, saliva and urine, be taken from a horse at any time or place and without prior notice.
- (2) When an order for a biological sample is made, the sample must be taken by a \*licensed veterinarian designated by Horse Racing Alberta or an official veterinarian, to determine whether or not the horse has any \*drug, \*medication or \*foreign substance in its system.
- (3) When an order for a biological sample is made by Horse Racing Alberta, the horse must be made available forthwith,
  - (a) by the \*licensed owner or the \*trainer of record of the horse,
  - (b) if the licensed owner or the trainer are not readily available, by any assistant trainer, or
  - (c) if there is no assistant trainer, or if no assistant trainer is readily available, by any groom employed by the trainer of record of the horse.
- (4) The failure or refusal, following notification to make a horse available forthwith for a biological sample to be taken in accordance with an order by Horse Racing Alberta is a violation of these rules and may result in one or more of the following:
  - (a) the horse may be scratched from any race it is entered into or subsequently entered into;
  - (b) the owner or trainer may be prohibited from entering any horse in future races in Alberta.
- (5) No licensee, other than those authorized by Horse Racing Alberta, may obtain biological samples from any horse located off the grounds of a race track for the purpose described in these rules.

- (6) Horse Racing Alberta may direct its laboratory to retain and preserve biological samples for future analysis.
- (7) Horse Racing Alberta may fix a time period that biological samples are to be stored, and may order the destruction of stored samples after that fixed time period has expired.

## **PART 3 HORSE RACING MISCONDUCT**

### **DIVISION 1 FOULS AND OBJECTIONS**

#### **270 g Fouls**

A foul is committed when

- (a) a \*horse, \*jockey or driver interferes, intimidates or impedes another horse, jockey, or driver, or
- (b) a jockey or driver strikes another horse, jockey, or driver.

#### **271 g Claim of foul**

- (1) A \*claim of foul may only be made by the \*owner, \*trainer, \*jockey, or driver of the \*horse alleged to have been fouled.
- (2) The complaint must be made to the \*judges/stewards board, or to a person designated by the board, before the results of the \*race are declared official.
- (3) A claim of foul must be specific as to the portion of the course on which it is alleged the foul occurred.
- (4) If the judges/stewards board observes a foul, they may act on their own initiative.

#### **272 t Objections – Thoroughbred**

- (1) In thoroughbred \*races, an objection may be made to the \*stewards board that
  - (a) weight, allowance, or penalty rules have been \*violated, or
  - (b) eligibility rules have been violated.
- (2) The objection must be made
  - (a) at least 30 minutes before \*post time of the race concerned, or
  - (b) in the case of alleged fraud or wilful mis-statement or misrepresentation, no later than 48 hours after the race ends.
- (3) The stewards board may require the objection to be made in writing, outlining the grounds for the complaint, and signed by the objector.

#### **273 g Non-appealable rule violations**

*(amended 04/23)*

Pursuant to section 22(1)(ee) and section 24.2 of the Horse Racing Alberta Act, the \*judges / stewards board shall make all findings of fact as to all matters occurring during and incidental to the running of a race, shall determine all objections and inquiries and shall determine the extent of disqualification, if any, of horses in a race subject to the following:

- (1) Any party who is the subject of any direction or ruling of the \*judges/stewards board may apply for appeal to the Horse Racing Appeal Tribunal, except
  - (a) as to the extent of disqualification or placement of a \*horse due to a foul, or riding or driving infraction in a \*race; or
  - (b) as to a finding of fact as occurred during and incident to the running of the \*race.
- (2) For greater certainty, any findings of fact or other determinations of the \*judges/stewards board for any matter referred to in subsection (1)(a) or (b) shall be final and are not subject to appeal.

#### **274 g Judges/stewards board investigation**

The \*judges/stewards board must promptly investigate every objection or complaint properly made under these rules.

#### **275 g Opportunity to speak to judges/stewards board**

A person against whom an objection is made or a foul is alleged must be given an opportunity to speak with the \*judges/stewards board before the board makes a decision.

#### **276 g Decision by judges/stewards board**

*(amended 03/20)*

- (1) The judges/stewards board may;
  - (a) determine if a foul was wholly or partly caused by a jockey, driver, or a horse;
  - (b) decide to disqualify if, in the opinion of the judges/stewards board, the foul altered the finish of the race, regardless of whether the foul was accidental, willful or the result of careless riding or driving;
  - (c) determine the extent of disqualification in the case of a foul or other violation of these rules;
  - (d) determine the validity of an objection.
- (2) The judges/stewards board may
  - (a) place the offending horse behind the horse or horses that, in their judgment, were interfered with;
  - (b) place the offending horse last in the field;
  - (c) discipline the jockey or driver.
- (3) If a horse is disqualified under this rule, every horse in the same race entered by the same trainer, or belonging to the same owner, may, at the direction of the judges/stewards board, also be disqualified.
- (4) The judges/stewards board may, in accordance with these rules, revoke, suspend or add to or vary the conditions of any license.

If a violation is committed by a person driving a horse coupled as an entry the Judges may set both horses back if, in their opinion, the violation may have affected the finish of the race, otherwise penalties may be applied individually.

In the case of interference, collision, or violation of any rules, the offending horse may be placed back one or more positions in that heat or dash, and in the event of such collisions, interference or violation preventing any horse from finishing the heat or dash, the offending horse may be disqualified from receiving any winnings and the driver may be assessed a monetary penalty or suspended. If a horse is set back, it must be placed behind the horse with which it interfered. If an offending horse has interfered with a horse involved in a dead heat and the offending horse is set back, it must be placed behind the horse in the dead heat.

### 277 g Intentional fouls

- (1) If the \*judges/stewards board is satisfied that
  - (a) the riding or driving of a \*horse in a \*race was intentionally foul,
  - (b) a \*jockey or driver was instructed or induced to ride intentionally foul, the judges/stewards board may, in accordance with these rules, suspend, revoke or place conditions on the licence of the person concerned and any other person involved in the foul, whether or not a formal complaint was made about them.
- (2) The judges/stewards board may report the matter to \*Horse Racing Alberta who may take any further action it considers necessary.

### 278 g Frivolous objections or claims of foul

If the \*judges/stewards board considers that an objection or a \*claim of foul is frivolous, they may impose a fine or suspend the licence of the person making the objection or claim in accordance with these rules.

### 279 g Redistribution of purses

*(amended 03/20)*

If, within 72 hours after a \*race, not counting the hours in a \*day on which there is no racing, a \*horse is found to have been ineligible to enter a race, the \*judges/stewards board must declare it to be disqualified and any purse money won must be redistributed.

When a horse is disqualified as the result of being ineligible, or as a result of a positive test, it shall lose any purse money, its finishing position and its time in the following manner:

- (1) The horse will be disqualified and placed last;
- (2) The horse will lose all purse money earned from the race, and
- (3) All remaining horses will move up in position, their summaries adjusted, and the money re-distributed accordingly.

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.

### 280 g Redistribution of purse money

If the placings of a \*race are altered as the result of a protest, purse money for the race must be distributed according to the decision made on the protest.

### 281 g Eligibility of horses involved in protests

The eligibility of \*horses involved in protests that may participate in subsequent \*races pending a decision on the protest is not affected.

### 282 g Pari-mutuel pool distribution

Decisions on protests that affect purse money or order of finish after a \*race is declared official have no effect on the distribution of pari-mutuel pools.

## PROTESTS – STANDARD BRED

### 283 s Filing of protests

- (1) Protests may only be made by an owner, authorized agent, \*trainer or driver of one of the competing \*horses
  - (a) at least 30 minutes before post time of the race concerned, or
  - (b) in the case of alleged fraud, wilful misstatement, or misrepresentation, no later than 48 hours after the \*race ends.
- (2) The protest must be made in the form of a statutory \*declaration, and contain at least one specific charge which, if true, will prevent the horse protested from winning purse money or competing in the race.

### 284 s Decision on protests

- (1) Every protest is to be decided by the \*judges board.
- (2) If a protest is not decided before the \*race, the \*horse protested is to be allowed to race under protest.

### 285 s Withdrawal of protests with consent

A protest that has been duly made may not be withdrawn or surrendered without the approval of the \*judges board.

## DIVISION 2 RULE VIOLATIONS

### 286 g Conduct prejudicial to the best interests of horse racing

A person \*violates these rules who,

- (a) in the opinion of the \*judges/stewards board, conducts themselves in a manner prejudicial to the best interest of \*horse racing, or
- (b) does not comply with these or any \*other rules.



## 287 g Specific violations

(amended 03/20)

- (1) A person also \*violates these rules who
  - (i) engages in any corrupt, fraudulent or unethical act or practice in relation to a \*horse race or horse racing;
  - (ii) attempts to enrich themselves or others or to gain an advantage through unfair, unlawful, or dishonest behaviour in connection with a horse race or horse racing;
  - (iii) threatens or intimidates a \*racing official or \*racing participant or tries to do so;
  - (iv) improperly influences or attempts to influence a racing participant or racing official;
  - (v) gives, offers or promises, directly or indirectly, any bribe, gift, or gratuity, in any form, for the purpose of improperly influencing the result of a \*race or that would tend to do so;
  - (vi) accepts or offers to accept on their own behalf or on behalf of others, a bribe, gift or gratuity, in any form, for the purpose of improperly influencing the result of a race or that would tend to do so;
  - (vii) enters or starts a \*horse that is ineligible for the horse race in which it is entered or started;
  - (viii) wilfully or negligently starts, or causes to start, a horse in a horse race other than the horse named in the \*entry;
  - (ix) conspires or connives to commit any corrupt, fraudulent, or unethical act in relation to a horse race or horse racing;
  - (x) offers to give to a \*jockey or driver, other than an official prize, any money or other benefit in relation to a race, unless the person is the \*licensed owner or \*trainer of the horse ridden or driven in the race by the jockey or driver;
  - (xi) The possession or use on a horse of any goading device, or chain, or spur, or mechanical or electrical device other than a whip/riding crop used in the manner prescribed by the rules upon a horse shall constitute a violation.;
  - (xii) contrary to these or any \*other rules, stimulates or depresses, or attempts, conspires or connives to stimulate or depress, or otherwise affect the performance of a horse in a horse race, through the administration of any \*drug, \*medication, or \*foreign substance;
  - (xiii) unless the person is the \*official veterinarian or a \*licensed veterinarian or an \*animal health technologist, has in their possession, or in their effects, or under their control, drugs, hypodermic syringes, needles, or any like paraphernalia
    - (A) at or near a \*race track or stable area, or
    - (B) in premises or accommodation occupied on or near the grounds of a race track;

- (xiv) has in their possession or under their control, or at or in premises or accommodation occupied by them, any drug or medication used for the treatment of horses, unless they are contained in a container having marked on it
  - (A) the number of the medicine under the Food and Drug Act (Canada),
  - (B) the prescribing veterinarian's name,
  - (C) the dispensing druggist's name and address, and
  - (D) the name of the horse for which the medicine is prescribed
- (xv) has in their possession on the grounds of a race track, paraphernalia for administering alkalinizing agents to \*race horses;
- (xvi) refuses to permit a horse to be examined, tested, or a sample to be taken by a person authorized by these or any other rules to do so;
- (xvii) enters or starts a horse that
  - (A) is not in a serviceably sound condition;
  - (B) has been trachea tubed;
  - (C) has, in the opinion of the official veterinarian, been nerved, unless subsection (2) applies;
- (xviii) gives instructions to a jockey or driver to handle a horse for any purpose other than to win;
- (xix) enters a horse in a \*claiming race, unless title and ownership to the horse are unencumbered;
- (xx) races a horse from which a test detects a drug, medication, or foreign substance in the horse's system;
- (xxi) fails to report immediately to the \*judges/stewards board any approach or proposal to unfairly, improperly, corruptly, unethically, or fraudulently affect a race;
- (xxii) provides inaccurate information about the performance of a horse, or attempts to have misleading information included in a program;
- (xxiii) tampers with an \*eligibility certificate or cause incorrect information to be recorded in the \*official performance records for the purpose of obtaining unauthorized changes or entries;
- (xxiv) enters or starts a horse that is totally blind;
- (xxv) refuses to co-operate with a proper investigation or in any way hinders or impedes a proper investigation;
- (xxvi) makes false or misleading statements about a racing official, racing participant or other person employed or engaged in horse racing;
- (xxvii) fights on a race track;
- (xxviii) uses profane or indecent language at a race track;
- (xxix) carries a deadly or offensive weapon at a race track;
- (xxx) disturbs the peace at a race track;

- (xxxi) permits a dog to enter a stable area during a race meeting;
- (xxxii) commits a criminal offence;
- (xxxiii) Any horse treated with Shock Wave Therapy is not permitted to race, breeze and/or train for a minimum of 10 days following treatment and is to be added to the ineligible list; (Rule 122 g, amended 03/20)
- (xxxiv) acquires, uses or has in their possession blood doping agents including, but not limited to,
  - (A) Erythropoietin,
  - (B) Darbepoetin,
  - (C) Oxyglobin, and
  - (D) Hemopure.
- (2) Despite subsection (1), upon the recommendation of the official veterinarian, the judges/stewards board may permit the \*entry of a horse whose posterior digital nerve has been desensitized, surgically or by any other means, below the lowest aspect of the base of the proximal sesamoid bones, if the procedure is recorded on the registration certificate.

### 288 g Representation as race horse owner

No person may represent themselves as the \*owner of a \*race horse who is not a \*licensed owner of the \*horse.

### 289 g Information and advice prohibited

- (1) A person who is
  - (a) a \*racing official,
  - (b) employed or engaged by \*Horse Racing Alberta, or
  - (c) employed or engaged by a \*licensed operator, must not give to anyone, directly or indirectly, for reward or other consideration, any information or advice that would tend to influence anyone in making a wager on a \*horse race.
- (2) Subsection (1) does not apply to persons employed or engaged by a licensed operator who provide selections appearing in the official program of a \*race meeting, operator publications, or in the print, electronic, or other media.

### 290 g Prohibited substances on race day

*(amended 04/23)*

- (1) No person shall,
  - if a thoroughbred or quarter horse, after 10:00 a.m. of the \*race day, administer to a \*horse entered in any form of racing in Alberta at any racetrack administer any of the following,
  - or, if a standardbred, 4 hours and 15 minutes in advance of the first post-time on the day of the \*race, administer to a \*horse entered in any form of racing in Alberta at any racetrack administer any of the following:
- (a) any \*drug, \*medication, or \*foreign substance, including alkalizing agents that could increase the bicarbonate buffering capacity of a horse, other than normal feed;

- (b) any drug, medication, or foreign substance by way of injection by hypodermic syringe, including vitamins, minerals, food supplements, glucose, sugar, alkalizing agents and alcohol;
  - (c) any drug, medication, or foreign substance by way of drenching or by rectal lavage with a dose syringe, tube or bottle, or by nebulizer including sodium bicarbonate, sugar, camphor, alkalizing agents and alcohol.
- (2) Despite subsection (1), a horse entered to race may be medicated on race day
    - (a) in an emergency or for a medical condition following which the horse will be \*scratched, or
    - (b) with a medication approved by \*Horse Racing Alberta for the control of exercise induced pulmonary hemorrhage.

### 291 g Violation directives

- (1) A violation directive issued under rule 139(3) [Condition and performance of horses] is intended to provide a framework for the consistent imposition of sanctions.
- (2) Violation directives must be published on Horse Racing Alberta's website.

### 292 g Prohibition on entry

*(amended 04/22)*

- (1) If on the race day or at any other time a \*horse tests positive in Alberta for any of the following classes of drugs, the horse shall be declared by the \*judges/stewards board to be ineligible to race according to the penalty structure below after the date of identification of the horse with the positive test and, will be placed on the \*judges / stewards list. A horse may be eligible for a reduced penalty, if the owner/trainer provides a negative test result at their own expense and under the supervision of the Official Veterinarian.
  - (a) Class I: 90 days for first offence- reduced penalty considered after 45 days.
  - (b) Class II: 60 days for first offence- reduced penalty considered after 30 days.
  - (c) Class III: 15 days for first offence- reduced penalty considered after 7 days.
- (2) If a horse tests positive in a jurisdiction outside Alberta for any of the following classes of drugs, the horse shall be declared by the judges/stewards board to be ineligible to race in Alberta according to the penalty structure below after the date of identification of the horse with the positive test. A horse may be eligible for a reduced penalty, if the owner/trainer provides a negative test result at their own expense and under the supervision of the Official Veterinarian.
  - (a) Class I: 90 days for first offence- reduced penalty considered after 45 days.
  - (b) Class II: 60 days for first offence- reduced penalty considered after 30 days.
  - (c) Class III: 15 days for first offence- reduced penalty considered after 7 days.
- (3) In subrules (1) and (2), Class I, Class II and Class III means the substances with that classification in the Uniform Classification Guidelines of Foreign Substances, published by Racing Commissioners International or if there is no such classification, as determined by

Horse Racing Alberta.

## **DIVISION 3 COMPLAINTS, RULINGS, AND PENALTIES**

### **293 g Complaints and investigation**

- (1) Any person may make a complaint in writing that
  - (a) these or any \*other rules have been \*violated;
  - (b) an order of \*Horse Racing Alberta has been violated;
  - (c) an order, direction, or ruling of a \*judges/stewards board has been violated;
  - (d) a condition of a licence has been violated.
- (2) The complaint must be made to the judges/stewards board and give sufficient details of the complaint for it to be investigated.
- (3) The judges/stewards board, or a person designated by the board, may investigate the complaint.

### **294 g Hearing by judges/stewards board**

- (1) Except when a ruling or decision must be made immediately, the \*judges/stewards board must
  - (a) give such notice as it considers adequate in the circumstances of the date, time and place of a hearing to consider the complaint, stating the purpose of the hearing, and
  - (b) require persons affected by the complaint to attend the hearing.
- (2) The judges/stewards board may proceed with a hearing if a person who may be affected by a decision
  - (a) has been notified of the hearing and does not attend, or
  - (b) after reasonable efforts have been made, cannot be located.
- (3) For the purposes of subsection (2), the judges/stewards board is to decide if a person has been properly notified of the hearing and whether reasonable efforts have been made to locate the person.

### **295 g Decision making by judges/stewards board**

- (1) A \*judges/stewards board is to interpret these and \*other rules to further the purpose of this chapter of the rules and in accordance with the usages of the turf.
- (2) If a judges/stewards board is required to make a decision on a matter not covered by these or any other rules, the decision is to be made
  - (a) according to the usages of the turf, and
  - (b) in accordance with the best interests of \*horse racing.

### **296 g Findings and sanctions**

- (1) The \*judges/stewards board may make an order, ruling or direction if it finds that
  - (a) a person has \*violated the \*Act, these or any \*other rules, track rules, or conditions,
  - (b) a person has violated an order or directive of \*Horse Racing Alberta,

- (c) a person has violated an order or direction of a judges/stewards board, or
  - (d) a person has violated a condition of a licence.
- (2) The judges/stewards board may impose any one or more of the following sanctions:
  - (a) a fine not exceeding \$100,000;
  - (b) suspend a licence for a definite or indefinite period;
  - (c) revoke a licence;
  - (d) ban a person from holding a licence for a specified period of time or in respect of specified \*horse races or \*race meetings;
  - (e) impose conditions on a licence or conditions to be met before any other licence is issued to the person;
  - (f) direct the forfeiture or return of purses won;
  - (g) declare a horse unplaced;
  - (h) declare a \*race to be no contest;
  - (i) impose such other sanction as the circumstances warrant.
- (3) A decision can be made to come into effect immediately or on a future specified date, whichever the judges/stewards board decides.

### **297 g Unpaid fines**

- (1) If a fine remains unpaid after 10 \*days from its imposition, any licence held by the violator is automatically suspended until the fine is paid in full, unless the \*judges/stewards board otherwise directs.
- (2) \*Horse Racing Alberta may publicize decisions of the judges/stewards board in any manner it considers to be appropriate and that is in the best interests of horse racing.

## DIVISION 4 MISCONDUCT OF RACING OFFICIALS AND RACING PARTICIPANTS

### 298 g Samples from racing participants

- (1) In accordance with section 16 of the \*Act, a \*racing official designated to carry out inspections and other functions and duties under section 16(1) may on, at or near a \*race track, on demand, take samples of breath and bodily fluids from a \*racing participant.
- (2) A racing participant who refuses or fails to provide a sample of breath or bodily fluid, or both, \*violates these rules.

### 299 g Samples from racing officials

- (1) A \*racing official designated to carry out inspections and other functions and duties under section 16(1) of the \*Act may request any racing official, at a \*race meeting, to provide a sample of breath or bodily fluid, or both.
- (2) A racing official who refuses or fails to provide a sample on request \*violates these rules.

### 300 g Prohibited blood/alcohol concentrations (amended 08/19)

- 1) A racing official or racing participant violates these rules if they report to work:
  - a) with blood/alcohol concentration reading of more than 50 milligrams of alcohol in one hundred milliliters of blood;
  - b) while unfit for work on account of the use of a prescription, medically authorized or non-prescription drug; or
  - c) with a level of drugs in excess of the concentrations listed in the table below:

#### Oral Fluid Drug Concentration Limits:

	Drugs or classes of Drugs	Screening concentration equal to or in excess of ng/ml	Confirmation concentration equal to or in excess of ng/ml	Confirmation Test includes
AMP	Amphetamine	50	50	Amphetamines, Methamphetamine, MDA, MDEA, MDMA
MET	Methamphetamine	35		
COC	Cocaine Parent	20	8	Cocaine Metabolite, Cocaine Parent
OPI	Opiates (Morphine)	20	40	Morphine, Codeine, Hydrocodone, Oxycodone, Oxymorphone, 6AM
THC	Marijuana (Parent) (Delta-9 THC)	5	4	Marijuana Parent

- (2) If a person who violates subsection (1),
  - (a) is a judge or steward, that individual must be relieved of their duties immediately by the Supervisor of Racing and referred to Horse Racing Alberta;
  - (b) is a jockey or driver, that individual will be immediately removed from all mounts or drives scheduled for that day and the judges/stewards may impose a fine not more than \$500.00 on the person and suspend the licensee, or both;
  - (c) is any other Safety Sensitive position (excluding jockeys and drivers) and all other positions, that person will be immediately removed from all duties on the grounds for the day and the judges/stewards may impose a fine not more than \$500.00 on the person and suspend the licensee or both;
  - (d) all other Persons, immediate removal from all duties on the grounds and the judges/stewards may impose a fine not more than \$500.00 on the person and suspend the licensee, or both.

### 301 g Possession, trafficking consumption and other illicit drug offences

- (1) A racing official or racing participant violates these rules if:
  - (a) that person has an illicit drug in their possession at a race track,
  - (b) that person traffics or attempts, conspires or counsels a person to traffic an illicit drug at a race track,
  - (c) that person uses, promotes or sells instruments for illicit drug use at a race track,
  - (d) a test of a sample of bodily fluid from that person shows that the sample contains evidence of an illicit drug, or
  - (e) that person consumes or assists or counsels another person to consume an illicit drug at a race track.
- (2) A racing official or racing participant violates these rules if they are convicted of an offence under:
  - (a) the Controlled Drugs and Substances Act, or
  - (b) section 462.2 of the Criminal Code (Canada).
- (3) In these rules,
  - (a) "possession" and "traffic" have the same meaning as they have in the Controlled Drugs and Substances Act (Canada);
  - (b) "consume", "illicit drug", "instruments for illicit drug use", "illicit drug use", and "sell" have the same meaning as they have in section 462.1 of the Criminal Code (Canada)

### 302 g Refusing to provide a sample

A person who refuses to provide a sample when required to do so in accordance with the Act violates these rules and is liable to the same penalty to which the person would have been liable if a sample had been provided and the sample had tested positive.

### 303 g Providing false samples

A person violates these rules who

- (a) provides a false sample;
- (b) provides a sample that is not their own sample;
- (c) possesses at a race track any substance that may or could alter, interfere or impede the correct giving of, testing or analysis of a sample.

### 304 g Cost of retesting

The cost of retesting a sample of a person who is allegeded to have violated these rules must be paid by the person requesting the retest at a rate per test determined by \*Horse Racing Alberta.

### 305 g HRA counsellor's advice

The judges/stewards board may request a counsellor appointed or enlarged by \*Horse Racing Alberta to provide a report or an opinion on any matter respecting

- (a) the treatment and rehabilitation program of a person and their compliance with the program;
- (b) the likelihood of rehabilitation of a person;
- (c) the retesting or periodic testing of samples provided by a person.

### 306 g Publication of names of violators

The judges/stewards board may direct the names of a person who violates these rules, the violation, and the sanction imposed to be published in a manner directed by the judges/stewards board.

### 307 g Violation directives on sanctions

Horse Racing Alberta may issue directives with respect to

- (a) the sanction warranted by violation of a particular rule or rules;
- (b) the sanction warranted by 2nd or subsequent violations of the same or other rule or rules.

### 308 g Purpose of violation directives

Violation directives issued by Horse Racing Alberta

- (a) are intended to provide a framework for the consistent imposition of sanctions for violation of particular rules, recognizing that each case merits individual treatment and judges/stewards have discretion to impose a range of sanctions under these rules, including rule 296 [Findings and sanctions], and
- (b) must be published on Horse Racing Alberta's website.

### 309 g Treatment programs

Horse Racing Alberta may identify programs available for treatment or rehabilitation of violators who seek treatment and rehabilitation and specify the consequence for those who do not seek treatment and rehabilitation.

## PART 4 CLAIMING RULES

### 310 g Application

- (1) This Part applies to all forms of racing.
- (2) A \*licensed owner entering a \*horse in a claiming race does so subject to the provisions of this Part.

### 311 g Purpose of claiming races

- (1) \*Claiming races are a way of classifying \*horses so that they \*race at levels in which they are competitive.
- (2) The purpose of \*claiming is to avoid a superior horse from dominating \*horse races at a certain level and so having an unfair advantage.
- (3) Claiming prevents an unfair advantage by moving horses to different stables for the purpose of enhancing horse racing in the jurisdiction in which the horse is claimed.
- (4) A horse claimed in Alberta for a purpose other than live horse racing in Alberta \*violates the spirit and intent of the claiming rules and weakens the Alberta racing industry.

### PROHIBITED AND LIMITED CLAIMS

#### 312 g Licensed owners cannot claim their own horse

*(amended 03/20)*

- (1) A person shall not claim directly or indirectly his or her own horse or a horse trained or driven by him/her or cause such horse to be claimed directly or indirectly for his or her own account.
- (2) A person shall not directly or indirectly offer, or directly or indirectly enter into an agreement, to claim or not to claim or directly or indirectly attempt to prevent another person from claiming any horse in a claiming race.

#### 313 g Limitation of claims

*(amended 04/22)*

- (1) No owner is entitled to make more than one claim in any one race.
- (2) All claim forms must designate a licensed trainer.
- (3) No licensed trainer or authorized agent may be involved with the claiming of more than 2 horses in any one claiming race.
- (4) A trainer shall not have more than one claim on any one horse in any claiming race. In the event of multiple claims for the same designated trainer, the qualifying claim from within that group shall be drawn by lot for the claim. All claim forms must identify a designated trainer.
- (5) Should different individuals or entities involved in a partnership submit a claim in the same race, the qualifying claim will be drawn by the judges/stewards board, or their designate, from within that partnership group, before any final draw for the claim of a horse.

**314 g No claims by trainers**

No \*claim may be made of a \*horse that has the same \*trainer as the claimant.

**315 g Claiming prohibitions**

*(amended 04/23)*

- (1) No person may offer to, nor enter into an agreement to, \*claim or not to claim a \*horse, or attempt to prevent a claim being made, nor may any person, by intimidation, prevent a horse from being run in a \*claiming race.
- (2) The \*judges/stewards board may prohibit persons from \*claiming if it considers that the purpose of making the claim would
  - (a) not advance the interests of the Alberta horse racing industry,
  - (b) not be in the best interests of racing in Alberta, or
  - (c) be contrary to the purpose of claiming races or the public interest.
- (3) All Thoroughbred and Quarter horses claimed must race back within 30 days from the date of the \*claim. If a \*horse does not race back within 30 days of a claim, the trainer must produce a veterinary certificate stating the reason why the \*horse is medically unsound to race. Should the trainer not be able to produce the document that is acceptable by the official veterinarians, the trainer loses their claiming privileges for the remainder of the season. If a \*horse is claimed within 30 days of the end of the meet, the \*horse must come back and race the first 30 days of the following season. If the \*horse does not race within those 30 days, the trainer must produce a veterinary certificate stating the reason why the \*horse medically is unsound to race.

**WHO MAY CLAIM****316 g Issue of claim certificates**

- (1) On application, a \*claim certificate may be issued by the \*judges/stewards board to any person whose \*owner's licence has been approved, subject to such terms, conditions, or limitations as the board considers advisable.
- (2) A claim certificate is valid only for the \*racing season in respect of which it is issued.

**317 g Claimants**

*(amended 03/20)*

- (1) The following persons may make a claim for a race horse in a claiming race:
  - (a) a licensed owner who has a race horse on the grounds registered to race at the race meeting in which the claim is to be made;
  - (b) a licensed owner who does not actually own a race horse but whose licence application has been approved by the judges/stewards board;
  - (c) any other person whose application for an owner's licence has been approved, and who is the holder of a claim certificate issued by the judge/stewards board.
- (2) Licensed owners may claim for themselves alone or in partnership.
- (3) Any person or the authorized agent of such person who holds a current valid HORSE RACING ALBERTA licence may claim any horse, or any person who has properly applied for and been granted a claiming certificate shall be permitted to claim any horse. Any person or authorized agent eligible to claim a horse shall be allowed access to the grounds of the

Association in order to affect a claim at the designated place of making claims and to take possession of the horse claimed.

**318 g Two or more owners claiming**

If 2 or more \*licensed owners \*claim a \*horse, all must sign the claim, unless one of them, or another person designated by them, is constituted as authorized agent for all the \*owners.

**319 g Claim must be on deposit**

- (1) No person may make a \*claim unless the amount of the claim is placed on deposit with the horsemen's bookkeeper by the claimant.
- (2) A \*claiming credit note must be obtained from the horsemen's bookkeeper covering the current balance in the claimant's account.

**320 g Limited discussion about claiming**

- (1) \*Licensed owners and authorized agents must not discuss with any person, other than their \*trainer, any matter relating to the \*claiming of a particular \*horse.
- (2) Trainers must not discuss a proposed \*claim with any person other than the licensed owner making the claim or the \*owner's authorized agent.

**HOW THE CLAIM IS MADE****321 g When claim can be made**

A \*claim may only be made

- (a) in respect of a \*claiming race, and
- (b) for any \*horse in that \*race for its entered \*claiming price.

**322 g Making the claim** *(amended 03/20)*

- (1) Claims must be made in writing on the proper claim blank supplied by the licensed operator.
- (2) When a claim has been lodged it is irrevocable, and is at the risk of the claimant.

**323 g Opening claims**

\*Claims may only be opened by the \*judges/stewards board or other specified \*racing official designated by the board.

**324 g Two or more claims for the same horse** *(amended 03/20)*

In the event more than one claim is submitted for the same horse, the successful claimant shall be determined by lot by the judges/stewards, and all unsuccessful claims involved in the decision by lot shall, at that time, become null and void, notwithstanding any future disposition of such claim.

Upon determining that a claim is valid, the judges/stewards shall forthwith notify the paddock judge of the name of the horse claimed, the name of the claimant and the name of the person to whom the horse is to be delivered.

If two or more claimants enter a claim for the same horse, the disposition of the horse is to be determined by the judges/steward's board, or other racing official designated by them, by lot.

**CLAIMS AT THOROUGHBRED RACES****325 t Claims and claims box** *(amended 05/24)*

- (1) For thoroughbred \*races,
  - (a) the \*claim blank and the \*claiming credit note, properly completed, and claim certificate, if applicable, must be placed in the claim envelope provided by the \*licensed operator for that purpose, and
  - (b) the envelope must be sealed and must have the date and number of the race written on it, and the envelope must be deposited in the claim box before the last \*horse has left the paddock for the race.
- (2) The claim box must be located in the paddock area under the supervision of the paddock \*judge.
- (3) The paddock judge must cause all claims to be reported to the \*stewards board before the running of each race.

**STANDARDBRED CLAIMS****326 s Making the claim** *(amended 05/24)*

- (1) A \*claim blank and the \*claiming credit note, properly completed, and a claim certificate, if applicable, must be placed in the claim envelope provided by the \*licensed operator for that purpose.
- (2) The envelope must be sealed, the date and number of the \*race written on it, and the envelope must be delivered to the horsemen's bookkeeper or another person designated for that purpose by the licensed operator at least 30 minutes before \*post time of the race in respect of which the claim is being made.
- (3) The horseman's bookkeeper or designate must certify, by automatic time clock on the outside of the envelope, the time the envelope is received.

**327 s Delivery of claims**

The horsemen's bookkeeper must cause all \*claims to be delivered to the \*judges board before the running of each \*race.

**328 s Eligibility for claiming standardbred horses**

- (1) No \*declaration is to be accepted on a \*horse for a \*claiming race unless
  - (a) the \*owner has provided written authorization to the racing secretary before declaration which must include the minimum price for which the horse may be \*claimed, and
  - (b) if the horse is owned by more than one party, all parties or their authorized agent must sign the authorization.
- (2) Any question relating to the validity of a \*claiming authorization must be referred to the \*judges board who may disallow a declaration, or \*scratch the horse, if they consider the authorization to be improper.
- (3) To be eligible for a claim, a standardbred horse must start in the event to which it was declared.

**329 s Scratches from claiming races**

If a standardbred \*horse is declared to start in a \*claiming race but is \*scratched

- (a) the scratch must be noted on its \*eligibility certificate, and
- (b) if a \*declaration is made within a period of 30 \*days before its next start, that horse is subject to \*claim in its next start, regardless of the type or conditions of the \*race or ownership, at a total price no greater than the amount for which it could have been claimed in the race from which it was scratched.

**330 s Trainers and drivers may not claim**

No person may \*claim a standardbred \*horse trained or driven by that person in a \*claiming race.



**AFTER THE CLAIM IS MADE****331 g Vesting of title***(amended 03/20)*

Every horse entered in a claiming race shall race for the account of the owner who declared it in the event but title to a claimed horse shall be vested in the successful claimant from the time the horse is deemed to have started, and the successful claimant shall become the owner of the horse.

**332 g Delivery order for claimed horses***(amended 03/20)*

Transfer of possession of a claimed horse to the successful claimant or their representative shall take place in the paddock immediately after the running of the race. Altering or removing the horse's shoes prior to the transfer is not permitted.

**333 g Transfer of registration***(amended 03/20)*

Notwithstanding the requirements under Rule 332 g, in the case where a claimed horse must submit for post-race testing, physical custody of the claimed horse shall transfer from the original owner to the successful claimant outside the retention area following completion of the test and after the sample tags have been signed by the original owner or their representative.

**334 g Scratch from races by new owner**

The new \*licensed owner or \*trainer of a \*claimed \*horse may \*scratch the horse out of any \*race in which it had been entered by its former \*owner.

**335 g Claims can be voided***(amended 03/20)*

- (1) The \*judges/stewards board may declare a \*claim to be void if
  - (a) any provision of these rules relating to \*claiming is \*violated,
  - (b) the judges/stewards board is satisfied that the spirit and intent of the rules have been violated, or
  - (c) if the Official Chemist reports a positive test on a horse that was claimed, provided such option is exercised within 48 hours following notification to the claimant of the positive test by the judges/stewards,
  - (d) if the horse has been found ineligible to the event from which it was claimed, or
  - (e) if approved post-race testing procedures disclosed that an improper medication or drug was found to be present in the sample of the claimed horses and reported in the analysis report from the laboratory, provided such option is exercised within 48 hours following notification to the claimant by the judges/stewards.
- (1.1) A claim may be voided if a horse is a starter as determined by the judges/stewards board, and the horse:
  - (a) Dies on the racing oval; or
  - (b) Suffers an injury which requires the euthanasia of the horse as determined by the Official Veterinarian while the horse is on the racing oval.

- (2) If erythropoietin or darbepoetin is confirmed in a blood sample taken from a claimed horse, the claimant of that horse may request the judges/stewards to declare the claim invalid, but the request must be made within 48 hours of the claimant, his or her trainer, or authorized agent receiving notification of the positive test from the judges/stewards.
- (3) When the judges/stewards board rules a claim to be void and the \*horse is returned to the original \*owner:
  - (a) the amount of the claiming price plus GST shall be repaid to the claimant;
  - (b) any purse money earned subsequent to the date of the claim and before the date on which the claim is ruled void becomes the property of the claimant, and
  - (c) the claimant is responsible for any reasonable costs incurred through the care, training, or racing of the horse while it was in their care, custody or control.

**336 g Limitations on sale and racing of claimed horses***(amended 04/22)*

- (1) A claimed horse in thoroughbred racing must not
  - (a) be sold or transferred to anyone, in whole or in part, except in a claiming race, for at least 60 days after the date of a claim, unless the stewards board permits a transfer to another trainer;
  - (b) return to the same stable or to control or management of its former licensed owner or trainer for at least 60 days after the date of the claim, unless the horse is reclaimed;
  - (c) be raced outside of the Alberta circuit from which it was claimed from for the balance of that Alberta circuits \*racing season without the permission of the stewards board.
- (2) A claimed horse in Standardbred racing must not
  - (a) a claimed horse shall not be eligible to start in any race in the name or interest of the original owner for 30 days, unless reclaimed out of another claiming race. Nor shall such horse remain in or be returned to the same stable or care or management of the first owner or trainer for the same period of 30 days, unless reclaimed out of another claiming race;
  - (b) return to the same stable or to control or management of its former licensed owner or trainer for at least 60 days after the date of the claim, unless the horse is reclaimed;
  - (c) a claimed horse, regardless of ownership, shall only race at a track or tracks in that province for the next 60 days, except where such horse has been nominated to participate in an added money event before it was claimed, or unless the track where the horse was claimed closes for more than 30 days. In the case of their track closing for more than 30 days, or unless mandated by the provincial regulator the horse is released from the provisions of this rule the day after the track closes. Any person who violates this rule shall be subject to a suspension or monetary penalty or unless mandated by the provincial regulator of the 10% of the claiming price or 100% of the purse for each race, whichever is greater and the horse may be suspended. A claimant shall be held in violation of this rule if he or she disposes of the horse in any manner other than by claiming and the horse races outside of the province within 60 days of the horse being claimed.

**337 t Thoroughbred claiming limitations**

- (1) A \*horse \*claimed from a \*race it has won may not start in a \*claiming race for a period of 14 \*days from the day of the claim for less than 25% more than the amount for which it was claimed.
- (2) Horses, other than the winner, if claimed, may not start in a claiming race for a price less than the price for which they were claimed for 14 days from the date of the claim.
- (3) This section applies only to the \*racing season during which the claim was made.

**338 s Standardbred restriction**

Spayed mares are not to receive any sex allowance.

**339 g Claiming rules in other jurisdictions recognized in Alberta**

When a \*race horse is \*claimed at a recognized \*meeting in a jurisdiction outside Alberta under rules which differ from these rules, title to and \*entry restrictions on the claimed \*horse must be recognized in Alberta in accordance with the rules in the jurisdiction in which the claim occurred.

**PART 5  
GENERAL RULES****340 g Conduct of horse races**

A \*licensed operator is responsible for the general supervision of \*horse races at its \*race meeting, but must not interfere with the proper performance of the functions and responsibilities of \*racing officials.

**341 g Entry into the judges/stewards board stand**

Only a \*judge or \*steward may enter the \*judges/stewards board stand, unless permission is given by a judge or steward for others to enter.

**342 g Failure to meet financial obligations**

If the \*judges/stewards board is satisfied that a \*racing participant has failed to meet their financial obligations to pay for services, supplies, or wages with respect to racing activities, the judges/stewards board may

- (a) suspend the licence of the person,
- (b) refuse entries to \*horse races, or
- (c) both suspend the licence and refuse entries.

**343 g Approved safety gear**

*(amended 05/24)*

- (1) Every person mounted or driving a \*horse on the premises of a \*race track must wear
  - (a) a protective helmet securely fastened under the chin,
  - (b) footwear approved by the \*judges/stewards board, and
  - (c) a securely fastened protective safety vest approved by the judges/stewards board.

**344 g Smoking prohibited**

No person may smoke on the property of a \*licensed operator except in designated areas.

**WAGERING PROHIBITIONS AND LIMITATIONS****345 g Prohibition on wagering/gambling by racing officials/Horse Racing Alberta employees**

- (1) A \*racing official may not
  - (a) wager on the outcome of any live or simulcast \*horse race in Alberta during their appointment as a racing official;
  - (b) participate in any form of gambling at a race track where they are officiating.
- (2) An employee of Horse Racing Alberta whose main duties are performed at a race track, may not participate in any form of gambling at that race track.

**346 t Jockey's bets**

- (1) No person may make a bet for a \*jockey except the \*owner or \*trainer of the \*horse that a

jockey is riding and then only on the horse being ridden by that jockey.

- (2) A jockey may not bet, directly or indirectly, on any \*race except through the owner or trainer of and on the horse the jockey rides.

### 347 g Other prohibitions on betting

- (1) Subject to subsection (2), neither the \*licensed owner of a \*horse entered in a \*horse race, nor their authorized agent, \*trainer, groom, \*jockey, driver of the horse, nor an employee of any of them may
  - (a) bet,
  - (b) ask or encourage anyone to bet on their behalf, or
  - (c) have or own a pari-mutuel ticket, on another horse participating in the same horse race.
- (2) Subsection (1) does not prevent a bet placed by or on behalf of a person named in that subsection if
  - (a) the bet is placed in a feature as defined in the Pari-Mutuel Betting Supervision Regulations (Canada), as amended from time to time, and
  - (b) the total money bet on combinations in which the person's horse is chosen to finish 1st is at least equal to the total bet on combinations that choose another person's horse to finish 1st.

## SALES AND LEASES

### 348 g Sales of race horses to be approved

*(amended 04/22)*

- (1) No sale of a race horse is effective unless it is first approved by the \*judges/stewards board
- (2) No owner, breeder, trainer or other license holder (licensee) will knowingly sell, contribute or participate in the sale of any race horse racing in the Province of Alberta to any person, farm, facility, including those persons, farms, or facilities outside Canada or slaughterhouse for the purpose of slaughter. In addition, it is the responsibility of the licensee to ensure that the horse once sold will not end up in a slaughterhouse for the remainder of the life of the horse.

### 349 g Requirements of lease

- (1) A lease of a \*race horse must
  - (a) give the lessee control of the \*horse during the period of the lease, but the lease must not exceed one year,
  - (b) be filed with a \*licensed operator before or at the time the horse is entered for a \*horse race, and
  - (c) state to whom winnings are payable.
- (2) A lease of a race horse, and no changes to a lease, is effective unless they are first approved by the \*judges/stewards board.

## PART 6 STANDARD BRED RACING

### 350 s Application of this part

This Part applies to standardbred racing.

## DIVISION 1 STAKES RACES

### 351 s Conditions for stakes

- (1) Conditions for \*stakes must be approved by \*Horse Racing Alberta before publication and must include the following information:
  - (a) the categories that are eligible to be nominated;
  - (b) the amount to be added to the purse by the \*licensed operator or sponsor;
  - (c) the dates and amounts of nomination and sustaining payments;
  - (d) whether the event will be
    - (i) raced in divisions, or
    - (ii) conducted in elimination heats if more \*horses than the maximum allowed to compete in one division are declared;
  - (e) the percentage distribution of the purse to the money winners in each heat or dash, and the formula for calculating the distribution, if the number of \*starters is less than the number of premiums advertised.
- (2) The date and place where stakes will be raced must be announced as soon as that information is determined.
- (3) Conditions are not to be changed after nominations have been received, unless Horse Racing Alberta so approves.
- (4) Conditions and payments for stakes scheduled by a licensed operator will be handled by the operator, unless an organization approved by Horse Racing Alberta is delegated that authority.
- (5) When a stakes race is limited to Alberta \*owners, the following rules apply:
  - (a) an individual is to be considered an Alberta owner if the individual
    - (i) has resided in Alberta for more than 6 months,
    - (ii) is liable to pay Alberta income tax,
    - (iii) is entitled to medical coverage under the Alberta Health Care Insurance Act, and
    - (iv) has registered title to a horse, or in the case of a horse leased by that individual, the lease is satisfactory to the \*judges/stewards board;

- (b) a stable, syndicate or corporation is to be considered an Alberta owner if
  - (i) it is incorporated or established in Alberta, and
  - (ii) more than 50% of the equity of the horse is owned by partners or shareholders who are Alberta owners under clause (a), or in the case of a horse leased by the stable, syndicate or corporation, the lease is satisfactory to the judges board.

### 352 s Conflict between conditions and rules

Conditions for \*stakes races that conflict with these rules have no effect, unless approved by \*Horse Racing Alberta, in which case the conditions prevail in the case of a conflict with these rules.

### 353 s Invalid conditions

Unless otherwise specified by \*Horse Racing Alberta or sponsor of a \*race, conditions are invalid that have the effect of

- (a) eliminating \*horses nominated to an event, or
- (b) adding horses that have not been nominated to an event because of the performance of those horses after the closing of nominations.

### 354 s Effect of sale of nominated horses

The eligibility of a \*horse nominated is not affected by the sale of the horse after its nomination has been accepted, unless the contrary is specified in the \*race conditions.

### 355 s Nominations to stakes

Nominations to \*stakes must

- (a) be made in writing,
- (b) be signed by the \*owner, \*trainer, or their authorized agent,
- (c) state the name and address of the owner or lessee, or both, as the case may be,
- (d) identify, by \*age, name, colour, sex, sire and dam each \*horse nominated,
- (e) name the event or events for which the horse is being nominated,
- (f) be made at least 5 \*days before the \*race for which the nomination is made,
- (g) be postmarked or delivered no later than the date nominations close, and
- (h) include any nomination fee.

### 356 s No deductions for expenses

No deductions may be made for clerical or any other expenses from nomination or sustaining payments or from \*added money.

### 357 s Two year old stakes races

Nominations for \*stakes on \*races for 2-year olds must not be taken before February 15 in any calendar year.

### 358 s Sustaining payments for stakes

- (1) Sustaining payments for \*stakes are payable on a date to be determined by the standardbred association, but no stakes \*sustaining fee becomes due before February 15 of the year in which the \*horse nominated becomes 2 years old.
- (2) If the date of closing of nomination or sustaining payments falls on a Saturday, Sunday or legal holiday, the \*day of closing is the next business day.
- (3) In subsection (2), legal holiday means
  - (a) New Year's Day, Alberta Family Day, Good Friday, Easter Monday, Victoria Day, Canada Day, Labour Day, Remembrance Day and Christmas Day,
  - (b) the birthday or the day fixed by proclamation for the celebration of the birthday of the reigning sovereign,
  - (c) December 26, or when that date falls on a Sunday or a Monday, then December 27,
  - (d) any day appointed by proclamation of the Governor General in Council or by proclamation of the Lieutenant Governor in Council for a public holiday or for a day of fast or thanksgiving or as a day of mourning, and
  - (e) with reference to any particular part of Alberta, the day in each year that may by proclamation of the Lieutenant Governor in Council, be appointed as a public holiday for that part of Alberta for the planting of forest or other trees.

### 359 s Nomination fees to futurities

Nomination fees to \*futurities are not refundable.

### 360 s Declaration fees

- (1) \*Declaration fees become due and payable when a \*horse is properly declared.
- (2) When a horse has been properly declared its declaration fee is not to be refunded.

### 361 s List of nominations

A standardbred association must provide a list of nominations to each nominator and to \*Horse Racing Alberta in all \*stakes within 30 \*days after the date on which payments were due, including a resume indicating

- (a) the current financial status of the event by listing the number of \*horses remaining eligible, and
- (b) the amount of nomination and sustaining payments received.

### 362 s No purse deductions for consolation races

No deductions are permitted from the purse for any event that is allotted to consolation \*races.

### 363 s When race declared off

A \*licensed operator may require at least 5 separate interests to start in all \*stakes races.

### 364 s When races may be declared off

If less \*horses than required are declared to start, the \*race may be declared off and in that case the total of nomination and sustaining payments received are to be divided equally in respect of the horses declared to start without being credited as purse.

### 365 s Futurities to be contested

\*Futurities must be contested if one or more \*horses are declared to start.

### 366 s When no declarations are made

If no \*declarations are made, the total of nomination and sustaining payments must be divided equally and awarded in respect of the \*horses remaining eligible after payment of the last sustaining payment, without being credited as purse winnings.

### 367 s Stakes split into divisions

When a \*stake is split into divisions

- (a) the \*added money, nomination fees, and interim fees are to be divided equally among the divisions, and
- (b) the \*declaration and starting fees are to be divided in proportion to the number of \*horses starting in each division.

### 368 s Elimination rules

- (1) Unless otherwise specified in the conditions, if more \*horses than are allowed in one field are declared, the \*race must be conducted in divisions or eliminations and in accordance with this section.
- (2) For \*stakes conducted in divisions,
  - (a) starters must be divided by lot,
  - (b) all divisions must be raced on the same \*day, and
  - (c) the \*licensed operator must contribute to each division additional \*added money so that its portion of the purse equals at least 75% of the original amount.
- (3) For stakes conducted in eliminations,
  - (a) starters must be divided by lot with 60% of the total purse to be divided equally among the elimination heats, and the final heat to be contested for 40% of the total purse,
  - (b) elimination heats and the final heat must be raced on the same day, unless the racing conditions provide otherwise, and in that case elimination heats must be contested not more than 10 days before the date of the final heat,
  - (c) the winner of the final heat is the winner of the \*stake,
  - (d) if there are 2 elimination heats, the first 4 finishers in each heat qualify for the final heat and if there are 3 or more elimination heats, not more than 3 horses from each elimination heat qualify for the final heat, and
  - (e) unless specified in the conditions, \*post positions for the final heat are to be drawn by lot.
- (4) In all cases, the number of horses allowed to start in the final heat is not to exceed the maximum number permitted to start.

### 369 s Horses on qualifying, veterinarian's, starter's, or judges board lists

- (1) A \*horse that is on
  - (a) a \*qualifying list of horses established by the \*judges board,
  - (b) the \*official \*veterinarian's list,
  - (c) the \*starter's list, or
  - (d) the judges board list, may be nominated but is not eligible to declare or start in a \*stake unless it is removed from those lists before the time of \*declaration or starting.
- (2) A horse is to be removed from the official veterinarian's list when the official veterinarian is satisfied that the horse is healthy and fit to \*race.

### 370 s Non-betting standardbred race

In a non-betting standardbred \*horse race

- (a) each \*horse in the money must receive:
  - (i) its proportionate share of the total \*stakes fees, depending on the place of finish of that horse and the total number of horses that finished, and
  - (ii) its designated percentage of \*added money, and
- (b) the balance of added money is to be returned to the sponsor.

## DIVISION 2 QUALIFYING RACES

### 371 s General standards

- (1) General qualifying standards for \*entry into a standardbred \*race must
  - (a) be established by the racing secretary, and
  - (b) be approved by the \*judges board, including any changes to them.
- (2) The standards must be posted so that they are always available for inspection by \*racing participants.

### 372 s Qualifying list

\*Owners or \*trainers of \*horses placed on a \*qualifying list must be advised by the \*judges board by written notice posted in the \*race office.

### 373 s Qualifying races

\*Qualifying races must be held at a time designated by the \*licensed operator and approved by the \*judges board.

### 374 s Declaration rules

\*Declarations at an extended \*race meeting are governed by the following:

- (a) a \*horse that has not raced previously at the gait chosen must perform in a \*qualifying race under the supervision of a \*judges board, but no horse is to be permitted to \*race at an extended race meeting if it does not have at least one satisfactory charted line at the gait chosen;
- (b) a horse that does not show a charted line within the last 6 starts must perform in a qualifying race, and for that purpose an uncharted race contested in heats of more than one dash and consolidated is to be considered to be a start;
- (c) a horse that has not raced within the past 45 days must perform in a qualifying race;
- (d) if a horse has raced at \*meetings at which races are not charted, the information from the uncharted races must be summarized, including each start, and consolidated in favour of charted lines that carry date, place, time, driver, finish, track conditions, and if the race is not at one mile, the distance;
- (e) a horse that is on a \*qualifying list must perform in a satisfactory qualifying race or races before being removed from that list;
- (f) a horse that chokes or \*bleeds during a warm-up or a race must perform in a satisfactory qualifying race before it can be declared to an event;
- (g) the judges board may institute standards or guidelines relating to an individual horse's performance to establish if the horse will qualify;
- (h) a horse
  - (i) wearing hobbles in a race, other than a qualifying race, may qualify without them, or
  - (ii) racing without hobbles may qualify with them;

- (i) the performance of a horse that is not on a qualifying list and
  - (i) is wearing hobbles, or
  - (ii) is not wearing hobbles, and that makes one start in a qualifying race with or without hobbles, does not affect its eligibility to race with or without hobbles in a subsequent event to which it is declared;
- (j) a horse that has made breaks in 2 immediately preceding consecutive races entered on fast tracks must perform a qualifying race;
- (k) a horse distanced on a fast track may be required to perform in a qualifying race;
- (l) the placing of a horse on a qualifying list is not to be recorded on its \*eligibility certificate.

## DIVISION 3 TYPES OF HORSE RACES, DECLARATIONS, AND POST POSITIONS

### 375 s Types of races

Only the following types of \*horse races may be scheduled at \*race meetings and only the racing secretary may schedule them:

- (a) overnight events, including
  - (i) conditioned \*races;
  - (ii) \*claiming races;
  - (iii) preferred, invitational, \*handicap, open or free-for-all races;
  - (iv) schooling races;
  - (v) matinee races;
- (b) \*stakes;
- (c) match races.

### 376 s Substitute races

- (1) For each \*race program \*day, substitute races may be scheduled and must be so designated in condition sheets.
- (2) If a regularly scheduled race cannot be run because of lack of entries, the substitute race may replace it at the discretion of the racing secretary.

### 377 s Division of races

- (1) Regularly scheduled or substitute \*races may be divided into 2 or more divisions, in the discretion of the racing secretary, whenever circumstances warrant.
- (2) When a race is divided, the starting \*horses for each division are to be determined
  - (a) firstly by preference, and
  - (b) secondly, by lot, unless the conditions for the race otherwise specify.
- (3) The conditions for the race are not to deprive a horse of an opportunity to race in a normal preference cycle.

### 378 s Eligibility of horses

For the purpose of determining the eligibility of a \*horse to enter a \*race, a racing year or a \*racing season is a calendar year.

### 379 s Recording winnings

When recording the winnings of a \*horse, only dollar figures are to be used.

### 380 s Eligibility based on time record prohibited

No time records or bars are to be used to determine the eligibility of a \*horse to enter a \*race.

### 381 s Eligibility for overnight events

Not more than 3 also-eligible conditions may be used in writing conditions for overnight events.

### 382 s Eligible horses remain eligible

\*Horses eligible at the time of \*declaration remain eligible for that \*race regardless of winnings accrued after the declaration.

### 383 s Horses must be eligible for the gait

To participate in mixed \*races, trotting and pacing, a \*horse must be eligible under the conditions for the gait stated for it in its \*declaration.

### 384 s Use of word "start" in conditions

The word "start" in a condition includes only those performances in a purse \*race and each dash or heat is to be considered as a separate start for the purpose of condition races.

### 385 s Fastest horses

- (1) Preferred, invitation, junior invitation, \*handicap, open and free-for-all \*races are those limited to the fastest \*horses competing at the \*meeting.
- (2) With respect to those races,
  - (a) the names of horses are to be posted in the office of the racing secretary and listed with the \*judges board, before closing \*declarations,
  - (b) horses posted are not eligible for conditioned races unless the conditions specifically include horses posted to any or all conditioned races,
  - (c) a horse is to be removed from the lists not later than the \*day following the start that caused it to be removed, and
  - (d) 2-year old horses are not eligible to be placed on the lists to race against older horses until the 2-year old has won 7 races, unless requested by the \*owner or authorized agent, but the owner or authorized agent may withdraw a request after it is made.

### 386 s Maximum size of field

The maximum size of fields for all \*races is determined by allowing 8 feet per \*horse to the \*starters in the front tier and not more than 2 trailers.

### 387 s Eligibility for declarations

(amended 03/21)

No horse may be declared to race unless,

- (a) eligibility information, satisfactory to Horse Racing Alberta, is provided for that horse,
- (b) satisfactory evidence is provided that the current owner of the horse is registered with Standardbred Canada or the United States Trotting Association,
- (c) the horse is duly registered with and approved by the registry office of Standardbred Canada or the United States Trotting Association (USTA), but even though a horse is registered with the USTA, if the horse would not meet the registry requirements set out by Standardbred Canada, the horse is not eligible to race,
- (d) if the horse is leased,
  - (i) an acceptable copy of the lease is on file with the judges board, and USTA or Standardbred Canada, or both, as the case may be,
  - (ii) the horse races in the name of the lessee,
- (e) the horse has qualified in qualifying races,
- (f) the horse has been lip tattooed or bears a Standardbred Canada freeze brand number on the right side of its neck, or if required, other evidence of identification,
- (g) A horse shall not be eligible to be declared in to race at any raceway unless the horse is at least two years of age but not older than 14 years of age.
- (h) if the horse is a spayed mare, that fact is noted on the program, registration certificate, eligibility certificate and the list of those horses on the horsemen's bulletin board, and
- (i) if the horse is part of an entry, that fact has been disclosed on the declaration.

### 388 s Eligibility information

No \*horse may \*race unless an \*eligibility certificate satisfactory to the \*judges board has been granted for the horse, and

- (a) the eligibility certificate is presented to the racing secretary at least one hour before \*post time of the race, or
- (b) an electronic system supplies the racing secretary with the necessary eligibility and other information.

### 389 s Unavailability of eligibility information

If an \*eligibility certificate is unavailable for any reason, including loss or failure of an electronic system, or refusal of an approved issuing body to supply information, the \*judges board may issue a temporary certificate containing information from the official charts and in a \*prescribed form in order to allow the \*horse to \*race, if the judges board is satisfied that:

- (a) the horse is a genuine standardbred and that there is no other encumbrance to prevent the horse from racing in the name of the \*owner with clear title according to the rules,
- (b) an approved eligibility certificate is not available from another source or, in the opinion of the judges board, an approved eligibility certificate has been unreasonably denied by an issuing body, and



- (c) a printed eligibility certificate is required for racing engagements and electronic eligibility certificates are not available.

### 390 s Closing of declarations

- (1) A \*licensed operator must publish the time for closing of \*declarations on the condition sheets.
- (2) A declaration received after the specified closing time must not be accepted, unless it was omitted in error or because of negligence by an official or employee of the licensed operator.

### 391 s Depositing of declarations

A \*licensed operator must provide a secure box into which \*declarations must be deposited.

### 392 s Limit on declarations

The same \*horse must not be declared to compete in \*races scheduled for the same \*day at different tracks, without the permission of the \*judges board.

### 393 s Horse on a list

A \*horse that is on the \*qualifying list, \*starter's list, \*judges board's list or \*veterinarian's list and not removed from the appropriate list may not be declared.

### 394 s Rejection of overnight entries

The racing secretary may, with the approval of the \*judges board, reject the \*declaration to an overnight event of any \*horse that has a past performance indicating that it would be below the competitive level of other horses declared to the particular event.

### 395 s How declarations can be made

- (1) A \*declaration made by mail, fax or telephone is acceptable if
  - (a) the mail, fax or telephone declaration states the name of the \*horse, the event it is to be declared to, and is signed by the person who received and deposited it, and
  - (b) evidence of the declaration is deposited, in the declaration box, before the time specified by the racing secretary or the assistant racing secretary for declarations to close, and adequate program information is furnished by the declarer.
- (2) In the case of a telephoned declaration, a properly signed declaration must also be deposited with the racing secretary before \*post time of the \*race concerned.

### 396 s Before the draw

Before opening the declaration box for the draw, the racing secretary or the assistant secretary must take control of the declaration box and may open the box before the time of closing to provide an opportunity to process declarations, but no information about the names of \*horses declared is to be given by any person to any other person before \*declarations are drawn.

### 397 s Timing of activities

\*Declarations must be listed, the eligibility verified, preference ascertained, \*starters selected and \*post positions drawn at such times as are determined by the \*licensed operator.

### 398 s Reopening races

If it is necessary to reopen a \*race, a public announcement must be made at least twice and the declaration box reopened at a specified time.

### 399 s The draw

Every \*racing official and \*racing participant appointed or licensed under these rules is entitled to be present at the closing and drawing of \*declarations.

### 400 s Draw for overnight events

Starting \*horses and also-eligible horses for overnight events are to be drawn by lot from horses properly declared to start, and preference is to be given according to a horse's last and previous date at the gait declared for it in a purse \*race.

### 401 s Post positions

\*Post positions for a \*handicap \*claiming race are to be determined by the \*claiming price applicable before application of allowances.

### 402 s Entries in separate divisions

Unless otherwise specified in the conditions, if a \*race is split into divisions or elimination heats, \*horses must be seeded in separate divisions or elimination heats insofar as possible

- (a) by \*owners,
- (b) by \*trainers, and
- (c) by stables,

but the divisions or elimination heats in which they are to compete, and their \*post positions, must be determined by lot.

### 403 s Also-eligibles

Not more than 2 \*horses may be drawn as also-eligibles, in accordance with the following:

- (a) also-eligibles are to be drawn from horses having the best preference;
- (b) no horse is to be added to the \*race as an also-eligible unless it was drawn as an also-eligible at the time \*declarations closed for that race, however, once drawn as an also-eligible and programmed, it is considered part of that race;
- (c) no horse is to be barred from another race to which it is eligible and has preference because it has been drawn as an also-eligible;
- (d) also-eligibles moved into races must be posted in the office of the racing secretary and their \*owners or \*trainers must immediately be so notified by the racing secretary;
- (e) also-eligibles not moved into a race by 10:00 a.m. of the \*day of the race must be released;
- (f) if an also-eligible is moved into a race it must be \*scratched from any subsequent race for which it has been drawn, unless preference otherwise allows.

#### 404 s Limits on sale and changing trainers

After having been drawn to start, or as an also-eligible \*horse in a \*race,

- (a) the horse may not be sold before the particular race, and
- (b) \*trainers may only be changed with the permission of the \*judges board.

#### 405 s Naming drivers

- (1) Drivers must be named not later than the time to permit their names to be published in the official track \*race program.
- (2) The deadline for naming drivers must be set by the \*licensed operator, and no driver may be changed after that deadline without permission of the \*judges board.

#### 406 s Errors in program

- (1) When there is conclusive evidence that a \*horse was properly declared to an overnight event, but omitted from a program due to error or negligence by an official or employee of the \*licensed operator, the horse so omitted may be added to the \*race and given the last \*post position, if
  - (a) the error is found before the printing of the official program, and
  - (b) the addition does not result in more than the maximum number of \*starters allowed in a single field.
- (2) If the program has been printed, the horse is not permitted to start.
- (3) If a horse omitted as described in subsection (1) was nominated or declared to a \*stake, it must be added to the race and given the last post position, and in that case, if its addition results in more than the maximum number of \*starters allowed in a single field, the event must be divided and the starters in each division and their post positions must be redrawn by lot.
- (4) If the omission described in subsection (1) is discovered during or within a reasonable time after the drawing of entries, and the \*judges board accept the reason for the omission, the race may be redrawn with the omitted horse being part of the draw.

### PREFERENCE RULES

#### 407 s Schooling races

Preference dates do not apply to \*horses racing in schooling races.

#### 408 s Preference priority rules

Preference is governed by the following:

- (a) if more than the required number of \*horses are declared in to a \*race with the same preference date, the previous preference dates apply;
- (b) when a horse is racing for the first time at the gait declared for it, it has preference for its first start over other horses, regardless of their preference dates;
- (c) when a horse is entered for its second lifetime start it has preference over horses that have started twice or more and have an equal preference date to single starter;

- (d) if a \*declaration is made for a horse that has already been drawn to start in a race that has not yet been contested, the date of that uncontested race is its preference date;
- (e) if a horse has been \*scratched, other than by the \*judges board, the date of the race from which it is scratched is its preference date;
- (f) if a race has been reopened for additional declarations, preference is to be given to those horses eligible and declared at the time declarations closed originally;
- (g) if conditions so specify, preference can be given to 2-year old horses, regardless of preference date.

### SCRATCHES

#### 409 s Permission to scratch

A \*horse properly declared may not be withdrawn or \*scratched from the \*race without permission of the \*judges board.

#### 410 s Eligible replacements for excused horses

*(amended 03/20)*

In handicap claiming races, in the event of an also eligible horse moving into the race, the also eligible horse shall take the place of the horse that it replaces provided that the handicap is the same. In the event the handicap is different, the also eligible horse shall take the position on the outside of horses with a similar handicap, except when the horse that is scratched is a trailing horse, in which case the also eligible horse shall take the trailing position, regardless of its handicap. In handicap claiming races with one trailer, the trailer shall be determined as the 4th best post position unless otherwise mandated by the appropriate regulatory body.

#### 411 s Scratches cannot be reinstated

A \*horse that is \*scratched from a \*race cannot be reinstated to participate in that race.

#### 412 s Scratches for veterinary reasons

A \*horse \*scratched by the \*official veterinarian or for veterinary reasons may not be declared for at least 48 hours from the \*day of the \*race from which it was scratched, and then only if it has been approved for \*entry by the official veterinarian.

## **DIVISION 4 POSTPONEMENT AND CANCELLATION OF RACES**

### **413 s Circumstances for postponement or cancellation**

A \*race may be cancelled or postponed by

- (a) the \*licensed operator after consultation with the \*judges board, the horsemen's representatives and the \*official veterinarian, or
- (b) the judges board after consultation with the licensed operator, the horsemen's representatives and the official veterinarian.

### **414 s Division of fees after cancellation**

In \*stakes that have not been started before being cancelled, all nomination and \*sustaining fees must be divided equally among the \*owners of \*horses remaining eligible at the time of cancellation.

### **415 s Distribution of fees in stakes that started** *(amended 03/20)*

If any division of an early or late closing event, stake or futurity is declared no contest by the Judges, the total of nomination, sustaining and starting payments applicable to that division shall be divided equally to all unoffending horses deemed to have started. Such distribution shall not be credited as purse winnings.

### **416 s Transfer of stakes prohibited without consent**

Unless otherwise provided in the conditions, \*stakes may only be transferred to another \*meeting with the approval of \*Horse Racing Alberta.

### **417 s Overnight events cancelled**

Overnight events that are not raced within 2 \*days of being postponed must be cancelled.

### **418 s Questionable track conditions**

If track conditions are questionable, the \*judges board must meet with a representative of the association and the duly elected representatives of the \*horsemen to consider the matter and the following applies:

- (a) if the \*meeting results in an unanimous decision that track conditions are safe for racing, no withdrawals are allowed;
- (b) if the meeting results in a decision other than an unanimous decision that track conditions are safe for racing, an \*owner or \*trainer may \*scratch a \*horse after depositing an amount equal to 10% of the total purse to be raced for with \*Horse Racing Alberta;
- (c) the money deposited is to be retained by Horse Racing Alberta, or returned to the owner or trainer, at the direction of the judges board;
- (d) if the number of withdrawals reduces the field to less than 5, the \*licensed operator may postpone a \*stake or cancel an overnight event.

## **DIVISION 5 PLACING AND MONEY DISTRIBUTION**

### **419 s Adverse conditions during a race** *(amended 03/20)*

If, in their opinion, the Judges are unable to properly judge the running or finish of a race they may declare the race to be "No Contest". When a race has been declared "No Contest" by the Judges, all monies wagered on that race will be distributed in accordance with the provisions of the Pari-Mutuel Betting Supervision Regulations under the Criminal Code (Canada). No purse distribution is to be made to any of the horses that started in such race except as provided for in Rule 415 or with the approval of the Registrar of Regulatory Authority. The line for the race will be charted by the charter to the best of his/her ability to indicate the performance of each horse in the race, however, such charted line shall not be used for the determination of preference dates or eligibility to any future race. In the event that the race that is declared "No Contest" is a claiming race the provisions of Claiming Races of these rules are applicable, and notwithstanding a determination that the race is "No Contest", title to the horse shall be deemed to have passed to the claimant if the claimed horse is behind the gate and the horse has reached the starting point.

### **420 s Announcement of postponement or cancellation**

If a decision is made by the \*judges board that \*races are postponed or cancelled, an appropriate announcement must be made by the judges board to the horsemen as soon as that decision is made.

### **421 s Purses distributed on dash basis** *(amended 03/20)*

- (1) All races shall be bona fide contests with the winner receiving the largest share of the purse and the balance of the purse distribution made according to the order of finish. No arrangement for equal distribution of the purse money is permitted.
- (2) Purse money redistributed must be limited to the first 5 finishing positions.

### **422 s Purse money distribution** *(amended 03/20)*

Unless otherwise specified in the conditions, purse money distribution in dashes shall be 50 percent, 25 percent, 12 percent, 8 percent and 5 percent. In added money events, if there are less than 5 starters, the remaining premium shall go to the race winner, unless the conditions call for a different distribution. In overnight events, if there are less than 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 Association but such premiums retained are not to be included in percentages of any agreement between the Association and any recognized participants' association.

### **423 s Less than 5 starters in a stakes**

If there are less than 5 \*starters in a \*stake,

- (a) each \*horse in the money is to receive
  - (i) its proportionate share of the total \*stakes fees, depending on the place of finish of that horse and the total number of horses that finished, and
  - (ii) its designated percentage of \*added money, and
- (b) the balance of added money must be returned to the sponsor.

### **424 s Horses not finishing** *(amended 03/20)*

- (1) If there are any premiums for which horses started but were unable to finish due to an accident or interference, all unoffending horses that did not finish shall share equally the premiums they would have been entitled to had they finished, and any remaining premiums shall be paid to the race winner.
- (2) If there are any premiums for which horses started but were unable to finish and the situation is not dealt with by these rules, all such premiums shall be paid to the race winner.

### **425 s Heats are races** *(amended 03/20)*

Every heat is a race and the purse shall be distributed as in dash races with nothing being required to be set aside for the race winner, unless otherwise stated in the conditions of an added money event.

### **426 s Fees may be deducted** *(amended 05/24)*

Where an agreement exists between a recognized harness participants' association and a racing association, drivers', trainers' and/or grooms' fees may be deducted from the purses payable to owners and paid to the driver, trainers and/or grooms within 30 days. A copy of such agreement must be filed with Horse Racing Alberta.

### **427 s Ineligible horses racing** *(amended 03/20)*

If for any reason a horse is disqualified or declared ineligible, any purse monies or trophies received by the owner, or driving and/or training fees (paid under Rule 426 s to the driver and/or trainer of the horse in the race) shall be returned, within 15 days of notification, to the Association for redistribution.

## **DIVISION 6 RACING RULES**

### **428 s Warming up and post parade**

At standardbred \*horse race \*meetings, when warming up a \*horse for a race, the person driving the horse must

- (a) wear silks and white pants, and
- (b) ensure the proper head number or saddle cloth, or both, are on the horse.

### **429 s Conduct at standardbred race meetings** *(amended 03/20)*

At Standardbred horse race meetings

- (a) a person driving a horse must not smoke on the race track after one hour before post time of the 1st race on a program;
- (b) no person may lead horses on the race track except during hours prescribed by the licensed operator;
- (c) drivers shall fulfill all engagements, unless excused by the Judges;
- (d) a driver must participate in, and be on time for, a post parade, unless the judges board otherwise permits.

### **430 s Hopples**

No \*horse

- (a) wearing hopples, may start in a \*race, other than a \*qualifying race, without those hopples unless it has qualified to do so, or
- (b) racing free-legged, may start in a race, other than a qualifying race, wearing hopples unless it has qualified to do so.

### **431 s Head poles** *(amended 03/20)*

No horse will be permitted in a race to wear any type of equipment that covers, protrudes, or extends beyond its nose or that in any way could interfere with the true placing of the horse.

### **432 s Major equipment changes**

Any trainer who wishes to change any bridle, hopples, length of hopples or shoes on a horse from one race to another shall apply to the Judges at least one (1) hour prior to the first schedule post time of the day, or a time prescribed by the Association, for permission to do so, and no change shall be made without such permission. The Judges shall assure themselves of the necessity for any change of bridles, hopples, length of hopples or shoes before granting permission. Any such change, or change(s) of a nature which the Judges are of the opinion that the public should be advised shall be communicated to the public as soon as possible.

### **433 s Post time** *(amended 03/20)*

The designated body shall establish post time for each race and the Judges shall call the horses onto the track at such time to allow the horses to parade and be exhibited before the public but to preclude an excessive delay before the start.

**434 s Time between races** *(amended 03/20)*

The time between separate heats of a single race shall be no less than 40 minutes.

**435 s Horses called for a race** *(amended 03/20)*

- (1) Horses called for a race shall have the exclusive right of the course, and all other horses shall vacate the racing strip as soon as possible.
- (2) In the case of accidents, only so much time shall be allowed as the Judges may deem necessary and proper.

**436 s Sulkies** *(amended 05/24)*

Sulkies are only permitted to be used in a race if they are of the conventional dual-shaft and dual-hitch type as follows:

- (a) the sulky must have 2 shafts that must be parallel to, and securely hitched on each side of the horse,
- (b) no point of hitch and no part of a shaft of a sulky is to be above a horizontal level equal to the lowest point of the horse's back,
- (c) all race bikes must be equipped with mud sheets and mud fenders at all extended meetings when deemed necessary by the Judges,
- (d) the sulky must be equipped with wheel discs of a colour which is not prohibited by the Pari-Mutuel Betting Supervision Regulations (Canada), as amended from time to time, and
- (e) only USTA approved conventional sulkies will be permitted to be used in a race.

**437 s Driver's colours** *(amended 03/20)*

Drivers must wear distinguishing colours, and shall not be permitted to drive in a race or other public performance unless, in the opinion of the Judges, they are well groomed and properly attired in clean driving outfits. During inclement weather conditions, drivers must wear rain suits made in their colours or made of a transparent material through which their colours can be distinguished. No person may use more than one design at any one time, unless approved by the Judges.

**438 s Gathering scores** *(amended 03/20)*

After being exhibited to the public in the post parade, the horses shall be gathered by the starter and then moved into their positions behind the gate.

**439 s Delay on backstretch limited**

\*Horses may be held on the backstretch while awaiting \*post time, but not more than 2 minutes, except when delayed by an emergency.

**440 s Two tiers of horses at the start** *(amended 03/20)*

In the event there are two tiers of horses, the scratching of a horse that has drawn or earned a position in the front tier shall not affect the position of the horses that have drawn or earned positions in the second tier, except as provided for in handicap claiming races.

**441 s Effect of horse withdrawing** *(amended 03/20)*

Whenever a horse is scratched from any tier, horses on the outside move in to fill up the vacancy.

**442 s Position of trailers** *(amended 03/20)*

When there is only one trailer, it may start from any position in the second tier. When there is more than one trailer, the inside trailer shall follow either the horse in the #1 or #2 position, the next trailer shall follow either the horse in the #3 or #4 position, the next trailer shall follow either the horse in the #5 or #6 position, the next trailer shall follow either the horse in the #7 or #8 position, the next trailer shall follow either the horse in the #9 or #10 position. In the event that there are more trailers than designated positions on the second tier, the Judges will determine where horses will line up.

**443 s Starting gate** *(amended 05/24)*

All races must be started with a mobile starting gate of a design approved by the provincial regulatory body. The starting gate must be equipped with two-way communications to the Judges' stand and a mechanical loudspeaker to be used for the sole purpose of communicating instructions to drivers. Other use of the loudspeaker is a violation.

**444 s Riders in the starting gate**

No person, except the \*starter, the starter's driver and a patrol \*judge, may ride in a starting gate without the permission of the \*judges board.

**445 s Starter's control** *(amended 03/20)*

- (1) The starter, with the assistance of the Judges, shall have control of the horses from the formation of the post parade until a start has been determined. For purpose of this rule, the determination of the start is when the horses have passed the starting point and have been released by the starter.
- (2) The determination of a fair start is signified by the word "go" announced by the starter at the starting point.

**446 s Horses brought to starting gate**

The \*horses must be brought to the starting gate as nearly one quarter of a mile before the start as the track will permit.

**447 s The start** *(amended 03/20)*

- (1) The starter shall cause the gate to move towards the starting point, gradually increasing the speed of the gate to maximum speed.
- (2) The starting point will be the point marked on the inside rail, a distance of not less than 200 feet from the first turn. The starter shall release the horses at the starting point.
- (3) When a speed has been reached in the course of a start there shall be no decrease, except in the case of a recall.

#### **448 s Fair start determination**

*(amended 03/20)*

- (1) The horses shall be deemed to have started when released by the starter at the starting point, which will be the official start unless a recall has been sounded and all horses must go the course unless dismissed by the starter or, in the opinion of the Judges, it is impossible to do so. A horse shall be deemed to be a starter when the horse's nose has reached the starting line.
- (2) Where the Judges determine that, after the horses have been released at the starting point, a horse was prevented from having a fair chance to contest a race due to exceptional circumstances, and it is deemed in the public interest to do so, such horse shall be declared a non-contestant and the provisions of the Pari-Mutuel Betting Supervision Regulations under the Criminal Code (Canada) pertaining to refunds shall apply.

#### **449 s Unmanageable horses**

*(amended 03/20)*

If, in the opinion of the Judges or the starter, a horse is unmanageable or liable to cause accidents or injury to any other horse or to any driver, it may be sent to the barn. When this action is taken, the starter will notify the Judges who shall scratch the horse.

#### **450 s Recall sounded**

*(amended 03/20)*

The starter shall endeavor to get all horses away in position and on gait. The starter shall only sound a recall when the starter notices any one of the following reasons:

- (i) a horse scores ahead of the starting gate,
- (ii) there is interference before the horses have reached the starting point,
- (iii) a horse has broken equipment, which the starter notices,
- (iv) a horse falls before the starting point,
- (v) a horse coming to the starting gate in the wrong position,
- (vi) a malfunction of the starting gate or in the interests of safety.

#### **451 s Action after recall**

*(amended 03/20)*

In case of a recall, a light visible to the drivers shall be flashed and a recall sounded. If possible, the starter shall leave the wings of the starting gate open and gradually slow the speed of the gate to assist in stopping and turning the field. Drivers shall take up their horses and return, without delay, to the point where fields are gathered for the start. There shall be no recall after the horses have been released by the starter.

#### **452 s Second recall, same horse**

The \*starter may, at any time before the word "go" is given, order a recall and restart the \*race, and if a 2nd recall is sounded because of the same \*horse in the same race, that horse is to be \*scratched.

#### **453 s Fair start pole**

*(amended 03/20)*

The fair start pole is a pole erected at the point approximately 200 feet before the start. The Fair Start Pole shall be yellow in colour and shall protrude at least two feet above the inner rail

#### **454 s When recall may be sounded**

When a \*horse has not reached the fair start pole when the word "go" is to be given, the \*starter may sound a recall.

#### **455 s Judges board inquiry sign**

*(amended 03/20)*

If a horse has not reached the Fair Start Pole when the horses are released at the starting point by the starter, the Judges shall cause the inquiry sign to be displayed immediately and shall request the horse be scratched from the mutuels.

### **DIVISION 7 DRIVING RULES**

#### **456 s Obligations of horse and driver at the start and during a race**

*(amended 03/20)*

A monetary penalty and/or a suspension may be applied by the starter or by the Judges for any of the following violations contained in subsections (i)-(vii). In addition, the Judges may place the offending horse for a violation of subsections (iii), (iv) or (vi) of this rule:

- (i) delaying the start,
- (ii) failure to obey the starter's instructions,
- (iii) allowing a horse to pass the inside or outside wing of the gate,
- (iv) coming to the starting gate in the wrong position,
- (v) crossing over before reaching the starting point,
- (vi) interference with another horse or driver during the start,
- (vii) failure to come into position or remain in position on the gate,
- (viii) charges the starting gate,
- (ix) changes course or position, or swerves in or out, or bears in or out during any part of the race in a manner that compels another horse to shorten its stride or cause another driver to change course, take the horse back, or pull the horse out of its stride;
- (x) impedes the progress of another horse or causes it to break from its gait;
- (xi) crosses over too sharply in front of another horse or horses;
- (xii) crowds another horse by putting a wheel under the horse;
- (xiii) carries another horse out;
- (xiv) strikes or hooks wheels with another sulky.

**457 s Pylon rule**

*(amended 03/20)*

- (1) Racetracks with pylons shall meet the following criteria regarding pylon location, and design standards
  1. sixty (60) feet apart on the straight away
  2. forty (40) feet apart on the turns
  3. pylons leading into the passing lanes to be 15 feet or less apart
  4. thirty (30) inches in length above ground
  5. pylons shall have the top three inches of the pylon painted or taped bright orange.
- (2) A horse while on stride, or part of the horse's race bike that leaves the race course by going inside the pylons which constitutes the inside limits of the course, when not forced to do so as a result of the actions of another driver and/or horse may be in violation of this rule. In addition, when an act of interference causes a horse, or part of the horse's race bike, to cross inside the pylons and the horse is placed by the Judges, the offending horse shall be placed behind the horse with which it interfered.
  - (a) if a horse while on stride, or part of the horse's race bike, goes inside two (2) consecutive pylons, the offending horse shall be placed behind all horses that are lapped on to the offending horse at the wire,
  - (b) if a horse while on stride, or any part of the horse's race bike, goes inside three (3) or more consecutive pylons, the offending horse shall be placed last, and
  - (c) if in the opinion of the Judges a horse while on stride, or part of the horse's race bike, goes inside a pylon(s) and that action gave the horse an unfair advantage over other horses in the race or the action helped improve its position in the race, the horse may be placed at the discretion of the Judges.
- (3) Drivers who in the opinion of the Judges leave the racing course when not forced to do so as a result of another driver and/or horse may be subject to a monetary penalty or suspensions.

**458 s Obligations of driver**

*(amended 05/24)*

- (1) A driver shall not commit any of the following acts which are considered violations of driving rules:
  - (a) fails to obey the starter's instructions;
  - (b) willfully backs off the starting gate after having been in position;
  - (c) allow another horse to pass needlessly on the inside, or commit any other act that helps another horse to improve its position;
  - (d) take up or slow up in front of other horses so as to cause confusion or interference among the trailing horses;
  - (e) lay off a normal pace and leave a hole when it is well within the horse's capacity to keep the hole closed;
  - (f) drive in a careless or reckless manner;

- (g) fail to set or maintain a pace comparable to a pace that the caliber of horses in the race are capable of, resulting in an excessively slow quarter or any other distance, considering track conditions, weather and circumstances confronted in the race;
  - (h) fail to properly contest a slow pace;
  - (i) take up or slow up in front of other horses and then subsequently come on when challenged;
  - (j) fails to report an interference or any other infraction that occurs during a race and was noticed by the driver;
  - (k) a driver violates the Rules if he/she lodges a complaint which the Judges deem to be frivolous;
  - (l) if the Judges believe that a horse is, or has been driven with design to prevent it winning a race or races, they shall consider it a violation by the driver;
  - (m) drives a horse to perpetrate or aid in a fraud or corrupt practice;
  - (n) if the Judges believe that a horse has been driven in an inconsistent manner, they shall consider it a violation;
  - (o) whips shall:
    - (i) be no more than 48 inches in length, not including the snapper;
    - (ii) be made of a material other than rawhide;
    - (iii) include a snapper that is no less than 6 inches and no more than 12 inches in length; and
    - (iv) not include a snapper that is altered from original manufacture or knotted.
  - (p) uses a whip in a brutal, excessive or indiscriminate manner;
  - (q) a driver shall not make an overt kicking motion towards the horse before, during or after a race;
  - (r) uses a whip to interfere with or cause disturbance to any other horse or driver;
  - (s) strikes a wheel disc with a whip;
  - (t) If the Judges believe that a horse has been driven in an unsatisfactory manner due to lack of effort, they shall consider it a violation.
- (2) Urging rule violations
    - (a) At any time while on the grounds of an Association, it is a violation of the Rules for a driver, or the person in control of the horse, to engage in any of the following actions with respect to their driving conduct:
      - (i) indiscriminate action, which is characterized by unrestrained or careless activity;
      - (ii) excessive action, which is characterized by unreasonable quantity or degree, including using the whip continuously and/or without allowing the horse time to respond;
      - (iii) aggressive action, which is characterized by inhumane, severe or brutal activity.



- (b) The whip shall not be used on a horse in a race:
  - (i) where the horse is not visibly responding;
  - (ii) where the horse is not in contention for a meaningful position;
  - (iii) where the horse is not maintaining or improving its position;
  - (iv) where the horse is clearly winning;
  - (v) where the horse has passed the winning post at the finish of a race.
- (c) At any time while on the grounds of an Association, the whip shall only be used for safety purposes and for very light encouragement. The only movement allowed to encourage a horse is a movement of the wrist.

It is a violation of the Rules for a driver, or the person in control of the horse, to use the whip to hit or make contact with the horse as follows:

- (i) to raise their hand(s) above their head;
  - (ii) to use more than acceptable wrist action;
  - (iii) to cause any portion of the whip to be outside the confines of the wheels of the race bike;
  - (iv) to strike the shaft of the race bike, or the horse below the level of the shaft of the race bike;
  - (v) to cut or welt a horse.
- (d) A driver, or the person in control of the horse, is required to:
    - (i) keep a line in each hand for the entire race, from the starter's call to the gate until the finish of the race, except for the purpose of adjusting equipment;
    - (ii) keep both hands in front of their body;
    - (iii) keep their hands below their head, and
    - (iv) have control of their horse at all times when on the racetrack.
  - (e) Violation of any of the provisions in Rule 458 s (2) Urging rule violations (a), (b), (c) and (d) may result in any of the following penalties:
    - (i) monetary penalty;
    - (ii) suspension;
    - (iii) placement;
    - (iv) disqualification, and/or
    - (v) any other penalty as ordered.

#### **459 s Drivers to remain mounted**

*(amended 03/20)*

A driver must be mounted in the race bike at the finish of the race or the horse must be placed as not finishing.

A horse shall be placed as not finishing where the driver at any time during the running of the race was not mounted in the race bike but was mounted in the race bike at the finish of the race. In such case, the Judges may invoke the provisions of Rule 448 if they deem it in the public interest to do so.

If, during the preliminary scores or during a race a driver is unseated in such a manner that he/she falls to the ground, the Judges may direct the driver to report to the paramedics or first respondents or to the emergency department of the nearest hospital for examination and receive written clearance to continue with driving assignments on that day of racing.

A driver is unseated and appears to have been injured, the horse that was being driven by that driver may compete with a substitute driver.

#### **460 s Feet in stirrups**

*(amended 03/20)*

Drivers shall keep both feet in the stirrups during the post parade, while in front of the grandstand, and from the time the horses are brought to the starting gate until the race has been completed. Drivers shall be permitted to remove a foot from the stirrups during the course of the race solely for the purpose of pulling ear plugs and once these have been pulled, the foot must be placed back into the stirrup. If a driver's foot is in the stirrup, he or she shall not allow his/her foot to hit a horse in any manner.

#### **461 s Horse breaking from its gait**

*(amended 03/20)*

- (1) If a horse is not on its proper gait, in a race, for 25 consecutive strides or more (extended break) after the horse's nose has crossed the start line, that horse shall be placed last. However, the Judges may, in their discretion, determine not to set the horse back if interference caused by another driver(s) or horse(s) has caused the horse to be on a break for 25 consecutive strides or more.
- (2) When a horse breaks from its gait in a race, the driver shall:
  - (a) take the horse to the inside or outside of other horses where clearance exists;
  - (b) properly attempt to pull the horse to its gait; and
  - (c) continuously loses ground while on the break.
- (3) If there has been no violation of subsection (1), and (a), (b) or (c) above, the horse shall not be set back unless a contending horse on its gait is lapped on the hind quarter of the breaking horse at the finish, however, notwithstanding the foregoing, if interference caused by another driver (s) or horse(s) has caused the horse to be on a break at the finish, the Judges may, in their discretion, determine not to set the horse back even if a contending horse on its gait is lapped on the hind quarter of the breaking horse at the finish. The Judges may set any horse back one or more places if, in their judgment, any of the above violations have been committed, and the driver may be subject to a monetary penalty or suspension or both.

**462 s Deliberate breaking of gait prohibited** *(amended 03/20)*

If, in the opinion of the Judges, a driver allows a horse to break for the purpose of losing a race, he/she shall be in violation of the Rules.

**463 s Judges board record** *(amended 03/20)*

It shall be the duty of one of the Judges to ensure that all breaks are duly recorded in the Judges' official race reports.

**464 s Unfit or incompetent drivers** *(amended 03/20)*

The Judges may remove a driver at any time if, in their opinion, his/her driving would not be in the best interest of harness racing.

**AFTER THE RACE**

**465 s Dismissal of drivers after race**

At the conclusion of the \*race, each driver must return in their sulky to be dismissed by the \*judges board or their designate.

**466 s Starter to remain in starting gate** *(amended 03/20)*

A complaint by a driver of any foul, violation of the Rules, or other misconduct during a race shall be made immediately after the race to which it relates, unless the driver is prevented from doing so by an accident or injury or other reasonable excuse. A driver desiring to enter a claim of foul, or other complaint of violation of the Rules, shall make this known to the nearest patrol judge and shall proceed forthwith to the paddock telephone to communicate immediately with the Judges. The Judges shall not cause the official sign to be posted until the matter has been dealt with.

**467 s When no communication facilities are available**

When no communication facilities are available to the \*judges board, drivers wishing to lodge \*claims of foul, \*violation of these or any \*other rules or other complaints must so indicate to the judges board when being dismissed and must, without delay, proceed to the judges board stand.

**468 s Official sign delayed pending complaint resolution**

The \*judges board is not to cause the official sign to be posted until a \*claim of foul, \*violation of these or any \*other rules or other complaint has been dealt with by the judges board.

**469 s Choking or bleeding to be reported** *(amended 03/20)*

If a horse chokes or bleeds during a race, the driver and/or trainer of that horse is required to report this to the Judges immediately after the race. This information shall be contained in the official past performance line of that horse.

**470 s Broken equipment to be reported** *(amended 03/20)*

If for any cause other than being interfered with, or broken equipment, a horse fails to finish after starting a race, that horse shall be ruled out. If it is alleged that a horse failed to finish a race because of broken equipment, this fact must be reported to the paddock judge who shall make an examination to verify the allegation and report the findings to the Judges.

**DIVISION 8  
TIME AND RECORDS**

**471 s Time records**

The fastest time raced by a \*horse in a heat or dash which it won, or in a performance against time, is its record.

**472 s Timing of heats**

- (1) The time of each heat or dash must be accurately timed and placed in the record in minutes, seconds and fifths of seconds.
- (2) After the decision of each heat the time of that heat must be publicly announced or admitted to the record, unless the timers failed to time, in which case no time is to be announced or recorded.

**473 s Alleged errors**

In the case of an alleged error in the record, announcement, or publication of the time made by a \*horse, the time questioned is not to be changed to favour that horse or its \*owner, unless directed by the \*judges board and timers who officiated at the \*race.

**474 s Timing of race**

- (1) The time for a \*race is to be taken from the 1st \*horse leaving the point from which the distance of the race is measured until the winner crosses the wire.
- (2) In case of a dead heat for win, the time constitutes a record for the horses in the dead heat.

**475 s Win-race record**

- (1) No \*horse may obtain a win-race record because of the disqualification of another horse unless that horse is declared the winner because the other horse was disqualified as a breaking horse on which the horse was lapped.
- (2) No horse may obtain a win-race record in a \*qualifying race unless that horse in the \*race in which it competed was subjected to and passed a urine test or other officially recognized test.
- (3) The \*judges board must note on the official race reports for each qualifying race whether or not the race was subject to a urine test or other officially recognized test.

## CHAPTER 4: TRANSITION, REPEAL AND COMING INTO FORCE

### 476 g Transitional from racing rules

- (1) In this section, "former rules" means the Horse Racing Rules published in the Alberta Gazette dated May 1, 2013 and thereafter from time to time, including any directive so published prior to the date of coming into force as noted in section 479.
- (2) Appointments made, approvals given, and authorizations given under the former rules that are in effect when these rules come into effect continue as if the appointments had been made and approvals and authorizations given under these rules.
- (3) An action taken or decision made under the former rules having continuing effect continues under these rules as if made under these rules, unless subsection (4) applies.
- (4) Any appeal based on a decision made under the former rules that has not been heard or concluded when these rules come into force is to be continued to its conclusion as if the former rules had remained in force and these rules had not come into force.
- (5) A decision made or penalty imposed the former rules has the same effect as if it had been made under these rules.

### 477 g Transitional from former licensing rules

- (1) In this section, "former rules" means the *Horse Racing (Officials and Participants) Licensing Rules* published in the Alberta Gazette dated May 1, 2013 and thereafter from time to time, including any directive so published prior to the date of coming into force as noted in section 479.
- (2) Licences held by a person under the former rules when these rules come into force are continued and have the same effect as if issued under these rules.
- (3) A person appointed to a position under the former rules and who holds that position when these rules come into force continues to hold that position as if they had been appointed under these rules.
- (4) \*Judges boards and \*stewards boards that exist under the former rules when these rules come into force continue as \*judges boards and \*stewards boards under these rules as if they had been appointed under these rules.
- (5) An action taken or decision made under the former rules that has continuing effect is considered to be an action taken or decision made under these rules, unless subsection (6) applies.

- (6) Any appeal based on a decision made under the former rules that has not been heard or concluded when these rules come into force is to be continued to its conclusion as if the former rules had remained in force and these rules had not come into force.
- (7) A decision made or sanction imposed the former rules has the same effect as if it had been made under these rules.

### 478 g Repeal of former rules

- (1) Any Horse Racing Rules or *Horse Racing (Officials and Participants) Licensing Rules* published in the Alberta Gazette prior to the within Rules and/or those coming into force on May 1, 2013.
- (2) The repeal described in subsection (1) is subject to the application of section 476(4) and section 477(6), if they apply.

### 479 g Coming into force

These rules come into force on January 1, 2022.

## - DICTIONARY OF DEFINITIONS

### In these rules:

**Act** means the Horse Racing Alberta Act;

**added money** means money added to the nomination, sustaining, entry, and starter fees of a stakes race;

**age** means age calculated from January 1 in the year in which a horse is foaled;

**analgesic** means a drug or foreign substance which may alleviate pain by lessening the excitability of nerves or nerve centres;

**animal health technologist** means a person who is a registered animal health technologist under the Veterinary Profession Act;

**Assistant Director, Regulatory and Supervisor of Security & Investigations** – means the individual appointed or continued as Assistant Director, Regulatory and Supervisor of Security & Investigations;

**bleed** means

- (a) the presence of blood in the trachea or bronchi of a horse in sufficient quantity to affect its performance in an official workout or a race, as established by a licensed veterinarian, after examination with a fiberoptic bronchoscope, or
- (b) an exercise induced pulmonary hemorrhage from the nostrils of a horse, as established by the official veterinarian;

**bred** means the place of birth of a horse;

**Canadian bred horse** means a horse that is foaled in Canada;

**certified horse** means a horse that is certified under the EIPH Program;

**chance to response** means approximately three strides

**claim** or **claiming** means the right of a person to claim a race horse as their own and have ownership of the horse transferred to them;

**claiming race** means a race in which every horse running in the race may be claimed in accordance with these rules;

**day** means a period of 24 hours ending at midnight;

**declaration** means an indication in the prescribed form of an intention to start or not to start a horse in a race;

**depressant** means a drug or foreign substance which may exert a soothing influence by diminishing pain, depressing vital activity, or tranquillizing normal muscular movement;

**Director, Regulatory and Supervisor of Racing** means the individual appointed or continued as the Supervisor of Racing under these rules;

**drug** means a substance that is prohibited from use during horse racing and includes those substances:

- (a) defined in the Schedule to the Pari-Mutuel Betting Supervision Regulations, (Canada) as amended from time to time,
- (b) specified in a directive of Horse Racing Alberta,
- (c) defined by the Food and Drug Act (Canada), in Schedules G and H as amended from time to time, and includes
- (d) any substance which prevents or interferes with the identification or detection of a drug,
- (e) a stimulant, depressant, local anaesthetic and analgesic, and
- (f) any metabolite, derivative, isomer, or salt of any of the above substances referred to in clauses (a) to (c);

**entry** includes

- (a) the act of entering a horse;
- (b) a horse entered to start in a race;

**EIPH Program** means the exercise induced pulmonary hemorrhage program continued by these rules;

**eligibility certificate** means a certificate in the prescribed form for the purpose of identifying a horse and recording time records, money winnings and current past performance information of the horse at the gait on which it performs, including the electronic facsimile of information in a recognized computer bank or print-out;

**foreign substance** means any substance whatever that is not a natural component of the blood, saliva, urine or other bodily substance;

**fractional ownership** – means a person holding a race horse owners license under these rules that owns less than 10% of a race horse and has not owned a race horse during the 3 years prior to applying to become a fractional owner;

**futurity** means a harness stakes race in which the in foal dam of the competing animal, or the animal itself, is nominated during the year of foaling;

**handicap** means

- (a) in a thoroughbred race, a race in which the weights carried by the horses are adjusted by the handicapper for the purpose of equalizing their chances of winning;
- (b) in a harness race, a race in which performance, claiming price, sex or distance allowance is made;

**helmet** - an approved helmet is a form of protective safety equipment worn to protect the head of the driver/jockey and other racetrack personnel in the event of an accident.

**horse** means an equine of any breed, including a horse, gelding, mare, colt, or ridgling;

**horse race** means a horse race in any of its forms;

**Horse Racing Alberta** means the chief executive officer of Horse Racing Alberta, the Board of Directors of Horse Racing Alberta, or a person or committee authorized by the chief executive officer or the Board of Directors;

**jockey** includes an apprentice jockey;

**judge** means an individual appointed or continued as a judge under the Horse Racing (Officials and Participants) Licensing Rules;

**judges board** means the board of judges established or continued for standardbred horse races;

**judges board list** means a list of horses that are refused declaration;

**judge/steward** means an individual appointed by Horse Racing Alberta as a judge, a steward, or as a judge and as a steward, and includes the Supervisor of Racing;

**judges/stewards board** means the board of judges or board of stewards appointed with respect to a race meeting and includes a judge or steward making an individual decision when the circumstances warrant;

**licensed operator** means the holder of a race track operator's licence or otherwise authorized by the Board of Directors of Horse Racing Alberta to conduct a horse race; under rules made by the Board of Directors of Horse Racing Alberta;

**licensed owner** or **owner** means a person holding a race horse owner's licence under these rules and includes a lessee, but does not include a person who has an interest in the winnings of a horse only;

**licensed veterinarian** means a person who is a registered veterinarian under the Veterinary Profession Act and who is licensed to provide veterinary medicine to race horses under these rules;

**local anaesthetic** means a drug or foreign substance which may prevent or diminish perception to stimuli by the periphery termination of sensory nerves;

**maiden** means a horse which, at the time of starting,

- (a) in the case of thoroughbred races, has never won a race on the flat at any recognized meeting, and includes a maiden which has been disqualified after finishing first (1st) in a race;
- (b) in the case of harness races,
  - (i) has never won a heat or race at the gait at which it is entered to start and for which a purse is offered, excluding schooling races, or
  - (ii) has never been awarded a winning purse after the official sign was posted, but if a maiden finished 1st in a race for which a purse is offered and is subsequently disqualified, the horse does not lose its maiden classification;

**medication** means something used to treat a horse that must be recorded but is not prohibited from use during racing;

**meeting** – see race meeting;

**minor meeting** means a race meeting recognized by Horse Racing Alberta as a minor horse race meeting;

**notwithstanding** means in spite of

**official performance records** means past performance statistics of races;

**official veterinarian** means an individual appointed by Horse Racing Alberta as official veterinarian;

**official veterinarian's list** means a list of horses maintained by the official veterinarian that are ineligible to enter or start a race because of lameness, illness, bleeding, or any other health reason;

**other rules** means rules made by the Board of Directors of Horse Racing Alberta under the Act, other than these rules;

**owner** – see licensed owner;

**possession** includes having anything in a person's personal possession or knowingly

- (a) having it in the actual possession or custody of another person, or
- (b) having it in any place, whether or not that place belongs to or is occupied by the person, for their own use or benefit of another person,

and if one or more persons, with the knowledge and consent of others has anything in their custody or possession, it is considered to be in the custody and possession of the person and everyone who has knowledge of or consents to that possession;

**post position** means the position assigned to the horse for the start of the race;

**post time** means the time set for the arrival at the starting point of the horses in a race;

**prescribed form** means a form prescribed by Horse Racing Alberta;

**qualifying list** is a list of horses that are required to go a qualifying race;

**qualifying race** means a race in which a horse must establish its ability to participate at a race meeting consistent with the qualifying standards established for a class of horse;

**race, race meeting** or **meeting** means a contest between horses for a stakes, a purse or plate, a sweepstake, a private sweepstake, a match, or an overnight event, and when a licensed operator decides to run a race in 2 or more divisions, each division is a race for the purpose of these rules;

**race horse** means an equine of any breed that

- (a) is owned or otherwise maintained by a racing participant for the purposes of running in a horse race,
- (b) is located at or on a race track or is otherwise used or maintained for the purposes of or in connection with horse racing, or
- (c) is designated by Horse Racing Alberta as a race horse;

**race track** includes

- (a) any location or grounds at which a horse race takes place or customarily takes place, and
- (b) any buildings and facilities located on that location or those grounds;

**racing official** means an individual appointed and, when required, appropriately licensed as a racing official under these rules;

**racing participant** means an individual appropriately licensed as a racing participant under these rules;

**racing season** means the period in Alberta starting with the 1st horse race and ending with the last horse race in a calendar year and includes any meeting commencing in one calendar year and concluding in the next ensuring calendar year;

**registered veterinarian** means a veterinarian registered under the Veterinary Profession Act;

**safety vests** - an approved safety or protective vests are pieces of driver/jockey equipment used to help reduce the effect of an impact on the driver/jockey and other racetrack personnel in the event of an accident.

**scratch** - means withdrawing a horse from a race in which it has been entered;

**Security Investigators** – means individuals appointed or continued as security investigators;

**stakes** see definition of sweepstakes; starter means, as the context requires,

- (a) a horse that is in the starting gate when the stall doors open in front of the horse in a valid start,
- (b) the person who dispatches the field of horses, or
- (c) a horse that has passed the fair start pole when the starter dispatches the horses with the word go;

**starter's list** means the list of horses maintained by a starter under these rules;

**steward** means an individual appointed as a steward under these rules;

**stewards board** means the board of stewards established or continued for thoroughbred racing under these rules;

**stimulant** means a drug or foreign substance which may exert an increase or excitation of the function of a part or organ of an animal;

**sulky** - is a dual wheel racing vehicle (bike) with dual shafts not exceeding the height of the horse's withers, shafts must be hooked separately on each side and the sulky must be approved by the United States Trotting Association.

**sustaining fees** includes interim, declaration and starting fees or payments;

**sweepstakes** or **stakes** means

- (a) a race in which stakes, nomination, entry or starting fees are made by the owners of the horses engaged, and nominations close at least 72 hours before running, or
- (b) a race without payment of stakes fees, for which horses are invited by an association to run for a guaranteed purse that is not less than the minimum stake purse established for that particular race meeting but no overnight race is to be considered a stakes race;

**test barn** means a secure area used to hold horses after a race to collect urine, blood, saliva, body fluid, or any other samples as the judges/stewards may direct;

**trainer** means the holder of any category of trainers licence under these rules and includes a person acting as a substitute trainer;

**trainer's licence** includes a category A trainer's licence, a minor meeting trainer's licence, and an assistants trainer's licence;

**unregistered veterinary auxiliary** means a person who is employed by a licensed veterinarian in a lay capacity;

**veterinarian's list** means the list of horses maintained by the official veterinarian who, for veterinary reasons, are unfit to race;

**veterinary medicine** has the same meaning as it has under the Veterinary Profession Act;

**violates** or **violation** means a failure to comply with or a contravention;

**walkover** is an event where the only competitor is a horse or entry running in a single interest.

**SCHEDULE 2****LICENCE FEES - MAJOR CIRCUITS****THE FOLLOWING FEES ARE PAYABLE IN RESPECT OF EACH OF THE FOLLOWING LICENCES:****THOROUGHBRED**

Animal Health Tech .....	30
Apprentice Jockey .....	25
Assistant Trainer .....	40
Asst Trainer-Open Claim .....	65
Authorized Agent .....	20
Business .....	30
Exercise Person .....	10
Farrier/Plater .....	40
Feed Person .....	20
Groom .....	10
Groundskeeper .....	5
Jockey .....	50
Jockey Agent .....	50
Limited Company .....	50
Miscellaneous .....	10
Owner .....	50
Owner-3 year .....	150
Owner-Fractional-2 year .....	10
Owner/Open Claim .....	50
Owner/Trainer .....	75
Owner/Trainer-3 year .....	225
Pony Person .....	10
Pony Rider .....	10
Racing Official .....	5
Stable Registration .....	50
Test Inspector .....	5
Tradesperson .....	20
Trainer .....	50
Trainer/Open Claim .....	75
Trainer-3 year .....	150
Valet .....	5
Van Driver .....	20
Veterinarian .....	75
Veterinarian Auxiliary .....	25
Duplicate Licence .....	5

**STANDARD BRED**

Animal Health Tech .....	30
Authorized Agent .....	20
Business .....	30
Driver .....	50
Driver/Open Claim .....	75
Farrier/Plater .....	40
Feed Person .....	20
Groom .....	10
Limited Company .....	50
Miscellaneous .....	10
Owner .....	50
Owner-3 year Licenses .....	150
Owner-Fractional-2 year .....	10
Owner/Open Claim .....	50
Owner/Trainer/Driver .....	100
Owner/Trainer/Driver-3year .....	300
Racing Official .....	5
Stable Registration .....	50
Test Inspector .....	5
Tradesperson .....	20
Trainer .....	50
Trainer-3 year .....	150
Trainer/Owner .....	75
Trainer/Owner-3 year .....	225
Trainer/Open Claim .....	75
Trainer/Driver .....	75
Trainer/Driver-3 year .....	225
Trainer/Driver/Open Claim .....	100
Van Driver .....	20
Veterinarian .....	75
Veterinarian Auxiliary .....	25
Duplicate Licence .....	5

**LICENCE FEES - MINOR CIRCUITS****THE FOLLOWING FEES ARE PAYABLE IN RESPECT OF EACH OF THE FOLLOWING LICENCES:****THOROUGHBRED**

Animal Health Tech .....	20
Assistant Trainer .....	10
Asst Trainer-Open Claim .....	15
Authorized Agent .....	5
Business .....	10
Exercise Person .....	5
Farrier/Plater .....	10
Feed Person .....	5
Groom .....	5
Groundskeeper .....	5
Jockey .....	10
Jockey Agent .....	10
Limited Company .....	25
Miscellaneous .....	5
Owner .....	10
Owner-3 year .....	30
Owner/Open Claim .....	10
Owner/Trainer .....	20
Owner/Trainer-3 year .....	60
Pony Person .....	5
Pony Rider .....	5
Racing Official .....	5
Stable Registration .....	25
Test Inspector .....	5
Tradesperson .....	10
Trainer .....	10
Trainer-3 year .....	30
Trainer/Open Claim .....	20
Valet .....	5
Van Driver .....	5
Veterinarian .....	75
Duplicate Licence .....	5

**STANDARD BRED**

Animal Health Tech .....	20
Authorized Agent .....	5
Business .....	10
Driver .....	10
Driver/Open Claim .....	20
Farrier/Plater .....	10
Feed Person .....	5
Groom .....	5
Limited Company .....	25
Miscellaneous .....	5
Owner .....	10
Owner-3 year Licenses .....	30
Owner/Open Claim .....	10
Owner/Trainer/Driver .....	25
Owner/Trainer/Driver-3year .....	75
Racing Official .....	5
Stable Registration .....	25
Test Inspector .....	5
Tradesperson .....	10
Trainer .....	10
Trainer-3 year .....	30
Trainer/Owner .....	20
Trainer/Owner-3 year .....	60
Trainer/Open Claim .....	20
Trainer/Driver .....	20
Trainer/Driver-3 year .....	60
Trainer/Driver/Open Claim .....	25
Van Driver .....	5
Veterinarian .....	75
Duplicate Licence .....	5



## SCHEDULE 3

### EXTRACT FROM THE HORSE RACING ALBERTA ACT

#### Section 16(1) of the Horse Racing Alberta Act reads:

16(1) For any purpose referred to in subsection (2), a racing official designated under subsection (3) may, during any hours that are reasonable in the circumstances, from time to time or at any specific time

- (a) on, at or near a race track carry out inspections of
  - (i) race horses,
  - (ii) buildings, areas, receptacles or facilities,
  - (iii) vehicles,
  - (iv) racing participants,
  - (v) veterinarians, analysts and other persons employed or carrying out work at a race track, and
  - (vi) any documents, records, objects and things used in respect of race horses or the conduct of horse racing;
- (b) on, at or near a race track, on demand, take samples of fluids, material, substances and objects from or used in respect of race horses;
- (c) on, at or near a race track, on demand, take samples of breath and body fluids from racing participants;
- (d) carry out inspections of
  - (i) off track wagering facilities,
  - (ii) facilities at which the simulcast of horse racing takes place, and
  - (iii) any documents, records, objects and things used in respect of off track wagering facilities or the simulcast of horse racing.
- (2) A racing official may act under subsection (1) for the purposes of
  - (a) administering this Act,
  - (b) fostering compliance with this Act,
  - (c) fostering the safety and health of race horses and persons engaged in horse racing, and
  - (d) fostering the fair and proper conduct of horse racing and the protection of the public.
- (3) The Corporation may designate those racing officials who may carry out inspections and other functions and duties under subsection (1).

#### Section 17(1) of the Horse Racing Alberta Act reads:

17(1) A racing official designated under subsection (3) may do one or more of the things referred to in subsection (2) if the racing official suspects that

- (a) the safety or health of a race horse is in jeopardy,
- (b) a substance that is prohibited under the rules or any enactment has been administered to a race horse,
- (c) a race horse has been fitted with or had implanted on or in the race horse a device of any nature that is prohibited under the rules or any enactment,
- (d) a horse race has been conducted in a manner not authorized under the rules,
- (e) any object or equipment has been used in respect of a race horse or a horse race that is prohibited under the rules or does not comply with the rules,
- (f) any improper activity has taken place in respect of the handling of a race horse or the conduct of a horse race, or
- (g) any person has engaged in any other activity for which a person's licence may be suspended or revoked or a sanction or penalty may be imposed under this Act.

#### Section 18(1) of the Horse Racing Alberta Act reads:

18(1) A racing official designated under subsection (3) may conduct an investigation and hearing into any matter where the racing official or an employee or agent of the Corporation is of the opinion that a person has or is suspected by that racing official, employee or agent of having

- (a) failed to comply with or contravened this Act, or
- (b) carried out an activity or acted in a manner that is prejudicial to the best interests of horse racing,

for which a licence may be suspended or revoked or other penalties or sanctions may be imposed under the rules.

#### 22(1) The Corporation may make rules

(ee) prescribing rulings and directions that can be appealed to the Appeal Tribunal.

#### 24 The board shall

(2) An Appeal Tribunal panel established under subsection (1) may perform the functions of the Appeal Tribunal in respect of the particular matter or class or group of matters for which the panel was established, and when performing any of those functions, the panel has all the powers and jurisdiction of the Tribunal, except for the power to make rules under section 28(2).

## SCHEDULE 4

### Footnotes

- 1 These rules are made by Horse Racing Alberta under section 22 of the Horse Racing Alberta Act.
- 2 The Interpretation Act applies to the interpretation of all provincial acts and regulations. These rules adopt the Interpretation Act provisions so that the Act applies to these rules.
- 3 See Schedule 3 for copies of section 16(1)(2)(3), of the Horse Racing Alberta Act.
- 4 See Schedule 3 for section 16(1) of the Horse Racing Alberta Act.
- 5 See Schedule 3 for section 17(1) of the Horse Racing Alberta Act.
- 6 A registered veterinarian is a veterinarian registered under the Veterinary Profession Act.
- 7 Licensed veterinarians must be registered under the Veterinary Profession Act.

