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**THOROUGHBRED DIRECTIVE NUMBER 1 - 2001
RULES OF THOROUGHBRED RACING, 2000**

The Ontario Racing Commission at its meeting of Thursday, January 25, 2001, resolved that the Rules of Thoroughbred Racing, 2000, be amended by the promulgation of the changes to the following rules effective immediately.

**Chapter 4
LICENSING**

Rule 4.01.1

The Commission Agent shall issue licences to racing officials, pari-mutuel employees, stable employees and every person who practices his/her profession, trade or calling, on a racetrack provided such licences have been approved by the **Director of Racing**.

Rule 4.01.5 (a) DELETE

Rule 4.01.5 (b)

The **Director** of Racing and/or the Supervisor of Thoroughbred Racing, may suspend the licence of any licensee who has accumulated unpaid obligations relating to racing, become bankrupt, or otherwise displayed financial irresponsibility reflecting on the sport. No such action shall be taken unless and until the **Director** of Racing or the Supervisor of Thoroughbred Racing, as the case may be, is presented with a judgement or judgements from a court or courts having competent jurisdiction over the matter, and the **Director** of Racing or the Supervisor of Thoroughbred Racing is satisfied that the participant is indebted and has been adjudged a debtor in a matter relating to Thoroughbred racing in any of its forms. In the case of a licensee who has become bankrupt, the **Executive Director**, the **Director** of Racing and/or the Supervisor of Thoroughbred Racing, as the case may be, may licence such participant to work for wages for another licensed participant. However, the bankrupt licensee may not carry on his or her trade or calling as an independent business or operate as a public stable without the permission of the trustee in bankruptcy and the **Director of Racing**.

Rule 4.11

The **Director** of Racing may demand the surrender of any occupational licence.

Rule 4.14

A licensee must ***serve the Director of Racing and*** the Commission ***with a written notice of any change*** in permanent address ***not later than five (5) days after the change.***

Rule 4.15

A person shall not participate in the affairs of an Association as Director, General Manager, Officer, Agent, or Employee of such association without first receiving a licence from the Commission, nor shall any person participate in racing as an Official, Owner, Trainer, Jockey, Apprentice Jockey, Jockey's Agent, Jockey's Valet, Trainer, Groom, Authorized Agent, Tradesperson, or Veterinarian, or stable employee, nor shall anyone practice his/her profession, trade, occupation, calling including pari-mutuel employees unless such persons have applied for an have been issued a current Commission licence classified in the appropriate category. An association may admit to its grounds the holder of the licence to enable the licensee to have access to the area where the licensee is obliged to perform his/her duties. A licence will not be required for the employee of a company, partnership, or person with whom the association has an agreement to supply goods or services on a frequent basis, if permission to be exempt from licensing has been received from the ***Direc- tor*** of Racing.

Chapter 6 ENTRIES AND SUBSCRIPTIONS

Rule 6.01

No horse will be permitted to enter or start unless:

- (a) it is duly registered with and approved by the registry office of The Jockey Club (Kentucky) and its registration certificate is filed with the Association by the time required for identification purposes, or qualifies under Rule 6.44 (b). In the case of a horse which has previously run at a track in Ontario, the horse would be allowed to compete with a ***facsimile or*** photocopy of the foal certificate. The purse, if any, shall be held until the original foal certificate has been filed with the Association at the discretion of the Stewards.

Rule 6.14.4

If Rule 6.14.2 applies to an owner, the horse may race as a separate betting interest, with the approval of the Stewards, if the owner is not required to be licensed under the rules.

Rule 6.30.1

A horse, ***other than a first time starter***, shall not be eligible to race unless it has started in a race or completed a timed workout ***at a minimum distance of 3/8 mile*** satisfactory to the Stewards within thirty (30) clear days of the day of the race for which it is entered. The Stewards shall determine the qualifying times for all distances, surfaces and conditions. The rule may be waived for Stakes races at the discretion of the Stewards.

Rule 6.35

All first life-time starters must have at least two (2) published workouts *at a minimum distance of 3/8 mile* in the current year and at least one (1) of these workouts must be from the starting gate within 30 clear days of the day of entry.

Chapter 8 WEIGHTS

Rule 8.01 – DELETE

Chapter 9 JOCKEYS

Rule 9.27

- (e) Jockey's whips shall not exceed 30 inches in length including a rubber or natural ***stitched or open*** leather looped popper 1 and 1/2 inches in width. Also, there shall be 3 rows of feathers at least 1 inch in length.

Chapter 11 FROM PADDOCK TO FINISH

Rule 11.09.4 – DELETE

Chapter 12 CLAIMING RACES

Rule 12.01.1

In claiming races, any horse is subject to be claimed for its entered price by any owner who:

- (a) is the holder of an owner's licence, in good standing with the Commission;
- AND
- (b) has started a horse at the meet for which the claim is made, either on his/her own or in a multiple ownership during the racing season in which the claim is being made;
- OR
- (c) ***is eligible to claim under Rule 12.29***

A claimed horse, regardless of ownership, must race only at tracks in the Province of Ontario for the next ninety days or until the end of the track's meet where the horse was claimed, whichever of the two that occurs first. Exceptions will apply only by permission of the Stewards.

Rule 12.05.3

Should any of the individuals or entities involved in a partnership submit a claim for the same horse the qualifying claim will be drawn by the Stewards from within that partnership group, preceding the final draw for the claim by the clerk of the scales.

Rule 12.33 – DELETE

**Chapter 13
PROTESTS, OBJECTIONS AND APPEALS**

Rule 13.17.2

An appeal lodged in accordance with Rule 13.17 must be based upon specific **grounds** which would warrant modification or reversal of the decision. As a result of hearing an appeal, the Board of Appeal may uphold, rescind, modify or increase any penalty imposed, ***unless the penalty is prescribed in the rules. The Commission may uphold, rescind, modify or increase any penalty imposed.*** After due notice, any appellant who fails to appear at the hearing of his or her appeal without good cause may be fined or suspended.

Rule 13.17.6

If after holding the hearing the Board of Appeal is of the opinion that the request for the hearing was frivolous, the Board may order a penalty against the person requesting the hearing, in an amount prescribed by the Regulations in addition to any other penalty for which the person may be liable.

Rule 13.17.9

At the conclusion of an appeal to the Commission, the Commission may uphold, rescind, modify, or increase the penalty imposed by the Board of Appeal, the Stewards or delegated official. ***In addition, if after holding the hearing the Commission may order a penalty against the person requesting the hearing, in an amount prescribed by the Regulations in addition to any other penalty for which the person may be liable.***

**Chapter 15
ILLEGAL AND CORRUPT PRACTICES**

RENUMBER Rule 15.02.3 as Rule 36.05(e)

Rule 15.05

If the Stewards find that any ***prohibited*** drug has been administered to a horse before a race, they shall take such action as they deem proper against any person found by them to have administered or attempted to administer any such drug.

Rule 15.26.3

The licensee will be notified by the Supervisor of Thoroughbred Racing of the day and time at which he/she must appear before the Stewards and if the positive report is the first positive report for any controlled substance within ***the prior*** 24 months of the taking of the test, the Stewards shall:

- a) refer the licensee to any Employee Assistance Program to which he/she may be entitled and require evidence of attendance at same;

- b) prohibit the licensee from performing his/her duties at the racetrack until such time as he/she has provided a urine sample indicating the absence of a controlled substance; and
- c) ***publish a ruling and send a copy to the Association of Racing Commissioners International (ARCI) and the North American Pari-Mutuel Regulators Association (NAPRA).***

If the positive result is a further violation within a 24 month period of any prior violation for a controlled substance, the licensee shall forthwith be referred to the Commission by the **Director** of Racing or by his authorized representative, and the licence of the licensee so affected shall be suspended forthwith upon notification of the positive. The Commission shall conduct a hearing with respect to such licensee within 15 days of being notified in writing by the licensee that he/she seeks reinstatement, or if the licensee does not notify the Commission, at such time as the Commission designates.

Chapter 27 COMMISSION VETERINARIANS OFFICIAL VETERINARIANS AND OTHER VETERINARIANS

Rule 27.03

Any horse scratched by the Commission Veterinarian or Official Veterinarian or a licensed Veterinarian shall be placed on a seven (7) day list (sickness or soundness). On the eighth day, the horse shall be eligible to be entered. Any horse that has been placed on the Veterinarian's List twice in a 30 day span shall be placed on the Veterinarian's Long List and shall be required to work one half (1/2) mile to the satisfaction of the Commission or Official Veterinarian, no matter how long the horse has been on the Veterinarian's List or turned out.

Rule 27.09.1

A horse scratched from the official race program by a veterinarian and placed on the Commission Veterinarian's List is ineligible to record an official workout within ***two clear days*** of having been a veterinarian scratch without the permission of the Official or Commission Veterinarian or the Stewards.

Chapter 30 APPRENTICE JOCKEYS

Rule 30.19.1

In all overnight races, with permission of a Steward, an apprentice weight allowance may be claimed up to scratch time.

Chapter 32 PARTNERSHIPS

Rule 32.04

Any individual **or entity** owning at least **five (5%)** percent of any horse in a Partnership must be licensed as an owner. In the event a Partnership does not contain at least two (2) individuals **or entities** that each has at least **five (5%)** percent interest therein, then two (2) partners shall be designated to represent the Partnership and must be licensed as owners.

CORPORATIONS

Rule 32.19

On the renewal of any licence involving a corporation, the structure of the corporation must be re-filed to provide the names and addresses of all shareholders holding more than **five (5%)** percent of the voting shares of the corporation.

Rule 32.20 (b) & (c)

- (b) The name and address of every director and officer and each shareholder holding or controlling **five (5%)** percent or more of the capital stock in the corporation.
- (c) The proportional interest of each shareholder holding or controlling **five (5%)** percent or more of the capital stock in the corporation.

Rule 32.24

If any shareholder holding or controlling at least **five (5%)** percent of the capital stock in the Corporation is a Partnership, Limited Partnership or Corporation, it must make similar full disclosure as required by those entities under the rules of this chapter.

Chapter 36 ONTARIO THOROUGHBRED LASIX PROGRAM

Rule 36.01

All licensees owning, training or acting as authorized agents on behalf of owners with a horse or horses participating in the Lasix Program shall complete, in full, the Exercise Induced Pulmonary Hemorrhage (E.I.P.H.) certification Forms 1 and 2, as applicable. Form 1 is to be used for horses ordinarily competing in Ontario and Form 2 is to be used for horses shipping **in from a foreign jurisdiction** to compete in Ontario. Each form shall contain certification by or on behalf of a duly qualified veterinarian in Ontario, or as provided in form 2 with respect to any other jurisdiction recognized by the Ontario Racing Commission, to the effect that the subject Thoroughbred horse has, in that veterinarian's opinion, bled sufficiently into its upper respiratory system to justify the use of Furosemide (Lasix) in pari-mutuel racing pursuant to the program adopted by the Ontario Racing Commission.

In instances where Form 2 is applicable, the Stewards, prior to entry, must be provided with past performance lines of the horse or horses acceptable to the Stewards and a signed statement from a veterinarian in the foreign jurisdiction who fulfills the duties ordinarily performed by a Commission Veterinarian or Official Veterinarian in Ontario certifying that the horse has qualified for the Lasix Program in the jurisdiction in which it is enrolled. Notwithstanding the above, the Stewards may accept an entry in the absence of such Forms or performance lines, provided that all Forms including the past performance lines of the horse or horses and the signed statement from a veterinarian in the foreign jurisdiction, if required, must be filed with and accepted by the Stewards ***four and one half (4 1/2) hours before post time of the race for which the horse is entered.***

Rule 36.02

No horse is accepted in the Lasix Program until one of the following procedures is completed:

- (a) The Ontario Racing Commission Veterinarian or Official Veterinarian has signed and stamped the Exercise Induced Pulmonary Hemorrhage (E.I.P.H.) Certification Application Form 1 ***permitting the horse entered to race on Lasix.***

RENUMBER 36.04 as 36.04 (a)

Rule 36.04

- (b) ***EIPH horses shipping in from a foreign jurisdiction wishing to compete in Ontario using Furosemide (Lasix) must be acceptable to the Ontario Thoroughbred Lasix Program. When declaring a Lasix horse at time of entry, pursuant to Rule 36.01, any licensee who falsely declares that the horse is acceptable to be enrolled in the Lasix Program when such horse is not, shall be deemed to have violated these rules by such false declaration and shall be subject to discipline by the Stewards in accordance with the provisions of Rule 16.13.***

BY ORDER OF THE COMMISSION _____
Jean Major, Executive Director