



# **TROTBritain**

## **RULES AND REGULATIONS**

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Issued by TROTBritain

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## **PART 1 - ORGANISATION AND ADMINISTRATION**

### SECTION A - MANDATE

A1. The following rules and regulations, having been duly enacted, are hereby declared to be the official rules and regulations of TROTBritain which shall govern the registration of horses for trotting horseracing and the conduct of trotting horseracing in Great Britain. For the avoidance of doubt, they do not govern the registration of horses for pacing harness racing and the conduct of pacing harness racing in Great Britain, which are the responsibility of the British Harness Racing Club (BHRC). For the avoidance of doubt, the BHRC has no jurisdiction in relation to the governance of trotting racehorses or trotting horseracing through use of the term 'harness racing'.

A2. The term 'TROTBritain' when used in these Rules refers to the 'TROTBritain Board' unless specifically stated to refer to TROTBritain 2018 Ltd, a not-for-profit company limited by guarantee. The TROTBritain Board comprises the Directors and Members of TROTBritain 2018 Ltd constituted as the Governing Body of Trotting Horseracing in Great Britain, with positions of Chair, Vice-Chairs and Officers as it shall from time to time decide and publish on official webpage of TROTBritain ([trotbritain.org](http://trotbritain.org)). The TROTBritain Board may appoint additional Officers and Officials who are not members of the Board as it shall from time to time decide.

A3. Meetings of the TROTBritain Board shall have a quorum of four, including two from the Chair and Vice Chair categories.

A4. TROTBritain shall have power to repeal, amend, suspend, or add to, its Rules. It shall publish on the official webpage of TROTBritain ([trotbritain.org](http://trotbritain.org)) every new rule, in which term is included the modification, repeal or amendment of an existing rule.

A5. The Rules of TROTBritain apply to all race meetings with trotting horseracing and to all trotting horse races run at these meetings.

A6..The Licensed Organisers of any race meeting involving trotting horse racing and every person who is an Owner, Chief Steward, Track Steward, Trainer, Trainer's Assistant, Driver, Rider, Handler, Starter, Judge, Race Secretary, and any person employed in any capacity, having the care or maintenance of trotting racehorses affected by these Rules, shall be deemed to have read the Rules of TROTBritain, and to have agreed, as a condition of their appropriate licensing by TROTBritain, to abide by and submit themselves to such rules and to the jurisdiction of TROTBritain, and to consent to the publication to such bodies as may be appropriate and in the media of any matter or decision under such rules.

A7. Any violation of any Rule may be punished by fine and/or suspension and/or disqualification and/or warming off.

A8. All standard penalties for violation of these rules are detailed in Appendix X, These standard penalties may be varied by TROTBritain, in accordance with reasons provided on the occasion.

A9. These Rules apply in and only in Great Britain (England, Wales, Scotland). Explicitly they do not apply in Northern Ireland, where trotting horseracing is recognised by TROTBritain as falling under the jurisdiction of the Irish Harness Racing Association.

A10. Notifications. All official notifications to license holders from TROTBritain will be, and only be, by email, unless legally required to be in some other form. The successful delivery of any message and hence opportunity to open and read will be assumed in the absence of notification of non-delivery. Exemption from this requirement may be sought by applying, in writing, to TROTBritain, specifying the grounds on which exemption is sought.

A11. Harness Racing Board of Great Britain (HRBGB) TROTBritain is one of the two members, along with The British Harness Racing Club, of the Harness Racing Board of Great Britain (HRBGB). Under the agreed protocol of HRBGB each appoints three representatives to discuss and decide on matters of common interest to the sports of trotting and pacing. The representatives of each body are required to bring its views to HRBGB, based on whatever consultation or approval is needed under their governance. They are empowered and required to agree a final and definitive decision that will be respected by each body (included in its Rules where appropriate) and not be subject to any further referral or approval.

## SECTION B - DEFINITIONS

For the purpose of these Rules the following definitions apply:

Added Money - is money contributed towards the stakes, other than entry fees. Age- the age of a horse shall be reckoned from the first day of January of the year of foaling. Appeal - A request to TROTBritain for an investigation and review of any decisions regarding trotting horseracing.

Approved timing device - approved electronic timing device.

Arrears - are any sums unpaid in respect of fines, entrance money, stakes, subscriptions, or for any reason by virtue of these rules.

Ballot - the determining of post-position by lot.

Banned Substance - is any substance or any isomer or homologue or diagnostic metabolite of any substance listed in the current list of prohibited substances in the uniform classification guidelines Breaking - when a horse fails to maintain a trotting gait by cantering or galloping.

Breeder - the person or entity recorded as such by the Stud Book authority of the country of first registration.

British-bred-A horse born in England, Scotland or Wales.

British-breeder horse - A horse, wherever born, bred by a British citizen.

Claiming Race - One in which any horse drawn therein horses may be claimed for an designated amount of money in accordance with the prevailing rules for such races.

Classic and Group Race - a race designated as a Classic or Group Race by TROTBritain.

Colours - The distinctive racing garment worn by the driver or rider of a racehorse and registered in that driver or rider's name or that of the Owner, Trainer or racetrack concerned.

Conditioned Race - an event to which eligibility is determined according to specified conditioned. Connections - the person(s) who are the Owner(s), Owners Representative or lessees of a trotting racehorse or who otherwise have a legal interest in it as a trainer, a manager of a syndicate, stud-master or the authorised agents of such person(s).

Corrupt practice - means a fraudulent or dishonest action within the meaning of these rules.

Day - means twenty-four hours from twelve midnight.

Declarations - A declaration is the naming of a particular horse and driver or rider to be a starter in a particular race.

Disqualified Person - A person who has been declared a disqualified person by TROTBritain under these Rules and who, during the term of their disqualification, is prohibited from acting in any capacity in relation to trotting horseracing and is warned off from all licenced areas, which may include persons warned off by the British Harness Racing Club.

Driver / Rider - means a person licensed under these Rules to hold, and holding, any category of driver's license and also includes a Rider in the case of trotting (Monty) races under saddle.

Eligible - means to be selected or qualified to act or race in any defined capacity.

Fallen horse - a horse that falls while on the racetrack so that either its shoulders and/or quarters have been in contact with the track, or the driver has lost contact and/or control of the horse.

Fees - All fees stipulated by TROTBritain, which has the power to amend such fees from time to time. All amendments will be published on the website and shall become effective from the date specified on such publication.

Fines - monies ordered to be paid by a person found guilty of a misdemeanour.

Finish line - a real or imaginary line from the centre of the judges' stand to a point immediately across, and at right angles to the track.

Forfeit List - is a record of unpaid fines or unfulfilled suspensions published by TROTBritain on its website.

Fraud - means to obtain personal advantage by deception.

Governing Body - means the organisation, which, by convention, recognition or law is or is deemed to be in control of a sport in any named jurisdiction. With reference to trotting horseracing in Great Britain, it is TROTBritain. With reference to harness racing pacing in Great Britain it is the British Harness Racing Club. Great Britain or [GB] - means England, Scotland and Wales.

Handler - a person over 12 years of age licensed to be in charge of a horse (previously Groom).

Handicap - a race in which performance, sex or distance allowances are made.

Harness Racing - an umbrella term used to cover the trotting and pacing horseracing sports.

Horse - an entire male or colt, gelding, mare and filly.

Interference - to impede the progress of another horse, sulky or driver / rider, whether intentionally or accidentally.

Joint Owner - means any person having a legal interest in a horse in conjunction with one or more other persons who also has or have a legal interest in the horse.

Judge - the person who determines the result of the race.

Licence - an official permit granted by the Governing Body allowing the individual person to participate in racing under its rules (Personal Licence) or, an association or racecourse to organise racing under its rules (Group licence).

Licensed Organisation - an association or racecourse group licenced by TROTBritain to stage trotting horseracing.

Lorry Park & Unloading Area - an area specifically designated for all Horse Boxes and Lorries where horses are to be unloaded. Such area to be clearly defined and entry permitted for licensed persons only.

Match Race - means a race between horses, the property of two different Owners, on terms agreed by them and to which no money or other prize is added.

Month - means 28 days not a calendar month.

Nomination - the naming of a horse to a certain race or series of races, eligibility of which is conditioned on the payment of a fee at the time of naming [and the payment of subsequent sustaining fees and/or starting fees].

Objection - an objection charging that a horse is ineligible to race, alleging improper entry or declaration, or citing any act of an Owner, Trainer, Driver, Rider or official prohibited by the rules, or any infringement of the rules during a race, and which, if upheld, will disqualify the horse or Driver / Rider from the race or require the placings-to be changed.

Offence - save as otherwise specified under these Rules, means a breach of the Rules of Racing. Official - means any person assigned a designated role by TROTBritain or a licenced body.

Open Preferred Handicap - is a race open to any horse. Horses starting position is determined by its TROTBritain rating.

Owner - means the registered Owner, Part Owner or Lessee of a registered horse. Paddock - an enclosed area where horses shall parade prior to going on to the track to race.

Paddock Steward - means the person appointed by the organiser for each meeting to control the horses in the paddock and as they enter the racetrack.

Parade - means the presentation before a race of all runners in race-card order

Participant - means any person, partnership, limited partnership, estate, corporation, or other legal entity participating directly in trotting horseracing and who is required to hold a license issued by TROTBritain.

Penalty - [a] a punishment for misconduct or illegal behaviour under these rules; or [b] a racing handicap imposed in accordance with previous results.

Penalty Free - period of racing or race when the winning penalty is refunded.

Promoter - a person or Association responsible to TROTBritain for the organisation of a Race meeting involving trotting horseracing under these rules.

Qualifier - a trial in which a trotting racehorse can establish its ability to participate in a race by meeting the qualifying standards set for that age/class of horse.

Workout - means a trial in which trotting horses participate, either to seek to Qualify or to Workout (A Workout is distinguished from 'working out' which is not a formal trial).

Racecourse - means a place at which horses race or participate in events, and includes all the land and improvements - such as stands, seats, stables, enclosures, rooms, offices, betting and recreational areas, car parks - used in connection with the conduct or observation of races, meetings or events by persons engaged in the horse racing industry or by members of the public.

Racecourse, licenced - racecourse conducting trotting horseracing under the rules of TROTBritain.

Racecourse Executive - is the person or persons or Company incorporated under the Companies Act or other incorporated or unincorporated body, appearing in the records of TROTBritain as the proprietor of a racecourse.

Race-day - the 24 hour period commencing twelve midnight during which a race-meeting is held. Race- meeting - means a meeting at which racehorses race or participate in events or were scheduled to do so.

Race Framer – a person licensed by TROTBritain to frame races.

Racetrack, or 'track' - means that part of the racecourse on which horses race.

Secretary - means the person for the time being in office as Secretary of TROTBritain or any person for time being holding or exercising the duties of such office.

Sponsor - a person or corporate body who financially supports a race or race-meeting by way of monetary or non-monetary means.

STAGBI - means the Standardbred & Trotting Horse Association of Great Britain & Ireland.

Starter - the official appointed to organise and supervise the starting of races or a horse that has come under Starters orders.

Sulky - means a conventional dual shaft and dual-hitch racing vehicle having two shafts which must be parallel to, and securely hitched on each side of the horse.



**Suspension** - means a term during which a person's licensed privileges are withdrawn and during which time that person is prohibited from acting in the capacity from which he is suspended.

**Time of Entry** - means the time for close of entries, which if no other time is published shall be the time that a list of entries is submitted to TROTBritain, for the purpose of clearance of Driver/s, Riders, Trainer/s, Owner/s horse/s to race and the issue of a current handicap mark, at a named and dated race-meeting.

**Time trial** - a trial of one horse against the clock.

**Trainer** - means a person licensed under the Rules to hold, and holding, a trainer's license.

**Training** - includes the preparation, education and exercising of a trotting horse to race, not the mere process of keeping a horse in good health.

**TROTBritain** - the TROTBritain Board, the Governing Body of Trotting Horseracing in Great Britain  
**TROTBritain 2018 Ltd**- a not-for-profit company limited by guarantee.

**TROTBritain Chief Steward** - the person appointed by TROTBritain to act in this capacity at a meeting in which trotting horseracing is programmed; instructed to work in consultation with the Trotting Chief Track Steward, but having ultimate authority over them as well as any other TROTBritain Steward present.

**TROTBritain Steward** - a person appointed by TROTBritain with the authority to act in this capacity at any race meeting in which trotting horseracing is programmed; instructed to work in consultation with the Trotting Chief Track Steward,

**Trotting Chief Track Steward** - person appointed by the Licensed Organisation but individually licensed by TROTBritain with the authority to act in this capacity at any race meeting in which trotting horseracing is programmed; works in consultation with, but under the ultimate authority of the TROTBritain Chief Steward.

**Trotting Track Steward** - person appointed by the Licensed Organisation but individually licensed by TROTBritain with the authority to act in this capacity at any race meeting in which trotting horseracing is programmed, under the immediate authority of the Trotting Chief Track Steward and ultimately the TROTBritain Chief Steward.

**Trotting Racehorse** - a horse is able to compete in trotting horseraces in Great Britain only if it meets the TROTBritain conditions specified in Appendix XII.

**Veterinary Surgeon** - is any qualified veterinary practitioner appropriately registered and/or licensed to practise.

**Update** - Means the updating of information relating to an entry at a race-meeting. **Warned off** - a person who is warned off is a disqualified person.

**Walkover** - when only one horse is declared to start it constitutes a "walkover". In a Classic Race a "walkover" is entitled to all stakes money and forfeits unless otherwise provided in the published conditions.

**Whip-less** - a driver racing officially without a whip, declared at entry in order to benefit from any allowance for so doing.

Winning Horse - is the horse whose nose, in the judge's opinion, first reaches the winning line, and shall be declared the winner unless disqualified or successfully objected to under these Rules.

Winnings - monies or trophies awarded and received by successful participants.

Wire - the wire is a real or imaginary line from the centre of the judges' stand to a point immediately across, and at right angles to the track.

Workout - a trial, not a race, in which horses participate with other horses, possibly including ones seeking to qualify. Entries are taken, Start Sheets produced and results submitted to TROTBritain. Working out - any occasion on which a horse is presented with a Driver or Rider on the track of an official licensed racecourse other than in a race, Qualifier, Qualifier/Workout or Workout.

## SECTION C - LICENSED ORGANISATIONS

C1. TROTBritain shall keep a register of all organisations granted a group license to organise trotting horseraces.

C2. [a] An organisation desiring to promote or conduct meetings with trotting horseraces may make an application to TROTBritain for a group license, such an application shall be made in the correct manner on the TROTBritain application form and be accompanied by such documentation, information and fees as TROTBritain may determine.

[b] TROTBritain may grant a group license upon such terms and conditions as are prescribed by TROTBritain

[c] A Group license may be refused by TROTBritain without assigning any reason.

[d] A Group license may be cancelled by TROTBritain for breach of a rule or a term or condition of registration provided due notice is given and a hearing granted.

C3. [a] A Group license shall be granted on an annual basis subject to the conditions continuing to be met and application for continuance of licencing be made to TROTBritain by 1st May each year except in exceptional circumstances.

[b] An unlicensed club may make an application for licensing at any time and its application shall be accompanied by such documentation as TROTBritain may from time to time determine.

C4. [a] Persons or bodies who desire to sponsor, organise or conduct trotting horseraces at agricultural shows or similar events may make an application to TROTBritain for permission to do so, but such events must be conducted under the control and guidance of an organisation holding a Group Licence.

[b] The application shall be made in the correct manner on the TROTBritain application form and be accompanied by such documentation, information and fees as TROTBritain may determine.

[c] TROTBritain may grant permission for such events upon such terms and conditions as it thinks fit.

[d] Permission may be refused by TROTBritain if, at its absolute discretion, it considers such an event not in the best interests of trotting horseracing.

[e] At the conclusion of the agricultural show or event, the person or body granted permission under this rule shall forthwith supply to TROTBritain with such reports, documents and other information as TROTBritain may require.

C5. [a] It is a term and condition of group licencing that the society or organisation shall keep workers' compensation and public liability insurance current during the term of licencing.

[b] It is a term and condition of group licencing that a licenced society shall supply the TROTBritain with such reports, documents and information as TROTBritain may require including the minutes.

C6. Before permission can be granted for trotting horseracing at any race-meeting or other event, the track proposed to be used for the conduct of meetings or races must be approved by a TROTBritain Chief Steward or a person nominated by TROTBritain. After inspection of a track, no change of venue is permitted unless authorised by TROTBritain.

C7. Licenced Tracks - Trotting horseracing may only take places on tracks operated by the holder of a Group license from TROTBritain and has entered into a contract for services with TROTBritain for the period for which the race-meeting is scheduled and on the specific Trotting horseracing dates have been sanctioned by the TROTBritain.

C8. New Tracks - Approval will not be granted to any future hard track that does not conform to, as a minimum, the standard half mile. The minimum width for a new hard track shall be 60 feet. This rule will not apply when it is considered to be an improvement or relocation of an existing one.

C9. [a] Each licensed body organising trotting horseracing shall, whenever requested to so do, furnish TROTBritain with such details relating to the dimensions, features and composition of the club's track as TROTBritain may require.

[b] Fu11 details must be furnished by a licenced organisation to TROTBritain whenever the club's track is modified, including start markers being removed or altered.

C10. All TROTBritain license holders must be allowed to race, without impediment, in trotting horseraces on all licenced TROTBritain tracks unless their privileges have been withdrawn by TROTBritain, which may include privileges withdrawn by the British Harness Racing Club. Failure to abide by this rule may result in the Group license of such track being revoked.

Cl1 [a] The secretary or other office holder of an association seeking a Group license shall submit the association's constitution, rules, or any amendments thereto, to TROTBritain for approval

[b] The secretary or other office holder of a licenced organisation shall comply with any direction or request for information from TROTBritain, including undertaking investigation if necessary.

Cl2. An licenced club or an official of such club shall, when directed by TROTBritain, furnish it with information or investigate and report upon a matter.

C13. A TROTBritain Licensed Organisation may exclude a person from its racecourse, premises or other place under its control, but if it so does it shall immediately inform TROTBritain of the action taken and the reasons for that action. After enquiry, TROTBritain may require the exclusion to be rescinded.

C14. An organisation shall not promote or conduct trotting horseraces unless it is licenced under these rules.

C15. A person or body shall not, in the absence of Group licencing, promote or conduct races at agricultural shows or similar events.

C16. [a] A person holding a TROTBritain license shall not take part in, or be employed or engaged in or about, or be connected with, any trotting horseracing meeting, race or event promoted or conducted by any organisation not licenced under these rules, this includes road racing.

[b] No member of any unlicenced body organising trotting horseraces in GB, or who participates in such

races, can:

[i] be a license holder of TROTBritain

[ii] serve on TROTBritain in any capacity

[iii] represent TROTBritain in any capacity

[c] For the purpose of this rule, TROTBritain will decide whether the organisation concerned is licensed or unlicensed.

C17. Any horse owned, trained, raced, driven or ridden by any person convicted of an offence under Rule may be disqualified from racing on any TROTBritain licensed track.

C18. Promoters, having been granted trotting racing date(s) by TROTBritain, must forward a full list of the officials who will operate at their meeting to TROTBritain at least seven (7) days prior to the first fixture of that season; any new officials must be notified to TROTBritain prior to the event. All officials must hold an appropriate current TROTBritain license to officiate. Trotting Track Stewards are licenced under the Group Licencing procedure.

#### SECTION D - ADMINISTRATIVE RESPONSIBILITIES

D1. The administration of TROTBritain shall be in the hands of the office, presently situated at 17 Bean Leach Avenue, Stockport SK2 5JA

D2. TROTBritain may appoint a Secretary and/or Secretarial Assistant who shall have specific responsibilities in accordance with the policies laid down by the Board, and be responsible to the Board for the same.

D3. The Secretary shall normally attend all meetings of the Board, ensuring that proper minutes of the proceedings are kept and distributed and generally perform such duties as are usually performed by secretaries of similar organisations.

D4. The Secretary shall give or cause to be given notices for all meetings of the Board when directed to do so.

D5. The Secretary shall sign such contracts, documents or instruments in writing as require their signature and shall perform all duties incident to their office that are properly required of them by the Board.

D6. All monies received by the Secretary shall be banked in the Club's account forthwith.

D7. The Secretarial Assistant may perform any of the duties of the Secretary.

D8. TROTBritain shall:

[a] issue and keep records of all issued to participants in the categories of Owner, Trainer, Driver, Rider, Assistant Trainer, and Handler

[b] issue and keep records of all licenses granted to Track Stewards and other licensed officials

[c] register horses entitled to participate

[d] check vaccination records and ensure all requirements have been complied with at registration

[e] keep records as to who is the horse's current Owner and trainer

[f] keep records of horses' performance record, earnings and handicap status

[g] supply the Race Framer with all information on a horse's performance record, earnings and handicap status for horses entered for any particular Race-meeting

[h] maintain records of Steward's enquiries

[i] liaise with the selected laboratory regarding medication control

[i] arrange for all agreed disbursements to be paid out

## **PART 2 - STEWARDS AND STEWARDING**

### SECTION E - TROTBritain STEWARDS

E1. There shall be the following TROTBritain Stewards for trotting horseracing:

TROTBritain Chief Steward - the person appointed by TROTBritain to act in this capacity at a meeting in which trotting horseracing is programmed; instructed to work in consultation with the Trotting Chief Track Steward but having ultimate authority over them, as well as over any other TROTBritain Steward present. In case of emergency the TROTBritain Chief Steward may make such stewarding arrangements as he decides appropriate.

TROTBritain Steward - a person appointed by TROTBritain with the authority to act in this capacity at any race meeting in which trotting horseracing is programmed; instructed to work in consultation with the Trotting Chief Track Steward under the TROTBritain Chief Steward

Trotting Chief Track Steward - person appointed by the Licensed Organisation but individually licensed by TROTBritain with the authority to act in this capacity at any race meeting in which trotting horseracing is programmed; works in consultation with, but under the ultimate authority of the TROTBritain Chief Steward.

Trotting Track Steward - person appointed by the Licensed Organisation but individually licensed by TROTBritain with the authority to act in this capacity at any race meeting in which trotting horseracing is programmed, under the immediate authority of the Trotting Chief Track Steward and ultimately the TROTBritain Chief Steward.

E2. Integrity Testing Officer - an Official appointed by TROTBritain and authorised to hold testing kits, administer the sample collection process and process any samples of blood, hair, urine, excreta and/or sweat collected by the Veterinarian on duty. The Veterinarian on duty may also be provided with the testing kit by this official and, if under prior contract to TROTBritain, perform all the subsequent tasks.

E3. Under the authority of the TROTBritain Chief Steward for the meeting, the Trotting Chief Track Steward shall have the power and obligation to act, advise or instruct on any matter that appears to be an infringement of the rules of TROTBritain.

E4. TROTBritain shall have power:

[a] Under procedures which meet the requirements of natural justice to grant, renew, suspend and to withdraw licenses to or from the proprietors of a Racecourse, Racecourse officials, Owners, Trainers, Assistant Trainers, Drivers, Riders and Handlers; to allow any person to act or continue to act as a Trotting Track Steward; to make enquiries into and deal with any matter relating to trotting under these Rules; and to disqualify horses.

[b] To approve the allocation of dates on which meetings involving trotting horseracing shall be held, to cancel trotting horseracing at any such fixtures, and make such alterations as they may think advisable in the programme of, or the conditions of, any trotting horserace at any Meeting.

[c] To authorise the level of fees and charges and suspensions as they shall from time to time determine, in relation to these Rules.

[d] To grant or refuse to grant, or to renew or refuse to renew, licensing in respect of racecourses.

[e] To grant or refuse to grant, and to renew or refuse to renew, licenses to: Owners, Trainers, Assistant Trainers, Drivers, Rider, Handlers and track officials. Every application for renewal of any license or permit be treated and regarded in all respects and for all purposes as if it were the first application by the applicant for such license or permit.

[f] To enquire into the circumstances of the dismissal or resignation of a TROTBritain licensed official, where at all such enquiries all officials, including Directors of the Licensed Organisation concerned, whom TROTBritain consider necessary to the enquiry shall be required to attend and give evidence if directed.

[g] To make enquiry into and deal with any matter relating to trotting horseracing whether such matters arise in Great Britain or elsewhere.

[h] To require that the Judge, Track Stewards and Timekeeper are situated in such positions during racing and provided with such facilities that will satisfy them that they can properly carry out their duties.

[i] To consider the decision of a Judge and where, in their opinion, the Judge has made a mistake in determining the winner or placed horses in a race, to correct such mistakes and to declare the winner and placed horses. Such decision, provided it is made within seven days of the race, shall supersede that of the Judge.

[j] With or without an appeal, to set up a properly constituted enquiry into the possible failure of a specified person to properly apply or respect a specified TROTBritain Rule. All parties concerned will be required to attend such an enquiry.

E5. The Trotting Chief Track Steward shall have power to require that the Judge, Track Stewards and Timekeeper are situated in such positions during racing and provided with such facilities that will satisfy them that they can properly carry out their duties.

E6. The Trotting Chief Track Steward shall have the power, in consultation with and under the authority of the TROTBritain Chief Steward:

(a) if good cause is shown or when any person has committed any breach of the Rules of Racing to suspend their license or permit in accordance with the TROTBritain schedule of penalties

[b] to warn off any person from all racecourses where these Rules are in force without necessarily assigning any reason for doing so, and may at their discretion report such a person to other interested organisations for such as British Harness Racing Club

[c] to publish any decision or order given or made by them relating to any persons, horse or Licensed Organisation on the TROTBritain website /or in any other manner as, at their absolute discretion, they may think fit.

E7. TROTBritain may impose any license suspension in accordance with the schedule of penalties laid out in the TROTBritain Rules and Regulations (Appendix X).

E8. TROTBritain may, at their discretion, disqualify any horse, which they decide has been the subject of fraudulent practice and may publish such disqualification.

E9. The Trotting Chief Track Steward shall have the power, in consultation with and under the authority of the TROTBritain Chief Steward, to call an enquiry

E10. At any enquiry the TROTBritain Chief Steward will act in the position of Chairman and be entitled to fully participate in the discussion and decision making, subject to declaring any conflict of interest.

E11. The TROTBritain Chief Steward shall advise and/or instruct Trotting Track Stewards:

[a] as to the rules of TROTBritain.

[b] as to the rights of any person accused of any infringement.

[c] as to the correct procedures to follow during an enquiry in accordance with the Code of Practice [Appendix IX].

[d] as to any rule that may have been infringed and the offence committed.

E12. The TROTBritain Chief Steward shall advise Licensed Persons:

[a] as to the rules of TROTBritain.

[b] as to the rights of any person accused of any infringement.

[c] to the correct procedures to follow during an enquiry in accordance with the Code of Practice as in the current rulebook [Appendix IX].

[d] as to any rule that may have been infringed and the offence committed.

[e] Licensed Persons as to the penalty to be imposed under the Standard Penalties [Appendix X] E13. Any TROTBritain Chief Steward or Steward is empowered to act under the above Rules in the absence of the TROTBritain Chief Steward assigned in advance to a race-meeting

E14. The TROTBritain Chief Steward assigned to the meeting, shall ensure that an on-track enquiry is only held on the basis of a named person being charged with a possible specified breach of a specified Rule:

[a] The TROTBritain Chief Steward shall chair the Enquiry accompanied by two other Trotting Track Stewards who have no conflict of interest, one of whom will be the who shall be Trotting Chief Track Steward. Where the TROTBritain Chief Steward and Trotting Chief Track



Steward are the same person a TROTBritain Steward or another Trotting Track Steward will be appointed.

[b] The putative offender shall be asked if they wish to object to any member of enquiry panel; should there be an objection, the TROTBritain Chief Steward shall resolve this matter. If the objection is to the TROTBritain Chief Steward, this will be accepted only if the TROTBritain Chief Steward accepts they have a conflict of interest, in which case they shall appoint another TROTBritain Steward as chair, if available, or the Trotting Chief Track Steward if not.

[c] The TROTBritain Chief Steward shall clearly inform the putative offender of the breach to be inquired into, and the rules involved. They shall, if the interviewee so requests, provide them with an opportunity to consult these Rules.

[d] The TROTBritain Chief Steward shall ensure at all times that the enquiry is held in a proper manner. Any party guilty of improper behaviour will immediately be requested to leave the enquiry, and should they not do so the enquiry shall be suspended. If the person guilty of improper behaviour is the interviewee all his licenses shall be immediately suspended. The TROTBritain Chief Steward shall advise TROTBritain of the improper behaviour, and of any of the rules of TROTBritain they consider to have been broken.

[e] The TROTBritain Chief Steward shall countersign the enquiry forms to be sent to TROTBritain.

E15. The TROTBritain Chief Steward shall:

[a] Supervise qualifying trials in conjunction with the Trotting Chief Track Steward and other Trotting Track Stewards

[b] Supervise practical and oral Driving and Riding Tests in conjunction with the Trotting Chief Track Steward and other Trotting Track Stewards, signing forms where applicable.

[c] Ensure that identity and vaccination checks are performed on all trotting racehorses horses brought to the track by means of inspecting their passports

[d] Ensure that identity checks are performed all winning horses by scanning their microchips

[e] Advise unlicensed Persons on how to apply for TROTBritain licenses if required.

[f] Forward a report to TROTBritain report form on each meeting they attend in their official capacity.

[g] Bring to the attention of TROTBritain any matter occurring on any track where they may be present which gives them cause for concern.

[h] After any accident ensure that horses involved are inspected by the racecourse vet and any persons involved are checked by the medical team on site. All accidents are to be investigated and a record kept in the Enquiry Book, it should also be recorded on the TROTBritain Chief Steward's Report, a copy of which must be sent to TROTBritain.

[i] Complete and submit to TROTBritain a completed Chief Steward's Report form by 10am the next working day.

E16. In the absence of the assigned TROTBritain Chief Steward at a race-meeting any TROTBritain Steward or TROTBritain appointed Official present shall have the power to act in the TROTBritain Chief Steward's capacity under the above rules.

## SECTION F - TRACK STEWARDS

F1. Each and every racecourse shall appoint a minimum of three Trotting Track Stewards. They shall be approved by TROTBritain and issued with licenses to act as Trotting Track Stewards as part of the Group licensing of the Track or Association. One or more must be named as having the authority to act as Trotting Chief Track Steward for a meeting.

F2. In consultation with, but under the authority of, the TROTBritain Chief Steward, the Trotting Chief Track Steward will determine all questions arising in reference to trotting horseracing at a meeting, supervise all trotting events at the meeting and maintain the general integrity of the trotting horseracing F3. Should there not be three Trotting Track Stewards present, the TROTBritain Chief Steward present shall, in consultation with and under the authority of the Trotting Chief Track Steward if present, act without delay to see that any vacancy is filled, so that there shall be three persons to act.

F4. The TROTBritain Chief Steward in consultation with the Trotting Chief Track Steward, shall have power to take all trotting racing decisions from 1 hour and 30 minutes before the time of the first race, Qualifier Workout and, if necessary to vary all such arrangements for the conduct of the trotting racing at the meeting as they think fit under these rules. They have power to abandon the meeting, or to abandon any races, or to postpone any races or to alter the order of running, provided always that the races originally advertised for any day shall be included in that day's programme on the official card unless prevented by exceptional circumstances. They shall also have the power to determine if a start car should or should not be used, with the safety of humans and horses treated as paramount.

F5. Should the TROTBritain Chief Steward authorise the abandonment or postponement of any trotting horseraces, or vary in any way the trotting horseraces as originally framed, they shall, without delay, report to TROTBritain their reasons for so doing.

F6. TROTBritain Chief Stewards and Stewards and all Trotting Track Stewards shall have free access to all the places used for the conduct of trotting horseracing at a race-meeting.

F7. The TROTBritain Chief Steward in consultation with the Trotting Chief Track Steward regulate, control, take cognisance of, and adjudicate upon, the conduct of all officials and of all Owners, Trainers, Drivers, Riders and Handlers.

F8. The TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, shall have power to determine all questions arising in reference to trotting horseracing at the meeting, subject to appeal under these rules.

F9. [a] The Trotting Chief Track Steward shall have the power, in consultation with and under the authority of the TROTBritain Chief Steward, to punish at their discretion and in accordance with the rules, any person subject to their control.

[b] No penalty may be imposed upon a license holder without they being charged with a breach of the rules and invited to an inquiry, unless they waive their right to an inquiry in relation to the specified charge) by signing the form in the Stewards' Book or electronic device. Such waiver does not affect the right to appeal.

[c] The TROTBritain Chief Steward in consultation with the Trotting Chief Track Steward, must give appropriate notice to license holders of their intention to hold an enquiry. On race day this will be by the public address system and/or personal notification.

F10. The TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, shall have full power to determine all questions arising in reference to trotting horseracing at a race meeting whether such question arises at, or during the currency of, such meeting or within the space of 24 hours before the commencement of, or within the like space after, such meeting.

F11. During the Meeting the TROTBritain Chief Steward and Stewards, and Trotting Track Stewards, shall watch every trotting horserace from start to finish, and as far as possible watch every horse in that race.

F12. The TROTBritain Chief Steward and Stewards, and Trotting Track Stewards shall note the running of horses as compared with previous performances. If they are not satisfied with the running of any horse they shall consult. The TROTBritain Chief Steward who may, if they think it desirable after this consultation, conduct an enquiry, specifying the possible breach of this rule.

F13. Neither the TROTBritain Chief Steward or Steward, nor any Trotting Track Stewards, shall publish or make public in any way the findings in any enquiry held by them which, by the existing rules, have to be reported to TROTBritain, without clearly stating that their findings are subject to confirmation or otherwise by TROTBritain, and simultaneously informing TROTBritain of their findings.

F14. Neither the TROTBritain Chief Steward or Steward, nor any Trotting Track Stewards may adjudge on any objection or similar matter in which he has an interest, without declaring such interests at the time.

F15. The TROTBritain Chief Steward has the power to call for proof that a horse is neither disqualified in any respect nor the property wholly or in part of a disqualified person and in default of such proof being given to their satisfaction, they may declare the horse disqualified.

F16. At any time, TROTBritain Chief Steward and only the TROTBritain Chief Steward has the power to order any examination and/or test by a licensed Veterinary Surgeon [including the taking of samples for analysis] of any horse entered for a future trotting event or having run in any trotting event. If, having regard to any pre-race examination or test of any horse due to run at a meeting, the TROTBritain Chief Steward deems it necessary or advisable to do so, they shall withdraw such horse from the meeting.

F17. If an order has been made for a sample for analysis, either urine or swabs, or any other means to be taken from a horse, such a horse shall be kept at the racecourse or such place as the TROTBritain Chief Steward may appoint until the sample has been obtained.

F18. No person has authority to remove the horse concerned until the sample has been obtained, unless permitted to do so by the TROTBritain Chief Steward.

F19. When in the opinion of TROTBritain Chief Steward, in consultation with the Track Stewards, there is a reasonable suspicion that any person has committed any breach of these Rules, which in their opinion ought to be considered by TROTBritain outside race day, they will so inform TROTBritain

F20. All enquiries conducted by the TROTBritain Chief Steward must conform to the procedures outlined in Appendix IX.

F21. All enquiry decisions must be agreed by the TROTBritain Chief Steward as chair. Where any disagreement persists regarding action to be taken under the Rules, the view of TROTBritain Chief Steward will prevail.

F22. [a] In the event of an accident, it shall be mandatory to hold an enquiry and include all details on the TROTBritain Chief Steward's Report to TROTBritain.

[b] Any horse involved in an accident, fall, collision, or incident must be examined by a Veterinary Surgeon immediately.

## **PART 3 - THE REGULATION OF TROTTING HORSERACING**

### **SECTION G - RACE FRAMING AND HANDICAPPING**

- G1. TROTBritain shall prescribe the system under which handicaps shall be imposed.
- G2. The national Rating System administered by TROTBritain must be used for trotting horseraces at all licenced racecourses.
- G3 No Race Framer can hold a current gambling licence.
- G4. No person shall attempt to influence the rating of any horse but an Owner, Owners Representative or Trainer may apply by email to TROTBritain for an explanation of the Rating of any horse owned or trained by them.
- G5. TROTBritain will appoint the Race Framer for all trotting horseraces in Great Britain.
- G6. The duties of the Race Framer shall be to take the entries received and frame the trotting horseraces in accordance with the ratings in force, and having regard to the special conditions, if any, specified in the call for entries.
- G7. No person shall approach the TROTBritain Race Framer for any other purpose than to ascertain the rating for any horse owned or trained by them. Any person committing an offence against this rule may be fined, suspended or disqualified..
- G8. The rating of a horse will remain unchanged for an event once the race has been framed; this will include horses whose rating subsequently changes between race framing and the race taking place
- G9. The conditions, framing and handicapping of a Claiming Race will be entirely at the discretion of the TROTBritain and Race Framer and announced in the call for entries
- G10. Once an entry has been made by a Trainer the Race Framer cannot change that entry without approval from the Trainer. If race conditions must be changed (for whatever reason) a refund must be offered if the alternative is not accepted.

### **SECTION H - ORGANISATION OF TROTTING HORSERACING**

H1. TROTBritain holds the Licensed organisation responsible for the general racing arrangements of the meeting, ensuring that the track on which the horses will race is properly measured and marked, and that its condition and lighting, as well as that of all areas of the racecourse conform to current health and safety regulations and are in accordance with the requirements of TROTBritain. The Licensed organisation must ensure that the track can be enclosed completely in the case of a loose horse and that the Lorry Park and Unloading Area are clearly defined, and access is restricted to licensed persons only. At all meetings, other than floodlit meetings, the last race is to be timed to start no later than 20 minutes before sunset.

H2. Insurance - all Organisations licenced by TROTBritain to run trotting horseraces must have adequate employers and public liability insurance cover and a digital copy of such policies must be lodged with TROTBritain prior to any scheduled fixture.

H3. Officials Required - the Licensed organisation shall appoint or authorise the appointment of a minimum of three persons to act as Trotting Track Stewards, one of whom shall be designated as Trotting Chief Track Steward. The Track Stewards shall collectively carry out all of the duties and responsibilities specified in the rules, under the authority of the TROTBritain Chief Steward. The Licensed organisation must ensure that all officials have been licenced by including them in their Groups Licence application. Others may be added later by email to TROTBritain. All Officials mentioned in these rules must sign in at the Stewards room on arriving at the track on race days.

H4. The Licensed organisation shall also appoint a Race Secretary, Licensed Starter, Judge, Timekeepers, a competent person to act as Race Secretary, a Race Recorder, a Paddock Steward, Medic / First Aider and a Veterinary Surgeon who shall be provided with the clean and necessary facilities to enable them to carry out their professional duties. The Race Secretary or other authorised representative of the Licensed Organisation will, in consultation with the TROTBritain Race Framer, decide on the location and timing of each trotting horserace so that this may be published on the Start Sheet along with the deadline for declarations.

H5. Race Programmes - the Licensed organisation shall arrange for publication of an official race day programme and state therein that all trotting horseraces are held under the rules of TROTBritain.

H6. All race cards must:

- [a] give the names of the TROTBritain Chief Stewards acting at such race-meeting.
- [b] specify the prize money, entry fee, distance, basic conditions of every race.
- [c] give the registered names of horses, breeding, age, sex and colour.
- [d] give the names of the Owner, Trainer, Driver and Rider (where applicable) of each horse.
- [e] specify the racing colours to be worn by each Driver and Rider.
- [f] give the results of the horses' last three official races as supplied by TROTBritain
- [g] specify the TROTBritain rating of each horse.
- [h] specify the approved TROTBritain name of the race
- [i] specify the approved TROTBritain phrasing of any sponsorship.

[j] such other information as TROTBritain requires.

No information not required by TROTBritain shall be added

H7. [a] Declaration Office - the Licensed organisation shall provide suitable accommodation for declarations.

[b] Steward's Accommodation - the Licensed organisation shall provide suitable accommodation for the conduct of Enquiries.

H8 [a] Video Facilities - the Licensed organisation shall ensure that video facilities are provided at every meeting, the videos to be made available for the Judge to determine finishing order of races if photo finish equipment fails or for use by the TROTBritain Chief Steward, in consultation with the Trotting Track Stewards, in deciding whether to hold an enquiry and in the conduct of an enquiry. As a condition of track licensing the video footage obtained is to be provided free of charge to TROTBritain for its use within 48 hours of race day.

[b] The Licensed organisation will facilitate the operation of a drone contracted and paid for by TROTBritain for coverage of all trotting races. On race day the drone footage will be made available to whoever TROTBritain specifies, but always including the Trotting Tracks Stewards acting under the authority of the TROTBritain Chief Steward. All rights to the drone footage including for live and/or delayed transmission or use will be the exclusive property of TROTBritain and the files must be made available to it within 24 hours of the race.

[c] Photo Finish - it is mandatory for the Licensed organisation to provide dedicated photo finish equipment; this can be in the form of an iPad app technology at every race-meeting.

H9. First Aid - the Licensed organisation shall arrange for trained first aid personnel to be in attendance at all times and for an ambulance or other suitable vehicle or accommodation to be available for the care of casualties and must also ensure that no meeting shall commence until their attendance is confirmed.

HI10. Exclusion from Racecourse - the Licensed organisation shall, on direction from TROTBritain Chief Steward, in consultation with the Trotting Track Stewards where appropriate, be responsible for:

[a] excluding or removing from the racecourse all persons who have been disqualified by TROTBritain.

[b] taking such steps as may be reasonably practicable to prevent undesirable persons from having any connection with or influence on the race-meeting or any licensed persons.

[c] investigating and reporting on any matter, which the TROTBritain Chief Steward, in consultation with the Track Stewards, may require.

H11. The Start Sheet published on the TROTBritain website ([trotbritain.org](http://trotbritain.org)) shall be the official publication and thereafter no changes shall be permitted to horses entered in any race, the only exception being any horse officially entered but omitted from the start sheet by the Race Secretary or Race Framer. It will be the responsibility of the Race Secretary or Race Framer to immediately contact all trainers of the race whereby the omitted horse will be placed, of the additional horse, the start sheet then to be updated and reissued as soon as possible. If the said races are full it will be at the Race Framer and TROTBritain Boards discretion how to resolve the issue. The other exception when a reserve horse may be entered into a race providing such

horse was shown as a reserve on the published Start Sheet. This publication will constitute sufficient notification to all owners and trainers with trotters engaged. Any prior publication of Start Sheets on other social media platforms is to be considered provisional and subject to change. The race programme/card should be consistent with the Start Sheet but where differences exist the Start Sheet applies unless TROTBritain otherwise decides.

H12. Following a race-meeting the Race Secretary, or other nominated individual, must forward a copy of the full results from that fixture to TROTBritain by 10am the next day, in the format prescribed at the time.

H13. The Race Secretary must ensure that a list containing the microchip numbers of all trotting horses engaged in races, Qualifiers or Workouts, at the meeting is available in the Declaration Office.

H14. Under the authority of the TROTBritain Chief Steward and Trotting Track Chief Steward, Trotting Track Stewards have the power, and duty, to regulate and govern the conduct of all racing and all participants in accordance with the TROTBritain Rules.

H15. Under the authority of the TROTBritain Chief Steward, the Trotting Track Stewards shall be responsible for appointing an official from amongst their number who shall have authority to stop a race once it is in progress for any reason that appears good and proper at the time.

H16. Unless subject to Rule F13, the results of Enquiries are to be announced to the public at the race-meeting. If an appeal is pending, this should be made known at the time.

H17. In the event of a licensed official being absent or incapacitated, the Licensed organisation may appoint an unlicensed substitute to act until a licensed official can be procured. The TROTBritain Chief Steward TROTBritain shall be advised forthwith of such temporary appointments. In the case of an emergency, a TROTBritain official of any rank may exercise any or all of the duties of an official.

H18. If an unlicensed appointee acts, with approval, for two race-days, he must apply to be licensed in the capacity involved before officiating further in any capacity.

H19. Occupants of Steward's Room -No one except the TROTBritain Chief Steward, TROTBritain Stewards, Trotting Track Stewards, the Clerk of the Course, the Secretary, Starter and Timers and Official Commentator shall be allowed in the Steward's Room or box during a race.

H20. The TROTBritain Chief Steward shall:

[a] be responsible for the convening of Enquiries and ensuring that the procedure, as laid down by TROTBritain, from time to time shall be followed.

[b] maintain a Steward's file in which details of all Enquiries are recorded, with all persons attending in any capacity, contemporaneous notes of evidence given and penalties imposed. A recording device shall be permitted providing all parties are advised of such.

[c] report in writing to TROTBritain all violations of the rules, whether by a license holder or official, giving detailed information.

[d] notify all licensed persons of any penalties imposed upon or against them or their horse/s.



[e] sign each page of the Steward's Book or electronic device, verifying the correctness of the information contained therein, and be responsible for forwarding such copies to any persons penalised and to TROTBritain no later than 48 hours from the close of the race-meeting.

[f] be responsible for ensuring that the results the meeting will be forwarded to TROTBritain by the Licensed organisation by 10am the next day.

[g] be responsible for completing the form evaluating each drive made by a provisional Driver or Rider, and forwarding such evaluation to TROTBritain.

[h] supervise Qualifying trials.

H21. The Judge should be in their box or position ten minutes before the first race and remain in the box for five minutes after the last race, and at all times when the horses are on the track.

H22. The Judge, or their authorised substitute, must occupy the place designated by the Steward's as the Judge's box or position at the time the horses pass the winning post or the race shall be void, unless the TROTBritain Chief Steward is able to determine the result from the photograph or video.

H23. The Judge shall instruct the public announcement of the provisional result (subject to the all-clear) as soon as possible after the race, confirming the order of the finish of all un-disqualified horses. The TROTBritain Chief Steward must authorise the all-clear after establishing that they are satisfied with the result for the first four horses.

H24. The Judge must announce their decision, if necessary, after consulting the photograph and/or video recording of the race, and they shall base their decision exclusively on the position of the horses' noses at the time they pass the winning post. In the case of a close or potentially controversial finish, the Judge can consult with the TROTBritain Chief Steward to determine every horse's finishing position and the distances between each of the first three to complete the course must be recorded and race times for every horse reported where possible.

H25. The Judge's decision shall be final unless an objection to the winner or any placed horses is made and sustained; provided that this rule shall not prevent a Judge from correcting a mistake, such correction being subject to confirmation by the TROTBritain Chief Steward

H26. The Licensed organisation shall appoint an Official who shall be responsible for sending the trotting results to TROTBritain no later than 10am on the next day.

H27. The Licensed organisation is responsible for providing the Timekeepers with adequate means for timing races.

H28. The Starter shall obtain a list of runners for each race from the Race Secretary showing their saddlecloth number and giving their starting position according to the draw or handicap.

H29. [a] All races shall be started from the starting gate or by other method specified in the call for Entries:

[b] The horses shall be started from the starting line by the Official Starter

[c] The Starter shall give all the necessary orders and signals for securing a fair start.

H30. Should the Starter consider that through apparent illness or injury a horse is unable to start, they may at their discretion order that horse to be withdrawn, and that horse shall not then

be considered as having started or come under Starter's orders. The circumstances of such a withdrawal shall be reported without delay to the TROTBritain Chief Steward.

H31. Under the direction and supervision of the Trotting Chief Track Steward the Paddock Steward will have complete charge of all paddock activities including:

- [a] see that strict punctuality is observed in getting the horses on to the track in accordance with the race schedule given them by the Race Secretary.
- [b] inspecting horses for changes in equipment, broken or faulty equipment, head numbers or number cloths
- [c] check horses and Drivers / Riders in and out of the paddock.
- [d] notify the TROTBritain Chief Steward of any circumstances which could in any way change, delay or otherwise affect the racing programme.
- [e] report to the TROTBritain Chief Steward any act of cruelty to any horse that he / she observes.
- [f] see that only properly authorised persons are permitted in the paddock.
- [g] see that all Drivers and Riders are correctly dressed.

H32. [a] There shall be a qualified Veterinary Surgeon appointed by each Track who shall remain at the track during the duration of trotting horseraces and may examine any horse at their, or the TROTBritain Chief Steward's, discretion, and submit a subsequent report to the TROTBritain Chief Steward. No racing may take place before the arrival of the Veterinary Surgeon.

[b] Any horse found to have bled during a race or warm up shall be suspended from racing for 14 days.

[c] Tracks should have a suitable plan in place to remove an injured horse or deceased horse from a track and should have screens to ensure privacy in case of accident or injury

H33. The Veterinary Surgeon is empowered to inspect any horse present on the racecourse and:

- [a] perform an identity check on any horse by checking its passport and/or microchip.
- [b] to check the vaccination status of any horse.
- [c] to examine any horse at the request of the TROTBritain Chief Steward and advise.
- [d] report any case of lameness or sickness or any other condition that gives them cause for concern and advise the TROTBritain Chief Steward accordingly.
- [e] to perform dope tests ordered by the TROTBritain Chief Steward.

H34. If, in the opinion of the Veterinary Surgeon, the humane destruction of a horse, or an urgent operation is necessary, he shall attempt to contact the Owner or Trainer. If he is unable to do so, he shall be entitled to proceed with either of these operations without the permission of the Owner if the latter is not present. The Veterinary Surgeon shall seek a second Veterinary opinion [where practicable] or consult with the TROTBritain Chief Steward, where the owner objects.

H35. Veterinary Surgeons whose practice includes horses stabled on a licensed track shall report immediately to the Licensed organisation all cases of contagious or infectious diseases

occurring within the precincts of the racecourse or training stable and on receipt of such reports, the Licensed organisation shall immediately notify TROTBritain.

H36. A person under suspension or other disqualification, or who has any interest in, or any bet on a race, or has an interest in any of the horses engaged therein, is disqualified from acting in any official capacity in that race. In the event of such disqualification the management shall be notified by the disqualified person and shall appoint a substitute. Any person who violates this restriction shall be fined, and/or suspended or disqualified.

H37. An official may be suspended, and the license may be revoked or denied at any time by TROTBritain for incompetence, failure to follow or enforce the rules, or any conduct detrimental to the sport. Such persons shall not be permitted to officiate at any TROTBritain licensed meeting. Such license may be reinstated by TROTBritain upon such terms as may be prescribed.

H38. Any complaint made against an official shall be made to the TROTBritain Chief Steward in writing, or electronically, signed by the complainant, and accompanied by a deposit of £50 [Fifty Pounds], which will be forfeited if the complaint is found on investigation to be frivolous. The investigation shall be conducted by the TROTBritain Chief Steward in consultation with the Trotting Chief Track Steward and they shall report all such complaints to TROTBritain, who may later take further action as they may deem appropriate under these Rules.

H39. All licensed officials are prohibited from wagering, directly or indirectly, on the outcome of a race at a track where they are officiating. Any licensed Official found to or proven to have wagered on the outcome of a race shall be immediately suspended.

## SECTION J - FEES TO RACE & PRIZE MONEY

J1. The Owner of the horse, as registered with TROTBritain at the time of entry is liable for any fees necessary to race.

J2. All fees are to be paid into the TROTBritain online bank account, either directly or via Stripe. Neither cash nor cheques are acceptable.

J3. The Owner of any horses entered for a race, which is subsequently withdrawn, shall be liable for relevant fees unless the horse is withdrawn prior to it being included on the official Start Sheet.

J4. The published amount of prizemoney for each placed horse shall be made to the Owners, or their authorised replacement, within 28 days from the conclusion of the meeting, net of any entry fees not paid at the time of entry. Payments will only be made online and full details of the bank account authorised to receive them must be provided by the Owner. Where the horse concerned has been subject of an integrity test the prize money shall be withheld until a negative result is returned.

J5. Perpetual trophies, cleaned and polished, must be returned to the track concerned, or to TROTBritain, by one month before the race is held the following year. It is the winner's responsibility to do this and failure to do so may result in a fine and a cost for replacement.

## SECTION K - DECLARATIONS AND DRAWING OF POST POSITIONS

K1. Eligibility of Declarations - The Race Secretary of the Licenced Organisation shall be responsible for taking declarations for horses on the Start Sheet.

K2. Declaration Time - The Track shall specify the time for closing of declarations and advise TROTBritain so . that it can be published on the Start Sheet.

K3. Declarations by Telephone -Declarations made by telephone are acceptable provided they are made before the time specified for declarations to close.

K4. Failure to Declare on Time - A declaration received after the specified time of closing may not be accepted, unless omitted due to error or negligence by an official or employee of the Track. At the discretion of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, horses declaring after the specified time may be allowed to compete in their assigned position, in another position, or not at all

K5. Withdrawal of an entered horse published on the official Start Sheet does not remove liability under section J4.

K6. Balloting for Races -At a specified time before the publication of the Start Sheet all necessary ballots will be conducted live by a person approved by TROTBritain on a social media platform approved by TROTBritain.

K7. Horses Omitted through Error- Such ballots shall be final, except when there is conclusive evidence that a horse was properly entered but omitted due to error;--In this event, the race will be redrawn.

K8. Unless the withdrawal takes place on the advice of the Veterinary Surgeon no horse properly declared to start shall be withdrawn or scratched from the race without the permission of the TROTBritain Chief Steward. When this requirement is violated, a fine and/or suspension may be imposed and the horse may be suspended for 14 days.

K9. Drivers and Riders must be declared to TROTBritain, and driving or riding clashes resolved, before the publication of the official Start Sheet. No Driver or Rider may be changed thereafter without permission of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward. In the case of Driver or Rider changes where the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, is not satisfied by the connections' explanation, the change may be refused. If the horse is then withdrawn the Trainer or Owner will be liable to a fine and/or suspension.

K10. In the case of a Driver's / Riders intended drive or ride being declared a non-runner, the Driver / Rider is permitted to switch to another horse in the same race only if said horse is trained by the Trainer of the Driver's / Riders original drive.

K11. Declaring of Colours - the Driver's / Riders colours must be entered at the same time as the horse and Driver or Rider, and may not be changed after publication on the Start Sheet without permission of the Track Stewards.

K12. Once a horse that is entered to compete has arrived at a race-meeting, it shall not be permitted to leave the racecourse until it has fulfilled all engagements, except with permission of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward.

## SECTION L - STARTING

L1. TROTBritain will specify the starting procedure for a race when calling for entries and also on the Start Sheet. By default or omission it is by mobile starting gate.

L2. Starter's Control - horses shall be deemed to be under the control of the starter at all times when the starter is on the track, and he shall have control of the horses from when the horses are directed from the parade to gate and until he gives the word "go".

L3. There must be a Driver and Starter in charge of the Starting Gate at all times when on the track.

L4. Prior to the race, horses are not permitted to go the wrong way round the track after post parade.

L5. Warming Up - After one or two warm up laps, the Starter shall notify the Drivers to come to the starting gate.

L6. Horses shall be deemed to be under starter's orders for a race, once the car is moving.

L7. Recall Notice - in case of a recall [false start], a light plainly visible to the Driver, shall be flashed and a recall sounded, or such other method as the Track may use, and the gate shall proceed out of the path of the horses.

L8. Breaking Horse - the Starter shall endeavour to get all horses away in position and on gait, but no recall shall be made for a breaking horse, unless it interferes with another horse, in which case a false start will be declared.

L9. Reasons for Recall - the Starter may sound a recall only for the following reasons:

- [a] A horse gets ahead of the gate.
- [b] There is interference.
- [c] A horse has broken equipment,
- [d] There is a malfunction of the starting gate.
- [e] A horse falls before the word "go" is given.
- [f] A horse comes to the gate out of position.
- [g] The race is started from an incorrect point.

L10. Penalties - a driving penalty may be applied to any Driver by the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward and Starter, for:

- [a] Delaying the start without reasonable cause.
- [b] Failure to obey the Starter's or Stewards instruction.
- [c] Rushing ahead of the inside or outside wing of the gate.
- [d] Coming to the starting gate out of position.

- [e] Crossing over before reaching the starting point.
- [f] Interference with another Driver during the start.
- [g] Failing to come up into position.
- [h] Starting in advance of mark; the horse will be disqualified.
- [i] Leaving the track without permission.

L11. Riding In Start car - no persons shall be allowed to ride in the starting gate except the Starter and car Driver, unless the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward has granted permission.

L12. Two Lines - in the event there are two or more lines of horses, the withdrawing of a horse that has drawn or earned a position in the front line shall not affect the position of the horses that have drawn or earned position in the second line.

L13. [a] Whenever a horse is withdrawn from any line, horses on the outside move in to fill the vacancy. Where a horse has drawn a post position in the second line, the Driver of such horse may elect to start the race behind any horse in the first line so long as he does not thereby interfere with another trailing horse or deprive another trailing horse of its drawn position.

[b] While movement inwards within a line is permitted movement forward between lines is not.

L14. Starting without Mobile Start Car because of weather conditions or problems with the Start Car. When horses are started without a gate in a race designated as a mobile start race, the Starter shall be the Commentator and shall have control of the horses from the formation of the parade until he gives the word "go". And may be assisted by a Track Steward standing on the inside of the track at the starting pole holding up a raised flag which will be lowered on the word go. No Driver or Rider shall cause unnecessary delay after the horses are called and may be subject to a fine and or disqualification if they do. A Steward will stand on the inside of the track at a suitable distance from the start. Any Driver or rider breaking the line will be automatically disqualified and may incur a fine.

L15. Unmanageable Horse - if in the opinion of 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 off the track. When this action is taken by the Starter, he will notify the TROTBritain Chief Steward and Trotting Chief Track Steward who will in turn notify the public.

L16. Badly Behaved Horse - a badly behaved horse that caused interference may, under order of the Starter, be placed on the outside of the gate. If this action is taken the Public must be informed before the starting word is given.

## SECTION M - RACING AND TRACK RULES

M1. [a] Every horse shall be in the paddock no later than the time specified on the Start Sheet or announced over the Public Address at the order of the Trotting Chief Track Steward.

[b] Horses should parade in number order or as otherwise directed by the Paddock Steward. A horse may be excused from the parade provided the Trainer asks permission from the Trotting Track Chief Steward prior to commencement of the first race. The Driver or Rider must be ready to join the other horses in the race as soon as the parade has finished and must not hold up the start of the Race.

M2. On leaving the paddock to compete in a race the Driver or Rider shall:

[a] Drive or Ride their horse in its preliminary warm up the correct way of the track only exception when being paraded in front of the stands.

[b] be under the control of the Starter and obey all orders of the Starter.

[c] not leave the track without the consent of the Starter or a Trotting Track Steward.

M3. Every horse in the race must contest the race. If the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward believe that a horse is being driven or ridden, or has been driven / ridden, to prevent their obtaining a place which it was capable of, or is being raced in an intentional inconsistent manner, or to perpetrate or to aid a fraud, so as to affect the outcome of the race, they shall consider it a violation and the Driver or Rider, and anyone in connection with them, shall be suspended and or disqualified and or fined.

M4. Driving and Riding Rules - no Driver or Rider shall commit any of the following acts, which are considered violations of driving and riding rules:

[a] Change course or position, or swerve in or out, or bear in or out during any part of the race in such a manner as to compel another horse to shorten its stride or cause another Driver or Rider to change course, take their horse back, or pull their horse out of its stride.

[b] Impede the progress of another horse and/or cause it to break from its gait.

[c] Fail to give clearance when pulling in front of another horse or in front of the field.

[d] Crowd another horse by "putting a wheel under them.

[e] Help any other horse to improve its position.

[f] Carry another horse out.

[g] Take up or slow up abruptly in front of other horses so as to cause confusion or interference among the trailing horses.

[h] Strike or hook wheels with another sulky.

[i] Lay off a normal pace and/or leave a gap when it is well within the horse's capacity to keep the gap closed.

[j] Drive or ride in a careless or reckless manner. The following definitions apply:

Reckless Driving or Riding : A Driver or Rider is guilty of reckless driving / riding if he/she shows no regard to the consequences of their actions and/or the risk to others, including the danger of injury to other horses or Drivers and Riders.

Careless driving or riding : A Driver or Rider is guilty of careless driving or riding if he/she fails to take reasonable steps to avoid causing interference or causes interference by misjudgement or inattention.

[k] Failure to drive or ride a horse to the extent of its ability considering track conditions, weather and circumstances of the race.

[l] Back off from any position and subsequently come on when challenged.

[m] Fail to contest an excessively slow pace.

[n] Fail to report an accident or broken equipment.

[o] Drive or Ride a horse into a position where insufficient room exists.

[p] Crowd another Driver by allowing their horse to touch the Driver in front.

M5. [a] Loud shouting or other improper conduct is forbidden whilst either warming up, parading, during a race, and after a race.

[b] Unnecessary conversation between and among Drivers or Riders while on the racetrack, up to and including the race, is prohibited.

M6. No Driver or Rider may have a mobile telephone or beverage in their possession whilst on the track. No Driver or Rider may smoke cigarettes or vape whilst on the track.

M7.[a] Drivers must keep at least one foot in the stirrup whilst on the track. Riders must keep both feet in the stirrups at all times whilst on the track.

[b] Drivers must keep both feet in the stirrups at all times whilst under starters orders and during a race.

[c] A Driver shall be allowed to remove a foot from the stirrups temporarily for the purpose of pulling earplugs and blinds.

M8. Any Driver kicking a horse in a race will incur an automatic suspension and/or fine.

M9. [a] Drivers shall only use an approved whip. This being flexible, of standard construction either black or tan, with a fibreglass core covered in linen with a handle and snapper. The whip shall not exceed 48 inches/ 125 cm in length and the snapper shall not to exceed 7 inches/ 17cm in length and must be made of standard construction NOT knotted. No whip shall be modified in any way and damaged whips must not be used under any circumstances. No other device is to be used.

(b) List of currently approved whip manufactures: Walsh, Finntack, Yonies, Westfield. This list is not exhaustive and subject to change at any time. No rawhide whips to be used.

(c) For saddle / monte races any whip used must be one approved for use by the BHA either for national hunt or flat racing. Available from Gibsons Saddlers (Newmarket).

(d) Any whip deemed to be unsatisfactory by the TROTBritain Chief Steward in consultation with the Trotting Chief Track Steward shall be confiscate.

M10. [a] A Monte rider is permitted to put the reins in one hand to use the whip to hit the horse on its hindquarters only, using a flicking motion of the wrist, the rider must not lift their shoulder or raise their elbow to hit the horse.



[b] No Driver shall take the reins in one hand and use the whip to strike the horse with the other hand.

[c] The driver shall use the whip only by means of flicking motion of the wrist, keeping one rein in each hand.

[d] The flicking motion shall be used with no force generated from the movement of the elbow or shoulder. The wrist should not be raised higher than the hindquarters of the horse.

[e] The driver must only use the whip on the hindquarters of the horse.

[f] The butt end of the whip must not be used

[g] The whip shall not be used outside the confines of the shafts and neither wheel discs nor shafts shall be hit.

[h] The whip must not be reused without giving the horse time to respond.

[i] The whip must not be used on a horse that is not responding, is not in contention, cannot maintain or improve its position, cannot lose its placing position, or has passed the winning line.

[j] The whip must not be used in a way that causes injury to a horse.

[k] The driver shall use the reins for encouragement only by means of a flicking motion of the wrist.

[l] The flicking motion shall be used with no force generated from the movement of the elbow or shoulder. The wrist should not be raised higher than the hindquarters of the horse. The driver must only use the reins on the hindquarters of the horse

M11. The only evidence taken into account in an enquiry relating to a driving or riding offence will be that from the official video or drone footage, from the veterinarian on duty and from the TROTBritain Chief Steward and/or Steward, and Trotting Track Stewards.

M12. A TROTBritain Chief Steward may enforce any of these driving and rules retrospectively (within one week). After viewing video or drone footage of a race the offender will be contacted with the finding, the rule breached, and the penalty. If requested, an appeal will be heard at the next suitable opportunity.

M13. In cases where it is deemed desirable, the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, may order a horse to be examined by the veterinarian on duty for evidence of whip abuse and the veterinarian shall report their findings directly to them for appropriate action to be taken.

M14. The possession of or use of any device or appliance other than the ordinary whip, crop or reins, upon any horse at any racecourse shall constitute a violation and may incur a fine and or suspension.

M15. Any license holder who strikes, with their whip or otherwise, another horse, license holder, official or any other person, shall be subject to a suspension and or fine at the discretion of TROTBritain.

M16. The order of driving or riding priority set out below shall apply in relation to an Owner, Trainer or Driver and Rider who has more than one horse entered in a race and desires to drive or ride in such a race:

[a] Firstly they shall drive or ride the horse they own and train.

[b] Secondly they shall drive or ride the horse which they own but which is trained by some other person.

[c] Thirdly they shall drive or ride the horse trained by themselves but not owned by them.

[d] Fourthly if none of the horses so engaged comes within the categories set out in the foregoing priorities, the driver or rider shall choose the horse they wish to drive or Ride.

M17. [a] Once a Driver or Rider has been declared they must drive or rider their nominated horse unless the TROTBritain Chief Steward in consultation with the Trotting Track Steward gives prior permission for the Change.

[b] In any Final [i.e., a race for which the runners qualify by performance in heats] each runner shall be driven by the Driver who drove in the qualifying heat except, with the permission of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, in the case of illness or accident. If a driver qualifies more than one horse for a final other than (b) above M16 driving rules are applied.

M18. Any Driver or Rider who commits a breach of any of the sub clauses to this Rule may be suspended or disqualified and/or fined for such period as is thought fit.

M19. Any complaint by a Driver or Rider of any foul driving or riding or other misconduct during the race must be made at the termination of the race, unless the Driver or Rider is prevented from doing so by an accident or injury. Any Driver or Rider wishing to make any complaint regarding violation of the Rules, must before dismounting indicate to the TROTBritain Chief Steward and/or Trotting Chief Track Steward, that he wishes to enter such claim or complaint and, immediately upon dismounting, proceed to the Steward's Office where and when such claim, objection or complaint shall be immediately entered.

M20. In case of interference, collision, or violation of any of the above restrictions, whether occurring before or after the start, the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, will (except in exceptional circumstances) place the offending horse, back one or more positions in that race, and in the event such collision or interference prevents any horse from finishing the race, the offending horse will be placed last and the Driver or Rider may be-suspended or disqualified and or fined. In the event a horse is setback, under the provisions hereof, it must be placed behind the horse or horses with whom it interfered.

M21. When a horse or Driver or Rider has caused interference:

[a] by careless or reckless driving or riding in any part of the race after coming under Starter's Orders, the horse shall, on an objection under Rule T1 be disqualified.

[b] by careless or reckless driving or riding in any part of the race after coming under Starter's Orders the horse shall, on an objection under Rule T1, be placed behind the horse or horses with which it has interfered or placed last, if the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward is satisfied that the interference improved its

placing in relation to the horse or horses with which it interfered. If they are not so satisfied, they shall overrule the objection and order that the placings shall remain unaltered.

M22. The Driver or Rider of any horse who, in the opinion of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward,, has been guilty of careless or reckless driving or riding at any time whilst on the racetrack and whether before or after a race shall be guilty of an offence and may be suspended and/or fined.

M23. The driver or rider of any horse which breaks into a gallop during a race must continue to go forward and not take back, ensuring there is no interference with any horses behind. When a driver or Rider has to continue going forward in the race so as not to cause interference with other horses while in a gallop, will be disqualified after galloping for 15 strides. Any driver or rider causing unnecessary interference with any other horses will result in the driver or rider being disqualified, suspended and or fined. The driver or rider at the earliest possible opportunity and when clearance exists must immediately :

[a] Take the horse to the outside

[b] When clear, make sustained vigorous attempts to bring the horse back to a trot, ensuring that the horse continuously loses more and more ground while in a break.

[c] If these actions are adhered to the horse will not be disqualified, so long as it does not gallop for more than fifteen strides in total during a race, .

[d] If (a) and (b) are not both adhered to, the horse will be disqualified and the driver or rider suspended and or fined.

[e] Any horse breaking within the final 100 yards, as determined by the TROTBritain Chief Steward, will be disqualified

[f] The counting of the number of strides a horse has taken in a break is the sole responsibility of the TROTBritain Chief Steward, or another attending TROTBritain Steward (if agreed), and no appeals against or comments regarding their in-race decisions to disqualify or nor disqualify a horse will be entertained. For the avoidance of doubt, Trotting Track Stewards have no role in counting the number of galloping strides and are to focus on detecting and reporting breaches of driving and riding offences, including M23 (a) and (b).

M24. Disqualification of a horse during the race will be announced by M24 Disqualification of a horse during the race will be announced by the commentator and the driver or rider of a breaking horse must be alert to the possibility of such announcement.

M25. Any horse making a break, which causes interference to other contending horses, may be placed behind all offended horses. Where there has been no failure on the part of the Driver or Rider of the breaking horse under rule M23, no suspension shall be imposed on the Driver or Rider as a consequence.

M26. If in the opinion of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, a Driver or Rider allows their horse to break for the purpose of losing a race, he or she shall be suspended and or fined.

M27. In the event a drive or ride is unsatisfactory due to lack of effort or carelessness, and the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, believes that

there is no fraud, gross carelessness, or a deliberate inconsistent drive or ride they may impose a suspension or disqualification and/or fine.

M28. If a horse or part of the horse's sulky leaves the course by going inside the markers which constitutes the inside limits of the course, the offending horse shall be relegated one or more positions where, in the opinion of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, the action gave the horse an unfair advantage over other horses in the race. If the offending horse causes interference to any other horse in the race by such action, or causes another horse to penetrate inner track markers, the offending horse will be disqualified.

M29. If a race has to be stopped, for whatever reason, when it is restarted no horse can be partnered by anyone other than the originally declared Driver or Rider, except in such circumstances where the original Driver or Rider is physically unfit to drive or ride. If that is the case, permission must be obtained from the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, and a public announcement made to that effect.

M30. [a] If a horse is classed to have fallen on a track at any stage, then it cannot run.

[b] If a horse falls at an official fixture other than in (a) above it can only run with veterinary approval.

M31. No horse may race more than twice in any one day, other than reruns.

M32. In the event of a dead heat between two or more horses:

[a] all monies shall be divided equally between the Owners or Owners representative of such horses.

[b] the horses shall be rerated in accordance with the prize money actually received.

M33. If any Driver or Rider is unseated at any period whilst on the track or during a race that Driver or Rider must attend the official trained medical personnel in attendance before driving or riding in any subsequent race on that day.

M34. In the case of an incident which results in a loose horse or horses, stricken Drivers, Riders or horses, or any obstructions deemed to put the horses and Drivers or Riders in danger, at the discretion of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, the race is to be stopped by the waving of a red flag or flags (at least 3 red flags to be at the track). If the Judge has a more advantageous view of an incident, he can advise the stewards to stop the race. The commentator may also be instructed by the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, to stop the race.

## SECTION N - QUALIFIERS AND RECORDS

N1. No horse may be entered for a trotting horserace before it has qualified under these Rules

N2. The purpose of qualifying trials (Qualifiers) is to ensure that horses in a trotting horserace are able to turn in a competitive and safe performance in a trotting horserace.

N3. To qualify to compete in a trotting horserace every horse will be required to take part in a trial in which it will demonstrate that it is mannered and controllable, including behind the starting gate and in company, and can meet the time required over the distance or distances in Appendix VII, without breaking or sustained improper trotting. For the avoidance of doubt up to two episodes of improper trotting for up to five strides are permitted.

N4. Horses required to Qualify or Requalify:

- [a] Any horse that has not raced in the previous or current season under the rules of TROTBritain or a UET member country .
- [b] Any horse that has not qualified in the previous or current season under the rules of TROTBritain or a UET member country .
- [c] Horses that have been required by a TROTBritain Chief Steward to re-qualify.

N5. No horse is eligible to be entered to compete in a Qualifier (or Qualifier Workout or Workout) unless:

- [a] it is registered as a trotting racehorse with TROTBritain
- [b] the registered Owner/s holds a current TROTBritain license.
- [c] the Trainer holds a current TROTBritain license
- [d] the Driver or Rider holds a current TROTBritain license
- [e] it complies with rule Q1

N6. Stewards supervising Qualifying Trials have the responsibility to ensure that:

- [a] The horse has manners behind the starting gate.
- [b] The horse has manners in company and will not present a danger to itself or other runners.
- [c] The horse is capable of trotting the distance or distances in the time set in Appendix VII.

N7. Procedure during Qualifiers:

- [a] Qualifiers should take place under racing conditions.
- [b] The horses must be started behind a mobile start vehicle, unless the TROTBritain Chief Steward determines otherwise.
- [c] The horse must demonstrate its manners in company, therefore a minimum of three horses should be involved in the Qualifier or Qualifier/Workout.
- [d] Where this does not adversely affect the opportunities of horses seeking to qualify, the race framer may add Workout horses and make the event a Qualifier/Workout. It is at the discretion of the race framer or Trotting Track Chief Steward as to whether Workout horses are required to trail the start gate in Qualifier/Workouts.
- [e] Entries for Qualifier/Workouts are to be made at the same time as entries for trotting races at the meeting. No trotting Qualifier, Qualifier/Workout or Workouts will be staged where there are no trotting races on the programme, except where it is a Qualifier only meeting.

[f] The Start Sheet (and Card) will treat a Qualifier and/or Workout as a normal race.

N8. Before signing the horse's passport as qualified, the TROTBritain Chief Steward or their designated replacement must perform a careful identity check.

N9. The full result of the Qualifier and/or Qualifier/Workout is to be recorded as for a normal race and the result included in those for the meeting forwarded to TROTBritain.

N10. Qualifying trials for trotters may be outside of race days provided that the conditions above can be met, including entry and Start Sheet (but not necessarily a Race Card) publication. A Veterinary Surgeon and Medic or First Aider must be on site at all trotting Qualifiers and/or Workouts.

N11. Horses may be required to re-qualify by the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward if:

[a] They are dissatisfied with its performance in a race

[b] The Starter deems it unruly.

[c] It behaves in such a way that the Trotting Track Stewards report it as a danger to others

[d] A horse that exhibits a sustained passage of improper trotting during a race (notably 'hiking') - guidance 100 yards - will be put on report by the TROTBritain Chief Steward and required to re-qualify after three such reports.

N12. The TROTBritain Chief Steward in consultation with the Trotting Chief Track Steward and other relevant officials they deem relevant, may issue a track specific requirement, i.e., the horse may not race before re-qualifying at that track, or on a specified track, or a general requirement to re-qualify.

N13. Where there is any requirement to re-qualify, details should be forwarded to TROTBritain stating on what grounds the horse has to re-qualify.

N14. Horses required to re-qualify do so by following the same requirements as for qualification. The responsible person should notify TROTBritain at the time of entry that it is required to re-qualify and why. TROTBritain NATIONAL AND TRACK RECORDS.

N15. The time must be a winning time.

N16. Urine or blood tests according to the rules are required for a horse claiming a national record. A positive test result would invalidate any record set.

N17. An approved timing device is required for all records. In the event of a failure of a timer during the progress of a record, no record will be obtained.

## SECTION P - POSTPONEMENT

P1. Under exceptional circumstances, or if the weather causes the track to be in an unfit state, the TROTBritain Chief Steward, in consultation with the Promotor or Organiser, any TROTBritain

Steward and the Trotting Chief Track Steward, will, jointly, have the final decision as to whether to abandon trotting races at a race meeting on health, safety or welfare grounds. If they are in dispute the view of the TROTBritain Chief Steward will prevail.

P2. The Licensed organisation, with the agreement with the Promotor or Organiser and TROTBritain, may, in exceptional circumstances cancel a meeting, in which case:

- [a] Every effort must be made to notify all officials and participants of such cancellation.
- [b] The Licensed organisation will have the option to apply to TROTBritain for an alternative date.
- [c] When a meeting is cancelled, Owners, Owners representatives and Trainers will normally have the option to transfer their entry to the arranged alternative date.

## **PART FOUR - HORSES AND EQUIPMENT**

### SECTION Q - HORSES

Q1. (i) To enter any racetrack on a race day, every trotter other than visitors must be registered with TROTBritain and have by the time of entry supplied to TROTBritain a digital image of the relevant passport pages that confirm its flu vaccination status is in order for that race day.

[ii] To be eligible for registration a trotter must:

- [a] have a passport issued by STAGBI or an internationally recognised Trotting Authority.
- [b] be identified by a microchip which must be registered with TROTBritain
- [c] be qualified or requalified to race under these rules under the conditions laid down in Appendix VII.
- [d] be registered to an Owner who holds a current TROTBritain license.
- [e] be registered to a Trainer who holds a current TROTBritain license [f] have paid all fees required by TROTBritain to race.
- [f] If a flu vaccination certificate is found to be incorrect or altered in any way, the Owner and/or Trainer will be referred to TROTBritain for penalisation, which may include suspension and or fine, and the horse will be disqualified from racing until all vaccination requirements are complied with.

Q2. [a] No two year old horse shall race before August 1st of its two year old year.

[b] No two year old is permitted to take part in a race more than once in one day or more than once in a seven day period.

Q3. Visiting horses will be permitted to race on payment of a visitor race fee, provided full information regarding race performance, current season and lifetime winnings, grade etc and flu vaccination is supplied to TROTBritain one week before entries close by the racing authority under whose jurisdiction the horse has been competing, along with details of its registered Owner and Trainer.

Q4. Visiting trotting horses must be currently registered with a UET member or another internationally recognised Harness Racing Authority.

Q5. Where TROTBritain or any other body recognised by TROTBritain has ordered that costs be paid ("the costs order") in respect of investigations or tests of a specified horse or horses (by way of example but not limited to costs incurred by TROTBritain and its agents in furtherance of the Integrity Testing Regime) those horses to which the costs order relates will not be permitted to run in races falling within the jurisdiction of TROTBritain until those costs have been paid. For the avoidance of doubt, this restriction will apply whether or not the horse remains in the same ownership as at the time that the costs order was made. A list of such horses will be published on the TROTBritain website.

Q6 Any horse which has had a positive integrity test will not be eligible for any awards, e.g. horse of the year.

## SECTION R – EQUIPMENT

R1. All racing equipment and apparatus shall be of good quality designed and manufactured for its purpose and shall be maintained in sound and serviceable condition, capable of withstanding the stresses of trotting horseracing.

R2. Any failure of any part of a horse's harness or equipment during a race must be reported to the TROTBritain Chief Steward and Trotting Chief Track Steward immediately after the race by the Trainer or Driver or Rider.

R3. Where the TROTBritain Chief Steward in consultation with the Trotting Chief Track Steward are concerned over the condition of any harness or other equipment they may either require maintenance action or forbid any equipment which in their opinion, is unsuitable, unsafe or ineffective from being used.

R4. Each horse must be safely equipped for each race and if it is determined by the TROTBritain Chief Steward in consultation with the Trotting Chief Track Steward that a horse has been raced with unsafe or faulty equipment, they may impose a fine, and/or suspension on the Trainer concerned.

R5. The permission of the TROTBritain Chief Steward in consultation with the Trotting Chief Track Steward, must be obtained before any alteration of the equipment on a horse during a race-meeting. Failure to obtain such permission could result in disqualification of the horse and a fine to the Trainer.

R6. [a] Head collars may not be worn with the bridle whilst a horse is harnessed on the racetrack on race days.

[b] Driving or Riding reins must not be knotted together driving reins should be placed on the sulky seat underneath the Driver.

R7. Sulkies must be of conventional design with no point of hitch or any part of a shaft above a horizontal level equal to the lowest point of the horse's back. Bent shaft sulkies are not permitted i.e., the maximum measurement from the hitch position to the bend in the sulky shaft is 12 inches.



R8. Every sulky must be fitted with unicoloured or colourless wheel-discs on the inside and outside of the wheel unless such protection is integral in the construction of the wheel.

R9. Sulkies must be of neat appearance with a properly secured and tight seat. Any dangerous protruding objects/articles must be covered safely for protection.

R10. A fine and/or suspension may be imposed for contravening any rules in this section.

R11. It shall be the decision of the TROTBritain Chief Steward in consultation with the Trotting Chief Track Steward to stipulate if mud guards and/or mud sheets must be used at a race-meeting due to inclement conditions. It is the responsibility of the Trainer to ensure these are present and fitted correctly and safely in line with the manufacturer's guidelines and fit for purpose. The mud guards shall be of a type approved by TROTBritain.

## **PART FIVE - PARTICIPANTS**

### SECTIONS - GENERAL RULES GOVERNING PARTICIPANTS

S1. [a] All participants in trotting horseracing under TROTBritain rules are required to obtain the appropriate license from TROTBritain.

[b] All license holders will have completed a form agreeing to abide by the Rules and Regulations of TROTBritain and where fines/costs are levied against them, undertake to pay both those fines and costs.

S2. All provisions under the rules shall apply to men and women participants equally.

S3. TROTBritain shall consider every application for a license, and where the applicant is eligible under these rules to hold the license applied for, may:

[a] require an applicant to provide such information as is reasonably considered necessary to determine the application.

[b] Grant the same subject to such conditions or restrictions, if any, they think appropriate to impose

[c] In the case of an applicant for a Driver and Riders license, may require them to produce a satisfactory medical certificate of fitness to drive or ride.

[d] At their absolute discretion refuse to grant the same, where they consider the issue of such license is not in the interests of trotting horseracing.

[e] Require any applicant who claims to hold a license to drive, ride or train granted by any internationally recognised organisation outside Great Britain, to produce the same for inspection.

S4. Every such license shall continue in force until the 31st day of December of the year issue thereof, and shall then expire, unless granted for a specific period expiring at an earlier date, or cancelled, withdrawn or voided.

S5. In dealing with any application for renewal, TROTBritain shall have the same power as in S3 above. S6. TROTBritain may, at its discretion, cancel or withdraw any license or suspend any license for such period during the currency thereof, if they consider there are reasonable grounds for so doing.

S7. No bookmaker shall be granted a TROTBritain Driver or Riders license and no Driver or Rider shall be allowed to stand as a bookmaker or assist a bookmaker in any capacity whatsoever.

S8. No bookmaker shall be granted a TROTBritain Trainer's license and no Trainer shall be allowed to stand as a bookmaker or assist a bookmaker in any capacity whatsoever.

S9. Any change of name should be notified to TROTBritain within 28 days DRIVERS and RIDERS

S10. [a] If in the opinion of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, a Driver or Rider's/license holder is for any reason unfit or incompetent to drive or rider or refuses to comply with the directions of the TROTBritain or Trotting Track Stewards, or is reckless in their conduct and/or endangers the safety of horses or other Drivers or Riders in the race, he or she may be removed and their license withdrawn.

[b] All Drivers or Riders who have reached the age of 70 may, at the discretion of TROTBritain, be required to undergo a medical examination at their own expense.

S11. Drivers or Riders must wear either their own or Owner's colours, which must be registered with TROTBritain, and clean white trousers, and shall not be permitted to drive or ride in a race or other public performance unless, in the opinion of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, they are properly dressed, their driving or riding outfits clean, and they are well groomed. All Drivers and Riders must be of smart appearance and all fastenings, buttons, zips and tapes must be fastened. TROTBritain must be informed at time of entry if colours other than the Drivers or Riders own are to be worn. Any change of colours during the season must be notified to TROTBritain.

S12. During inclement weather conditions, Drivers or Rider may wear rain suits either of their colours or made of a transparent material through which their colours can be distinguished, or such other rain suits as may be allowed at the discretion of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward.

S13. The TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward may insist that a Driver or Rider wear their own colours or may insist on the use of track colours provided by themselves.

S14. [a] All Drivers and Riders on passing their TROTBritain driving and riding tests must register their own racing colours.

[b] Owners may, if they so wish, continue to register their own colours.

[c] The person responsible for entering the horse must state whose colours the Driver or Rider will be wearing.

S15. A participant must wear a protective helmet with a chin strap securely fastened under the chin at all times when mounted in a sulky or other vehicle behind a horse, or in the saddle, on the track. The protective helmet must meet, as a minimum, BS EN1348 standard or current equivalent standard. No appendages will be permitted.

S16. Only one person will be permitted to ride on a sulky at any time whilst on a racetrack and such person must hold a current Driver's license.

S17. All Drivers and riders when on the track on race days are required to wear a Body Protector, which offers full back protection, and which is tested and approved to the European Standard - EN 13158:2000 or current equivalent standard.

S18. All Drivers and Riders must wear footwear with a substantial heel, made of good leather or synthetic material. Under no circumstances should trainers, wellington boots or other insubstantial footwear be worn unless permission is given by the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward.

S19. [a]All Drivers and Riders must wear registered racing colours when warming up a horse prior to racing or at any time when on the race-track at an official TROTBritain fixture unless permission is given by the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward.

[b] All Drivers and Riders must parade or remain in proper post parade order, unless excused by the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, until the parade has passed in front of the grandstand and the horses have turned on the track.

#### RULES COMMON TO ALL PARTICIPANTS

S20. All participants must produce the horse's passport to the race day secretary when declaring said horse. Failure to do so will result in horse not being allowed to run and a penalty being imposed.

S21. Only Owners, Owners Representative, Trainers, Drivers, Riders and Handlers of horses competing in trotting horseraces are entitled to admission to the racetrack. unless prior permission has been obtained from the Trotting Chief Track for a handler to attend the horse.

S22. In the event any person is involved in an accident on the track, a record must be completed on the Stewards Enquiry form and noted on the TROTBritain Chief Steward's Report. The officials on duty should ensure that any drivers or riders undergo a medical examination, and that the veterinary surgeon checks any horses involved.

S23. It shall be an offence under the Rules for any person to drive or ride while medically unfit to do so, or while under the influence of drugs or alcohol. If a concern is raised drivers or riders may be requested by the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, to see the medical facility in attendance to establish whether they are 'fit to drive or ride!'. In certain circumstances a formal doctor's certificate may be required.

S24. When directed by the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, participants shall submit to a breath analysis test, or any other test. Any driver or rider who shows a positive reading shall be subject to disciplinary action. Any participant who refuses to submit to a breath analysis test as required by the rules shall be prohibited from driving or riding on that day and is liable to suspension and or fine.

S25. Where breath analysis testing equipment is not available, if, in the opinion of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, a person is unfit to drive or ride, or whose conduct may reflect adversely on the sport due to alcohol or drug impairment, he shall be suspended forthwith for the remainder of that day and be liable to a further suspension and/or fine.

S26. The personal use by any participant of any illicit drug is prohibited. Random testing for personal drug use may be carried out on the instruction of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward.

S27. Failure to report fraudulent proposal. If any person shall be approached with any offer or promise of a bribe, or a wager, or with a request or suggestion for a bribe, or for any improper,

corrupt or fraudulent act in relation to racing, or that any race shall be conducted other than fairly and honestly, it shall be the duty of such person to report the details thereof immediately to the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, may result in a suspension and/or fine.

S28. No Owner or Trainer shall cause or permit any horse which is suffering from any infectious or contagious disease, or which has recently been exposed to the risk of such disease, to be or to remain, upon any racecourse or within the precincts thereof, provided that it shall be a defence to an alleged breach of this Rule to provide that neither the Owner nor Trainer knew, or reasonably could have known, of such disease or the fact of such exposure, may result in a suspension and or fine.

S29. Any license holder found guilty of committing an act of cruelty on a horse shall be liable to a suspension and or fine. TROTBritain shall have the authority to order an investigation and a hearing and to impose a penalty for any act of cruelty or neglect of a horse committed by a license holder whether on or off the track. All licensed persons must have regard of the Horse Animal Welfare Statement published by TROTBritain in Appendix XI (a) which may result in a suspension and/or fine.

S30 [a] that all stables in which horses racing on licensed racecourses are kept, situated, constructed and maintained to their satisfaction.

[b] that all horses kept stabled, which are the subject of a TROTBritain license, whether at a racecourse or the premises of an Owner or Trainer, shall be maintained in good and healthy condition and shall be provided with all facilities and services required to that end. Where the Stewards are not satisfied as to such conditions, they may make such order as they deem fit and may appoint a Veterinary Surgeon to examine and report to them, and may, at their discretion, require that the fees and expenses of any such examination and report shall be borne in whole or in part by the Racecourse Executive concerned, or by the Trainer, or Owner, as the case may be and may result in a suspension and/or fine.

S31. [a] Any license holder who participates in trotting horseracing at a race-meeting including road racing which is not licensed by TROTBritain, or not sanctioned by the internationally recognised governing body of another country, may be suspended or warned off and/or fined.

S32. Any license holder participating in Road Racing in any capacity, or promoting, reporting on, or in any way endorsing Road Racing in social media shall be subject to a mandatory suspension and/or warning off and fine.

S33. No Owner, Trainer, Driver, Rider, Handler or attendant of a horse, or any licensed person or official shall use improper language by either speech or other form of communication to any official or be guilty of any improper conduct toward such officials or persons serving under their orders, may result in a suspension and/or fine.

S34. No Owner, Trainer, Driver, Rider, Handler or attendant of a horse, or any other person, at any time or place shall commit an assault, or an assault and battery, upon any Driver or Rider who shall drive or ride in a race, or shall threaten to do bodily injury to any such Driver or Rider, or shall address to such Driver or Rider in outrageously insulting language, may result in a suspension and/or fine.

S35. If any Owner, Trainer, Driver or Rider of a horse shall threaten or join with others in threatening not to race, or not to declare in, because of the entry of a certain horse or horses, or

a particular person, thereby compelling or trying to compel the race framer to reject certain eligible entries or frame the races in a particular way, may be suspended and or fined, pending a hearing before a TROTBritain Panel.

S36. The following shall make offenders liable to suspension and or fine:

- [a] Use of offensive or profane language.
- [b] Disturbing the peace.

S37. The following shall make offenders liable to suspension and/or fine:

Any TROTBritain licensed person shall not:

- [a] engage in misconduct injurious to the sport of trotting.
- [b] say, publish, write, or cause to be said, published or written, anything malicious, intimidatory or otherwise improper, about TROTBritain or its license holders and associates.
- [c] whether alone or in association with others, say, publish or write, or cause to be said, published or written, anything intended improperly to influence a decision of TROTBritain.
- [d] whilst acting as administrator to social media pages, allow comments to be published which are malicious, intimidatory or otherwise improper about TROTBritain or its license holders and associates. Said administrator shall be deemed to take full responsibility for such comments.
- [e] whether individually or in connection with one another, fraudulently and corruptly, by any means, affect or attempt to affect the outcome of any trotting race or affect or attempt to affect a false registration, or commit any other act fraudulent in its nature and/or injurious to the sport.

S38. The following shall make offenders liable to suspension and/or fine:

- [a] If two or more persons shall combine and confederate together, in any manner, regardless of where the said persons may be located, for the purpose of violating any of the rules of the TROTBritain and shall commit some act in furtherance of the said purpose and plan, it shall constitute a conspiracy and a violation.

S39. Financial Responsibility - any participant who shall demonstrate financial irresponsibility by accumulating unpaid obligations, defaulting in obligations, issuing one or more cheques that are dishonoured, or payment refused, may be denied a license by TROTBritain or may be suspended and/or fined and or warned off by TROTBritain.

S40. No Owner, Trainer, Driver, Rider, Handler or attendant or other person representing a horse which has previously tested positive for equine infections shall knowingly cause said horse to be declared into any race; and no Owner, Trainer, Driver, Rider, Handler or attendant or other person shall seek to bring about the transfer of such a horse without first notifying the prospective purchaser or transferee of the fact that the horse had previously tested positive for equine infections.

S41. Any violation of any of these rules within Section S shall be punishable by a suspension, fine and/or warning off.

S42. Any Owner/Trainer/Driver, Owner/Trainer/Rider, Trainer, Trainer//Driver, Trainer/Rider, found guilty of any failed integrity testing will not be eligible for any awards (i.e leading driver or trainer etc)

## SECTION T - OBJECTIONS AND APPEALS

T1. Objections may be made by an Owner, authorised agent, Trainer, Driver or Rider of one of the contending horses and shall be made verbally to the TROTBritain Chief Steward and contain at least one specific charge which, if true, has affected the chances of their horse in the race. An objection may also be made by an official acting in their specified official, not personal, capacity. Such objection must be made within two (2) minutes of the race being run.

T2. Every objection shall be determined by the TROTBritain Chief Steward, in conjunction with the Trotting Chief Track Steward and one other Trotting Track Steward. Other Trotting Track Stewards may be in attendance but only if called as witnesses.

T3. When an objection has been duly made it shall not be withdrawn or surrendered without approval of the TROTBritain Chief Steward

T4. Any person found guilty of making an objection falsely or without cause may be liable to a fine and/or suspension.

T5. If the placings of a race are altered as the result of an objection all prizemoney for the race shall be distributed according to the decision made on the objection.

T6. Pending the decision any prize money that may be affected by the outcome of the objection shall be withheld.

T7. An objection charging that:

- [a] a horse which ran was not the horse which it was represented to be at the time of entry.
- [b] a horse has run in contravention of the Rules of Ownership.
- [c] a horse has run in contravention of the Rules of Training.
- [d] a horse has run in contravention of the Rules of Handicapping (i.e., off its wrong mark).
- [e] a horse was run in contravention of the Rules relating to unrecognised meetings.
- [f] a horse was not duly registered at TROTBritain.
- [g] a horse or its Driver or Riders were in breach of these Rules of Racing.

A decision must be appealed in writing not later than 48 hours after the conclusion of the race meeting concerned.

T8. In the case of Fraud or wilful misstatement, there shall be no limit to the time for objecting, providing TROTBritain is satisfied that there has been no unnecessary delay on the part of the objector.

T9. All costs and expenses in relation to determination of any objection and/or rehearing shall be paid by such persons and in such proportions as TROTBritain shall direct.

## SECTION U – APPEALS

U1. Appeal - an appeal is a request made in writing for TROTBritain to appoint an Appeal Panel to investigate, consider, and review any decisions or rulings of the trotting officials for a meeting. The appeal may deal with placings, penalties, interpretations of the rule, or any questions arising out of the conduct of trotting horseracing at the race-meeting. The appeal may be held in person or by a video conferencing platform (such as 'zoom'), as decided by TROTBritain.

U2. An Owner, Owners Representative, Trainer, Driver or Rider of one of the participating horses in the race may appeal the decision and rulings of the trotting officials for a race. The appeal may be taken upon any question pertaining to the conduct of a race, interpretation of the rules, decisions relative to the outcome of a race, application of penalties, or other actions affecting owners, trainers, drivers, riders or horses, but it must be based upon a specific charge, which, if found true, would warrant modification or reversal of the decision. No appeal shall be allowed against any decision which by these Rules is declared to be conclusive or final, or otherwise not subject to appeal. Notwithstanding, an appeal may be lodged against any action deemed to be against a person's rights under the Human Rights Act of 1998.

U3. [a] Notice of intent to appeal a race day decision must be made to TROTBritain in writing within 48 hours of receipt of notice of the decision or ruling.

[b] Notice of intent to appeal a decision of TROTBritain must be made to TROTBritain within 7 days of receipt of notice of the decision or ruling. A deposit of £50 must be lodged with TROTBritain by the appellant, which may be forfeited if the appeal is dismissed.

U4. In case of an appeal any prize money affected by the appeal will be withheld

U5. Appeals must be convened within 21 calendar days from receipt of Notice of Appeal by TROTBritain. The appellant will be notified of the date and time of the Appeal Hearing by email, giving seven (7) calendar days' notice. Failure to attend in the mode specified for the meeting may result in dismissal of the appeal. It is the responsibility of the appellant to furnish TROTBritain with the details needed to issue a zoom invitation and to make any necessary arrangements for accessing a zoom meeting.

U6. Pending disposition of the appeal, all penalties imposed shall be stayed by order of TROTBritain, depending on where the appeal lies.



U7. The Appeal Panel shall, if the appeal is abandoned or not allowed, order retention of the £50 deposit and the appellant shall be responsible for the payment of further costs relating to the appeal.

U8. In the case of an appeal against rejection or revocation of licenses, the appellant must deposit with their appeal the sum of £50 with TROTBritain. The deposit amount will be refunded to the appellant in the event that no costs are assessed by the Appeal Panel. They may however be applied to costs where the Appeal Panel assesses costs against the appellant.

U9. In every case where a penalty is imposed, and such penalty has been appealed to TROTBritain, such appeal, if requested, may stay such suspension until a hearing has been held and the merits of the appeal ruled upon. The stay will begin when the person appealing files with the notice of appeal a request for a stay with TROTBritain, such notice to be filed within 48 hours after the posting of the decision or penalty from which the appeal is taken. Notice shall state the grounds of the appeal.

U10. Costs. TROTBritain may determine all such costs and apportion such costs to be payable by such persons as they see fit.

## SECTION V - SUSPENSIONS, DISQUALIFICATION AND FINES

V1. Except where TROTBritain decides, all non-medication offences by all license holders will be penalised by\_ suspensions, disqualifications and warnings off, and or fines. The standard periods of suspension appear in Appendix X.

V2. Recording and Posting Penalties - Notification of any penalty imposed under these Rules shall be delivered to the person penalised, by email and only email. TROTBritain shall publish notice of all fines, suspensions and fines on its official website.

V3. Commencement of any suspension shall normally be from the second Friday following sentencing. A TROTBritain Chief Steward shall, however, have the authority to impose an immediate suspension should they deem it necessary.

V4. Effect of Penalty on Horse - No horse shall have the right to compete while owned or controlled wholly or in part by a suspended or disqualified person. A person making an entry for a horse suspended or disqualified, shall be liable for further fine and/or suspension.

V5. Fraudulent Transfer -The fraudulent transfer of a horse by any person or persons under suspension in order to circumvent said suspension, shall constitute a violation and shall be punishable by a fine and/or further suspension

V6. Suspended Person - Any Licensed organisation wilfully allowing a suspended or disqualified person to drive or ride in a race, or a suspended or disqualified horse to start in a race, shall be together with its officers, subject to suspension.

V7. A person suspended or disqualified by TROTBritain cannot act as a trotting track official. A track shall not employ or retain in its employ a suspended or disqualified person at or on the track during the progress of trotting horseracing.

V8. A person warned off or disqualified by TROTBritain may not attend any trotting horse racing under the Rules of TROTBritain, or enter the stables or premises of any organisation licensed by TROTBritain.

V9. Reciprocity of Penalties:

(a) Where TROTBritain and the BHRC operate a fully integrated procedure for pursuing potential medication offences, as specified identically in the agreed Rules of each, the outcome will be recognised as a joint decision and implemented by both bodies without further discussion or approval. This integrated procedure will involve, and only involve, the Heads of the Integrity Panel of each organisation plus, optionally, one other Integrity panel member from each.

(b) Where this fully integrated procedure is not in existence the following rule applies: All persons and horses under suspension or disqualification by a recognised Trotting or Pacing Governing Body shall, upon the supply of adequate evidence from that body to the Head of the TROTBritain Integrity panel, be considered for similar or different action by TROTBritain. The Head of the TROTBritain Integrity panel will be the sole judge of whether the evidence supplied is adequate and what similar or different actions should be taken.

(c) In relation to non-medication offences, reciprocation will be as determined from time to time by decisions taken within the Harness Racing Board of Great Britain.

V10. Any licenced person who fails to appear before a properly-constituted TROTBritain enquiry panel, when asked to do so in relation to specified possible breach(es) of specified rule(s), will incur an automatic suspension in all capacities until such time as they appear. For the avoidance of doubt, the implication of the rule is that no other individual or group, including the TROTBritain Board has the power to simply require a person to appear before them in a 'hearing' on pain of sanction. Any enquiry other than one based on a specified possible breach of a specified rule may prejudice the legal rights of the license holder, and/or undermine future action by, or the legal defences of, TROTBritain as the Governing Body.

V11. Any person aiding, abetting or initiating the non-compliance by another person of a penalty imposed by TROTBritain shall have any licenses they may hold suspended until decided otherwise by TROTBritain.

## **PART SIX - LICENCES**

### SECTION W - OWNER, TRAINER AND DRIVER LICENCES

It is a condition of all TROTBritain licenses that a valid and currently active email address, to which the license holder has direct or easy indirect access, is supplied and that emails on it are consulted at least weekly, or within 24 hours on messaging to the license holder's registered mobile phone number. Emails from TROTBritain will constitute official notification of any required sort and delivery of an email message will be assumed in the absence of notification of non-delivery. Exemption from this requirement may be sought by applying, in writing, to TROTBritain, specifying the grounds on which exemption is sought. This may not be granted.

#### **OWNERS**

W1 [a] A horse can race only with an Owner with a TROTBritain license, so TROTBritain must be notified of the Change of Ownership by the seller to a TROTBritain licenced Owner before it can race.

[b] Any person who is a party to, whether acting as an agent or otherwise, skipping or omitting transfers of ownership in the chain of ownership of any horse shall be subject to a fine, and/or suspension, or expulsion W2. Horses not under lease must race in the name of the bona fide Owner. Horses under lease must race in the name of the lessee and a digital copy of the lease agreement must be filed with TROTBritain. Failure to lodge a copy of the lease agreement with TROTBritain within 7 days of its finalisation shall incur a fine of £100, payable by both the lessor and lessee.

W3. The minimum age for holding an Owner's license is eighteen years.

W4. In the event of an Owner being the subject of an enquiry by TROTBritain, TROTBritain will not transfer ownership of their horses pending the result of the enquiry.

W5. When an Owner is suspended, TROTBritain will not transfer ownership of their horses until the suspension is terminated.

W6. If any registered Owner shall become bankrupt or have a bankruptcy order made against them their Licence shall immediately become void.

W7. Except as in W11. below, no Owner shall make use of an assumed name for the purpose of entering or running horses, and any horse entered under an assumed name is liable, on objection, to be disqualified.

W8. In the event of the death of a registered Owner their personal representative may continue to run any horses currently registered in their name under the description "Executor of ... (deceased)" provided that notification is given to TROTBritain.

W9. Any person running a horse under an identity other than one consistent with their personal passport will be declared a disqualified person and warned off and or fined by TROTBritain.

W10. Racing, farm, corporate, syndicate or stable names, hereinafter referred to as "registered stable's", may be used by Owners or lessees provided the names are first registered with TROTBritain and STAGBI. No registration will be granted to a name that is the same as or similar to one already registered with TROTBritain or STAGBI. Only suffixes are permitted The Secretary may reject an application for a suffix considered to be confusing, unbecoming to the sport, or which exceeds 10 letters, including spaces.

W11. [a] Applications for registered stables shall include the names and addresses of each member thereof. All registered stables, partnerships or syndicates must obtain the correct TROTBritain license. All members of a registered stable, partnership or syndicate must be registered with TROTBritain in the manner prescribed for combined ownership. Documents including digital ones signed by the responsible member will be considered binding upon the members of the registered stable.

[b] Persons aged 15-17 years may be registered as members of a Syndicate of Ownership, provided that the designated responsible Owner is aged 18 years or over.

W12. TROTBritain shall be notified forthwith if additional persons become members of a registered stable or when a member thereof becomes disassociated. Consent in writing or by email must be given by any member being disassociated from a registered stable.

W13. Any liability of a registered stable and any penalty imposed upon the stable shall apply to all of its members and/or horses owned wholly or in part by the stable. If one or more of the members of a registered stable is suspended, the suspension shall also include any horses owned wholly or in part by stable.

#### DRIVERS and RIDERS

W14. [a] No person shall drive or rider a horse in any race without having first obtained a Driver or Riders license, valid for the current year, from TROTBritain. No Driver or Rider, holding a license from TROTBritain, shall participate or drive or Rider in trotting horseracing at a race-meeting which is not licenced by TROTBritain. Any person violating this rule shall be suspended and or fined.

[b] All applicants for a Drivers and Riders license will be automatically included on relevant Personal Accident Insurance policies at a premium as determined and published by TROTBritain. Policy documents available on request from TROTBritain.

W15. [a] Anyone not holding a current Driving or Riding license from a recognised jurisdiction who wishes to obtain a TROTBritain Driving or Riding Licence should apply to TROTBritain for a Provisional Licence using the website form.

[b] This Licence if granted will qualify the holder to take part in official Qualifiers and/or Workouts and also to work out horses prior to qualifying drives or rides.

[c] Provisional Drivers and Riders may only work out the horse they are recorded to drive or ride in a Qualifiers and/or Workout at that meeting. Both during Qualifier and or Workouts and while working out on race days they must wear high visual jackets (or equivalent) over the top of their driving colours.

W16. Driving and Riding Tests for persons holding a provisional TROTBritain license to drive or Ride will be conducted only at tracks approved by TROTBritain for this purpose.

W17. After successfully completing the verbal test regarding the rules and demonstrating all the necessary competencies the holder of a Provisional Drivers or Riders Licence, Driver and Riders will be eligible to take a driving or riding test. Before and after each drive or ride in a Qualifier and/or Workout the TROTBritain Chief Steward will add the verdict (pass/fail) to the official result of the Qualifier sent to TROTBritain.

W18. The Test will be conducted in two parts:

[a] Part One: A verbal test on the Rules and Regulations of TROTBritain will need to be successfully completed before being allowed to drive or rider on a track.

[b] Part Two: Will take place in Qualifier and/or Workout (minimum of 3) with at least three (3) horses taking part.

W19. If the candidate is successful in both parts a C Class license will be issued. Driver and Rider assessments taken on trotters will be made by, and only by, TROTBritain officials or persons authorised by TROTBritain to make such assessments. Under the principle of reciprocation, these assessments will be accepted by the BHRC in the issue of their pacing licenses, and TROTBritain will accept assessment drives or rides taken on pacers assessed by BHRC officials.

W20. Any infringement of the rules by a Provisional Driver or Rider may result in a fine or other action, at the discretion of the TROTBritain Chief Steward in consultation with the Trotting Chief Track Steward

W21. Saddle (Monty) Licence - Tests will be conducted on similar lines to a driving test. Holders of saddle licenses are not licensed to drive in races and holders of driving licenses are not licensed to race under saddle.

W22. Minimum age - The minimum age for driving licenses shall be 15 years in Sulky and 14 years in Saddle.

W23. A C Class Driver is a Driver who has less than 8 wins to their credit. C Class licenses will be upgraded to 'B' Class upon the Driver achieving 8 wins from at least 40 trotting drives and receiving approval from TROTBritain. 'B' Class licenses will be upgraded to 'A' Class upon the Driver achieving 25 wins from at least 80 trotting drives. and receiving approval from TROTBritain. A and B class drivers are entitled to drive in all trotting races. C class drivers who have 15 unsanctioned trotting drives are also so entitled, except in races where TROTBritain specifies otherwise. (C class drivers who have less than 15 unsanctioned trotting drives may not drive in trotting FFAs.)

W24. Applications for upgrading licenses will be considered at the discretion of TROTBritain.

W25. Lapsed licenses - If a Driver or Rider has held a license under TROTBritain or recognised jurisdiction within three [3] years of application, such license may be (re)issued. Applicants may or may not be required to drive or ride in one or more Qualifiers and/or Workouts to the satisfaction of a TROTBritain Chief Steward in order to prove they remain safe and competent to hold a license. Should an application come from a person that has let their license lapse for over three [3] years then such a person will need to make a new application. Should a Driver or Rider applying for a license have driven or ridden under the license of another recognised jurisdiction but with a lapse of three years the license shall be issued at the discretion of TROTBritain.

## TRAINERS

W26. [a] Each applicant for a Trainers license may be asked to satisfy TROTBritain that they are competent to and capable of training horses with due regard to the welfare of the horses in their care, the interest of Owners and the sport as a whole. In determining a person's competence, TROTBritain will have regard to all matters they deem relevant.

[b] No person shall train horses without first having obtained the appropriate Trainer's Licence from TROTBritain. Violations of this rule shall incur a fine and/or suspension and/or disqualification by TROTBritain and all horses listed under the name of such Trainer shall be suspended by TROTBritain. W27. [a] Trainer's licenses will only be issued to named persons and not to racing, farm, corporate, stable names or trading names.

[b] All Trainer Licences shall be specific to registered premises and the Trainer shall not be permitted to train at or from any other stables (except when attending away race-meetings). Trainers are required to submit an application to TROTBritain for any change of premises, which may involve an interview and/or incur inspection fees.

[c] Where a person is a Trainer in name only, a possible reason for this being to allow another person not licensed or suspended or warned off to train, then that Trainer shall be fined suspended and/or warned off as decided by TROTBritain

[d] Under no circumstances can premises where a suspended or warned off person resides be approved as registered premises for training

W28. Applicants for Trainer licenses are required to demonstrate or confirm that:

[a] they are over 18 years of age at the time of issue.

[b] they can demonstrate the competence to train and properly gear a horse for a race.

[c] they have access to appropriate training facilities which may be inspected and have security of tenure for any premises they wish to register.

[d] they are otherwise in all the circumstances suitable to hold a license (i.e., that they are 'fit and capable').

W29. Trainers Licences will be issued in the following categories:

Permit to Train - The holder of a Permit to Train is only permitted to train horses which are the sole property of themselves, their spouse or partner resident at the same address, parents, sons or daughters. Licence to Train - The holder of a Licence to Train permits a person training

their own horses and no more than two belonging to persons outside their immediate family [as defined above]. Public Trainer's Licence. A Public Trainer's Licence entitles the holder to train any trotter for racing under these rules. Without restriction as to number or ownership.

W30. [a] Any person wishing to apply for a Public Trainer Licence may be required to demonstrate or confirm that:

- [i] they have appropriate insurances if necessary (i.e., Public Liability Insurance)
- [ii] they have a minimum of two horses in training.
- [iii] they have a minimum of two years training experience.
- [iv] they have undergone a satisfactory inspection of facilities.
- [v] they are not currently the subject of any proceedings of a criminal nature, have not been charged in connection with any alleged criminal offence and are not aware of any circumstances which may lead to them being charged.

[b] Licence Renewal Applications in reference to a Public Trainer Licence must be made prior to 31st January of the year for which the license will be valid. Only licenses for persons never having previously been registered as a Public Trainer will be considered after this date, except in the cases of extenuating circumstances and at the discretion of TROTBritain.

W31. A Public Trainer will be required to satisfy TROTBritain that they own, lease or have security of tenure for any premises they wish to register to train from. TROTBritain must also be satisfied that the premises are suitable for the training of trotting horses and these premises will be subject to an inspection by TROTBritain.

W32. A Public Trainer Licence shall be specific to registered premises and the Trainer shall not be permitted to train at or from any other stables (except when attending away race-meetings). Trainers are required to submit an application to TROTBritain for any change of premises, which may involve an interview and/or incur inspection fees.

W33. Assistant Trainers and Handlers are required to obtain a license from TROTBritain before they are allowed into the stable area on any racecourse. Holders of such licenses must be more than 12 years of age at the time of issue.

W34. The Trainer is responsible for seeing that all harness and equipment used on horses in their charge is of good quality and maintained in sound and serviceable condition. Failure to do so will result in a fine and/or suspension.

W35. A Care Transfer form shall be completed within 7 days that a horse leaves or arrives in the custody of a trainer. Failure to comply will result in a penalty.

W36. It is the responsibility of the Trainer to ensure horses are in the paddock at the specified time and that horses go out on to the track when called upon to do so.

W37. [a] A Trainer shall be responsible at all times for the condition of all horses trained by them. No Trainer shall start a horse or permit a horse in their custody to be started in a race or attend a race meeting, if he knows, or if by the exercise of reasonable care he might have known or have cause to believe, that the horse was not in fit condition to race

[b] A Trainer shall be responsible for the horse's vaccinations being in order when the horse is in their care. W38. When a Trainer becomes aware that a horse in their custody is not physically fit to race, it is their responsibility to have the horse checked by a veterinarian and have that veterinarian certify that the horse is unfit to race.

W39. Every Trainer must guard or cause to be guarded, each horse trained by them in such a manner and for such period of time prior to racing the horse, so as to prevent any person from administering any substance resulting in a positive test for a prohibited substance.

W40. Every Trainer must also protect the horse and guard it against wrongful interference or substitution by anyone in connection with the taking of a sample.

W41. Failure by a Trainer to protect a horse and guard it against wrongful interference or substitution in connection with the taking of a sample will result, in the absence of evidence to the contrary, in the said Trainer being held responsible for the wrongful interference or substitution.

W42. It shall be the responsibility of the Trainer to see that each horse under their supervision is safely equipped for each race and, if it is determined by the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, that a horse has been raced with unsafe or faulty equipment, the Stewards may impose a fine, and/or suspension.

W43. It shall be the responsibility of the Trainer to seek the permission of the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, to alter the equipment on a horse during a race-meeting. Failure to obtain such permission could result in disqualification of the horse and a fine.

W44. It is the Trainer's responsibility to ensure that no horse in their charge is left unattended at any time whilst on a racetrack during or prior to a race-meeting until all its engagements for that day have been completed.

W45. The Trainer is responsible for ensuring that every horse wears a properly numbered saddle cloth at all

times when present on the track. Any Trainer who allows a horse that is not entered to compete on the day to workout wearing the number cloth of another horse will be liable to a fine.

W46. Any person holding a Trainer's license shall immediately notify the Secretary of TROTBritain of any infectious or contagious disease in their stables. Failure may result in closure of premises and or a fine.

W47. The Trainer is responsible to ensure that at each and every grass track meeting, all horses racing, qualifying and/or working out must wear grass nails. Any horse racing unshod must be notified at time of declaration.

W48. Where a Trainer is unable to attend to horses under their care on race days, they must ensure that their licensed Assistant Trainer is present to act as responsible person and a declaration made to TROTBritain.

W49. A Trainer who trains and races a horse knowing said horse to be owned wholly or in part by a person or persons barred or otherwise disqualified from participating in racing, shall be referred to TROTBritain for disciplinary action.



W50. Any person representing a Trainer or Owner must hold a current Trainer's Assistant license issued or recognised by TROTBritain and will be liable for any breach of the rules, disciplinary action or penalties incurred along with the Trainer or Owner who appointed them.

W51. Any person who participates in a race at a meeting held under TROTBritain rules, without the necessary and appropriate license, may not be granted a TROTBritain license of any type for a period of 12 months, from the date of the participation.

W52. Any person who collaborates in the participation in a race under TROTBritain rules, of a person not holding the appropriate TROTBritain license, may have their license immediately suspended. It is the responsibility of the person collaborating to ensure that a person participating is fully licensed for their participation.

W53. All applicants for a license will be automatically included on the relevant Public Liability Insurance policies at a premium as determined and published by TROTBritain, to be included within the annual registration fee. Policy documents available upon request from TROTBritain

W54 Any violation of any of these rules within section W shall be punishable by a suspension, and or warning of and or fine.

## **PART SEVEN -TYPES OF RACES**

### **SECTION X - TYPES OF RACE PERMITTED**

X1. Pacers and trotters are not permitted to compete in the same Race or Qualifier or Qualifier/Workout Race

X2. The TROTBritain race framer in consultation with TROTBritain has the following options when Calling for entries and framing races:

- Handicap Races
- Gate Races Preferred or Non-preferred
- Free For All Races
- Claiming Races
- Classic Races
- Group Races

Any of these types of race may be conditioned at the time of calling for entries.

X3. Claiming Races may be held under such rules and conditions as TROTBritain may from time to time prescribe. See Appendix VIII.

X4. All Classic Races will be run under the Rules and conditions laid down and published on TROTBritain website and administered by TROTBritain.

X5. Conditions for Classic Races must specify which horses are eligible to be nominated.

X6. Guarantee to Conduct Event - The Licensed organisation assigned a Classic Race will guarantee to TROTBritain that said Classic Race will be raced as advertised in said conditions, unless the race meeting is cancelled.

X7. All Classic race payments will be due to TROTBritain by a date specified by TROTBritain

## **PART EIGHT- MEDICATION AND DRUG CONTROL**

### **SECTION Y**

The objective and intention of this Code is to protect the integrity of trotting horseracing and the welfare of horses participating in it by controlling and limiting the use of substances capable of giving a horse an advantage or disadvantage and to protect the horse's welfare and health through controlling the use of substances that might have an adverse impact on its welfare. The Anti-Doping Code places the responsibility and obligation on the Responsible Person to safeguard and protect horses in their care from Prohibited Substances and requires the Responsible Person to ensure that each horse's welfare is treated as paramount in all of the Responsible Person's dealings with each horse.

By agreeing to be bound by these Rules and this Anti-Doping Code, every Responsible Person accepts that it is their personal duty and obligation to comply with the spirit of the Code and each provision of it.

By this Code TROTBritain may issue an order excluding any person from all premises approved or licenced by TROTBritain including training establishments and racecourses whether or not that person is bound by the Rules of TROTBritain including this Code in circumstances where it is in the interests of trotting horseracing to do so. Such an order may be for a fixed or indefinite period. In circumstances where such an order is made the receiver shall be entitled to request a hearing before the Disciplinary Panel of TROTBritain by way of appeal of such order. The procedure to be adopted would be that for a Hearing as set out in these rules.

#### *Duties of the Responsible Person*

To ensure that no Prohibited Substance and/or their Metabolites and/or Markers are present in a horse's system on the day on which it races and/or from the point it arrives at a racecourse whether or not the horse actually runs in a race on that day.

Subject to paragraph 1 above, to take all reasonable precautions to ensure that all horses in their care are not exposed to Prohibited Substances other than during the bona fide treatment of horses under the specific direction of a Veterinary Surgeon. TROTBritain shall have the power

to require any Responsible Person at any time to explain to TROTBritain what precautions they have put in place to comply with this requirement.

To ensure that no horse is permitted to run in any race when the Responsible Person knows, or by the exercise of reasonable care should or might have known that a horse had or may have received any substance for whatever reason that could result in a positive test for a Prohibited Substance. To fully cooperate with the Testing of the horse, including by unannounced visit to its stable, not to bring or cause to have brought onto a racecourse on a race day any Prohibited Substance or any means of administering such substance to include but not limited to needles, nasal gastric tubes, gastric tubes, ventilators and nebulisers.

To be responsible and account for the actions and omissions of any third party who the Responsible Person permits or otherwise allows to be in contact with a horse including in circumstances where the Responsible Person has delegated to the third party the supervision, care and/or control of the horse. To keep and maintain a record of each of the following in respect of every trotting racehorse Influenza vaccinations:

- All veterinary treatment
- All medication administered whether by a veterinary surgeon or otherwise
- All Prohibited Substances administered to a horse as part of legitimate veterinary care.

To place the protection of trotting racehorses horses in their care from Prohibited Substances and to ensure that each horse's health and welfare are treated as paramount considerations in all their dealings with each horse. To fully assist and engage with any investigation undertaken by TROTBritain in respect of any trotting racehorse.

To ensure that individuals authorised by TROTBritain are able to enter premises used by the Responsible Person to either train or stable trotting horses whether or not those premises are owned or controlled by the Responsible Person and to enable examination by a person or persons authorised by TROTBritain of any trotting horse in the care of the Responsible Person. TROTBritain shall have the right to authorise the search of such premises and to make inspection of any part of those premises but including vehicles, equipment, forage and/or medication.

During a stable visit, if a trotting horse registered with the Trainer is not present (without valid reason, i.e., vet, racing etc.) then a 3 day rule will be invoked with the day of the visit being classed as day 1. Evidence will need to be provided to validate any absences.

#### *Matters that constitute a breach of the Anti-Doping Code*

A Responsible Person will be in breach of the Anti-Doping Code in each of the following circumstances (the "Rules"):

Rule 1. The Responsible Person is strictly liable for any Prohibited Substances found in a Sample taken from a horse for which they are responsible. The strict liability nature of this Rule will apply in respect of all Prohibited Substances found in a Sample taken from a horse whilst at a racecourse whether or not the horse runs. In all other circumstances where a Sample is taken other than on a racecourse this Rule is intended to be applied strictly other than where the Prohibited Substance has been administered to the horse as part of legitimate veterinary care

for that horse and was administered under the specific direction of a Veterinary Surgeon. The presence of a Prohibited Substance and/or Metabolites and/or Markers in a Sample will constitute a breach of the Rules. It is the obligation of the Responsible Person to be familiar with what constitutes a Prohibited Substance. It is not necessary for TROTBritain to demonstrate intent, fault, negligence or actual knowledge to establish a breach of this Rule.

Rule 2. Administering or attempting to administer any Prohibited Substance to a horse other than as part of legitimate veterinary treatment of a horse and where it is administered under the specific direction of a veterinary surgeon.

The burden of proof under Rules 1, 2 and 5 that any prohibited substance was administered or attempted to be administered as part of legitimate veterinary treatment under the control and/or direction of a veterinary surgeon shall be on the Responsible Person.

Rule 3. Administering a Prohibited Substance to a horse with the intention to affect the racing performance (either positively or negatively) of that horse in a race and/or in its training regime.

Rule 4. Permitting a horse to run in any race and/or to bring a horse onto a racecourse whether or not it runs in a race if the Responsible Person knows, or if by the exercise of reasonable care, he might have known or have cause to believe, that a horse has or may have received for any reason or has otherwise ingested any substance that remains in its system so that it could result in a positive test for a Prohibited Substance.

Rule 5. In all other circumstances not referred to in rule 4 above failing to take reasonable precautions at all times to ensure that all horses in his or her care are not exposed to Prohibited Substances at any time other than during bona fide treatment under the specific direction of a Veterinary Surgeon always provided that the burden of proof in demonstrating that a Prohibited Substance was administered as part of a bona fide treatment by a veterinary surgeon lies with the Responsible Person. In the case of a horse being the subject to bona fide treatment by a Veterinary Surgeon the Responsible Person remains obliged to comply with all other elements of the Code including Rules 1-4 and 6-16 of this part of the Code including the obligation to ensure that the Horse is free of Prohibited Substances before entering a racecourse and/or running in a race.

Rule 6. Evading or attempting to evade a Test.

Rule 7. Refusing to submit a horse for a Test/or failing to co-operate with a Test and/or attempting to tamper or tampers with a Sample.

Rule 8. Bringing onto the racecourse on a race day or causing another person to do so any Prohibited Substance or any means of administering such substance including but not limited to needles, nasal gastric tubes, gastric tubes, ventilators and nebulisers. It is not necessary for TROTBritain to demonstrate intent, fault, negligence or actual knowledge to establish a breach of this paragraph.

Rule 9. Being found in possession on a race day of any such equipment or means or administering a Prohibited Substance or a Prohibited Substance itself is a breach of these rules. It is not necessary for TROTBritain to demonstrate intent, fault, negligence or actual knowledge to establish a breach of this paragraph.

Rule 10. The actual or attempted:

- Manipulation of blood or blood components
- Blood transfusion
- Artificial enhancement of a horse's ability to carry, uptake and/or deliver oxygen for the purpose of enhancing a horse's racing performance at any time.

Rule 11. The Responsible Person must account and be responsible for the actions and omissions of any third party who the Responsible Person permits or otherwise allows to be in contact with the horse including in circumstances where the Responsible Person has delegated to the third party the supervision, care and/or control of the horse and will be in breach of these provisions in the event that such a third party acts or behaves in a manner that would have constituted a breach of the Anti-Doping Code had the third party been a Responsible Person. It is not necessary for TROTBritain to demonstrate intent, fault, negligence or actual knowledge to establish a breach of this paragraph.

Rule 12. Encouraging, coercing, causing or otherwise assisting others to commit a breach of the Anti- Doping Code.

Rule 13. Trafficking or attempting to Traffic any Prohibited Substance.

Rule 14. Failure to act in a manner that meets and is consistent with the Objectives of the Anti-Doping Code.

Rule 15. Failure to maintain an up to date treatment book and/or to record every treatment given to a horse whether administered by a veterinary surgeon or otherwise.

Rule 16. Failing to engage or otherwise assist TROTBritain in respect of any investigation that it undertakes in relations to these rules.

Rule 17. To otherwise fail to comply fully with the duties of the Responsible Person set out in this Code.

### *Sufficiency of evidence*

The presence of a Prohibited Substance will be proved if a Prohibited Substance is found in the horse's A sample when the B sample is not analysed for whatever reason. If both A and B samples are analysed, if a Prohibited Substance is found in both the A and B samples the presence of a Prohibited Substance will be proved.

Once the presence of a Prohibited Substance is proved in accordance with paragraph 1 above, the burden of proof in explaining how the Prohibited Substance came to be in the horse's Sample rests with the Responsible Person.

The standard of proof is the civil standard as it applies to the Law of England, Wales and Scotland – balance of probabilities.

### *Testing*

TROTBritain is entitled to Test any registered trotting racehorse horse at any time and at any location without prior notice.

Horses will be selected for raceday Testing at the discretion of and on the order of the TROTBritain Chief Track Steward in consultation with the Trotting Chief Track Steward. Selection will be either random or targeted. They are not required to provide any explanation as to why or on what basis any horse is selected to be tested.

TROTBritain shall be responsible for all Testing conducted within these rules. Samples are to be obtained by an Appointed Veterinary Surgeon or an Appointed Testing Officer. Testing shall be undertaken, and samples collected in accordance with the Sample Collection Procedure in these rules.

Failure to comply with the Sample Collection Procedure which did not cause a Positive Analysis will not necessarily lead to a Positive Analysis being invalid. In circumstances where the Responsible Person establishes that a failure to comply with the Sample Collection Procedure may reasonably have caused a Positive Analysis it will be for TROTBritain to establish on the balance of probabilities that the failure to comply was not the cause of the Positive Analysis.

In the circumstances of a horse dying at a racecourse , samples must be collected for analysis. Analysis and storage of Samples.

Samples will be analysed only in laboratories approved by TROTBritain.

In the event that the Responsible Person elects to have the B sample analysed, he can nominate a different laboratory to the one which undertook the A Sample analysis always provided that the laboratory nominated is approved by TROTBritain. On request, TROTBritain will provide to a Responsible Person a list of laboratories approved by TROTBritain.

TROTBritain shall have the right to store Samples indefinitely and to conduct further and other analysis of them at any time. In the event that such further or other analysis produces a positive for a Prohibited Substance or otherwise where any other potential breach of the Code is identified, then the Anti-Doping Code will apply to the Responsible Person in relation to such analysis.

All Samples obtained under these Rules and the Anti-Doping Code from a horse are and shall remain the property of TROTBritain.

Laboratories undertaking analysis will be presumed to have conducted such analysis of the Sample and to have put in place a secure chain of custody of the Sample in accordance with laboratory standards and to have properly stored the remaining parts of either the A and/or B Samples having properly re-sealed the Sample.

In circumstances where a Responsible Person establishes that a failure to comply with laboratory standards may reasonably have caused a Positive Analysis, it will be for TROTBritain to establish on the balance of probabilities that the failure to comply was not the cause of the Positive Analysis. Any failure to comply with laboratory standards which did not cause a Positive Analysis will not lead to a Positive Analysis being invalid.

#### *Notification and analysis of B Sample*

In the event of a Positive Analysis being reported in respect of the A Sample, the Responsible Person will be notified by TROTBritain.

A request by the Responsible Person for the B Sample to be analysed must be made within 14 days of TROTBritain's notification.

Any request by the Responsible Person for the B sample to be analysed must be accompanied by the relevant analysis fee as quoted by the approved laboratory nominated to undertake the B Sample analysis.

This Anti-Doping Code applies to every horse that either runs in races regulated by TROTBritain or is being trained to run in such races. Determination of whether or not a horse meets those criteria will be a matter for TROTBritain alone. In the event that a Prohibited Substance is found in a Sample taken from a horse which is entered or has run in a race regulated by TROTBritain or is being prepared to run in such a race, but which is trained abroad, TROTBritain, in addition to applying the Anti-Doping Code, will inform the governing body of the territory where the horse is trained.

TROTBritain shall have the right at its discretion to order that a horse be re-tested and further Samples taken from the horse in any circumstances where the A Sample of that horse has on analysis resulted in a positive test for a Prohibited Substance.

TROTBritain shall have the power to require that a horse be quarantined in TROTBritain's care, custody and control for a period of no more than 21 days following a Prohibited Substance being identified on analysis of the A Sample.

#### *Results management and process*

TROTBritain shall have the power to undertake any investigation that it deems necessary in respect of any laboratory finding.

Following receipt of a sample analysis that is determined by the Head of the TROTBritain Integrity Panel to report the presence of a Prohibited Substance and following any preliminary investigation undertaken by them, TROTBritain will notify the Responsible Person in writing of a positive analysis.

Those licensed by TROTBritain are required by these rules to engage with and assist TROTBritain fully in respect of any preliminary investigation. Failure to do so would constitute a breach of these rules.

The Responsible Person shall have a period of 14 days in which to request analysis of the B sample such B sample to be analysed in accordance with the Code. The Responsible Person shall be responsible for the payment of the costs of the B Sample, other than in circumstances where the B samples returns a negative analysis for any prohibited substance, in which case the cost of the B sample shall be met by TROTBritain.

Following an analysis of the B sample in circumstances when the Responsible Person requests that the B sample be analysed, and that analysis is found to be negative for any Prohibited Substance, the findings of the A sample shall be discounted, and no further action will be taken.

In circumstances where (1) the A and B sample both return a positive analysis for a prohibited substance or (2) the Responsible Person does not request that the B sample be analysed and the A sample has previously returned a positive for a prohibited substance, the matter will fall to be considered by a Disciplinary Panel.



### *Hearing*

All hearings in respect of this code will be before the Disciplinary Panel, which shall decide all matters concerning potential breaches of the code.

The hearing process will be triggered by the Head of the TROTBritain Integrity Panel sending a Notice to the Responsible Person(s) of the allegations of breach that a Disciplinary Panel will be invited to decide, together with a case summary setting out the material aspects of TROTBritain's case and the evidence on which it seeks to rely.

Within 21 days of receiving the Notice the Responsible Person will provide their response, setting out in clear terms the nature of the Responsible Person's response to the notice, including whether or not the responsible person admits to the breaches alleged, together with a summary of the nature of any defence and the evidence in which the Responsible Person relies on including witness of fact and/or expert evidence. In respect of their preparation of the response, the Responsible Person shall be entitled to request a further 21 days in which to provide that response, such request not to be unreasonably denied by TROTBritain. Any further extension of time will require the Responsible Person to make any application to the Disciplinary Panel.

The Disciplinary Panel shall determine all procedural matters, such determination may be delegated to the Chairman by the Disciplinary Panel always provided that hearings before the Disciplinary Panels comply with the principles of natural justice.

The Disciplinary Panel's focus and aim is to achieve a just and fair outcome for all parties concerned and, in those circumstances, matters of process are of secondary consideration to the primary objective of achieving a fair outcome that is just to all parties.

As a consequence, the Disciplinary Panel is not required to follow the strict rules of evidence as they apply to the criminal and/or civil courts and may admit such evidence and accord that evidence such weight as it reasonably considers appropriate.

All parties to proceedings before the Disciplinary Panel have the right to be legally represented at their own cost. Any party that chooses to be legally represented, must as soon as reasonably practical, notify the other party and the Disciplinary Tribunal of the identity of the legal representative - together with provision of contact details. Once a party is legally represented, all other parties and the Disciplinary Panel will deal directly with the legal representative.

All matters that are put before a Disciplinary Panel shall be and shall remain confidential, subject to the following:

TROTBritain shall have the right to publish the fact that a Disciplinary Panel enquiry has been convened and to provide details of the breaches of the Code that have been alleged and to identify the Responsible Person.

TROTBritain may publish at its discretion any written decision of a Disciplinary Panel including its reasons on liability and details of any sanction imposed.

The Head of the TROTBritain Integrity Panel shall, subject to the approval of TROTBritain, have the right to pass any information obtained during a hearing or an investigation to any law

enforcement agency and/or any regulator of harness racing worldwide, in circumstances where TROTBritain in its absolute discretion considers that it is appropriate to do so.

Whilst TROTBritain shall have the right to record the tribunal hearings before the Disciplinary Panel, the deliberations of this Disciplinary Panel, shall remain private and recorded. Such deliberations will be held in the absence of all parties and a decision shall be reached by the Disciplinary Panel by way of simple majority.

Both the Responsible Person and TROTBritain shall be entitled to appeal a decision of the Disciplinary Panel in accordance with the process set out in TROTBritain Rules at section U.

### *Threshold substances*

Threshold substances as referred to in the definition of Prohibited substances in this Code are listed at paragraph 2 below.

Thresholds can only be adopted for:

Substances endogenous to the horse

Substances arising from plants traditionally grazed or harvested as equine feed

TROTBritain shall determine such thresholds from time to time but normally apply those recognised internationally

### *Threshold levels*

#### **Arsenic**

0.3 microgram total arsenic per millilitre in urine Carbon dioxide

36 millimoles available carbon dioxide per litre in plasma Cobalt

100 micrograms per litre of urine 25 parts per billion in plasma Dimethyl sulfoxide

5 micrograms dimethyl sulfoxide per millilitre in urine or 1 microgram dimethyl sulfoxide per millilitre in plasma

#### **Hydrocortisone**

1 microgram hydrocortisone per millilitre in urine

#### **Nandrolone**

Free and conjugated 5 $\alpha$  - estrane 3 $\beta$ , 17 $\alpha$  - diol to free and conjugated 5 [10] - estrane - 3 $\beta$ , 17 $\alpha$  - diol in urine at a ratio of 1 Salicylic acid

750 micrograms salicylic acid per millilitre in urine or 5.5 micrograms salicylic acid per millilitre in plasma

#### **Testosterone**

0.02 microgram free and conjugated epitestosterone in urine from fillies and mares at a ratio of 1B Theobromine

2 micrograms theobromine per millilitre in urine

In all cases when the substances listed above are found on analysis to be in a sample at a level in excess of the threshold set out above, AND ONLY IN THAT CASE, that substance will be deemed to be a Prohibited Substance.

### *TCO2 Sampling*

Samples taken may be analysed by TROTBritain or a qualified Veterinary Surgeon using a blood gas analyser or may be forwarded to any accredited laboratory for analysis.

In the event that a blood gas analyser records a TCO<sub>2</sub> level above the permitted threshold of 36 millimoles available carbon dioxide per litre in plasma, a minimum of three further blood samples will be required from the horse at 30 minute intervals post-race. The horse will therefore be retained in the custody of TROTBritain for a minimum period of two hours after the last race it competes in.

Any removal of the horse or attempt to remove the horse from the custody of the nominated official will be considered a breach of this Code.

In the event that a blood gas analyser records TCO<sub>2</sub> level above the permitted threshold, all samples retrieved post-race will be forwarded to an accredited laboratory for analysis. If the laboratory records a TCO<sub>2</sub> level above the permitted threshold the costs of that analysis will be borne by the Owner/Trainer.

For any finding of a prohibited substance of endogenous nature, the Governing Body may decide either itself or at the Owner's or Trainer's request to examine the horse further.

### *Prohibited Substances*

As recorded in the Uniform Classification Guidelines for Foreign Substances published by the Association of Racing Commissioners International from time to time and/or substances published by TROTBritain on its website or in this Code as threshold substances when found in a Sample to be in excess of the threshold levels or values set out in this Code and/or any other substances published by TROTBritain on its website or in this Code as being a substance prohibited by the Code.

Furosemide (Lasix) is a Prohibited Substance and its presence at any level of concentration in a Sample will be a breach of this provision.

(a) Regumate is not permitted for use from 1st January 2019. Any laboratory analysis detecting the presence of Regumate after this date will be classed as a positive test. (Addition 201 I/Amended 2018) (b) Omeprazole and Ranitidine are permitted as gastric ulcer medication

provided that TROTBritain are notified in writing by a Veterinary Surgeon of the prescription, the treatment is recorded in the horse's passport and treatment is withdrawn three (3) clear days prior to competition. Such horses will be recorded on the race card with '(OR)' as a suffix. (Addition 2016)

### *Penalties and guidance on penalties*

This section sets out the framework on penalties which Disciplinary Panels are required to work to. Whilst this framework is not intended to override the discretion of the Disciplinary Panel, it is intended that the framework is seen as more than mere guidance but as the framework which Disciplinary Panels are expected to operate and that it will only be departed from in exceptional circumstances. In those cases where the Disciplinary Panel does depart from this framework - whether that departure is because an individual case justifies a greater or lesser penalty - then Disciplinary Panels should set out in clear written terms their reasons for departing from the framework.

### *Guiding principles*

Any non-suspension penalty will normally only be appropriate in circumstances where the Responsible Person has demonstrated he was entirely not at fault in respect of the matters in which he has been found in breach. In circumstances where a Responsible Person is able to demonstrate that he is not at fault (normally by identifying to the satisfaction of the Disciplinary Panel (on the balance of probabilities) the person or persons who were responsible), a Disciplinary Panel is entitled to consider no fault as mitigation and in exceptional cases sufficient mitigation might exist to permit the imposition of a non-suspension penalty. A Responsible Person may only be found to be not at fault in circumstances where he has established to the satisfaction of the Disciplinary Panel that they did not know or suspect and could not reasonably have known or suspected having demonstrated that they acted with the utmost caution - that the events or matters being considered had occurred.

Paragraph 1 above is to be considered in the light of this and subsequent paragraphs in this section. The Responsible Person is responsible for all veterinary treatment administered to horses in their care including by any third party. The Responsible Person cannot rely, by way of mitigation, on the fact that treatment has been recommended and/or advised by a treating veterinary surgeon or that the treating veterinary surgeon had advised on medication withdrawal times. Such advice must be considered by a Responsible Person as being for guidance only. A Responsible Person is required and is under a duty to personally manage and make certain that any medication being administered is permitted under this Anti-Doping Code and that sufficient time has elapsed to ensure certainty that any such medication has passed through the horse's system before a horse runs a race. It is the responsibility of the Responsible Person to, for example, have a horse tested prior to running a horse to eliminate any doubt or uncertainty. The fact that a particular medicine or treatment has been prescribed or administered by a veterinary surgeon and/or that a veterinary surgeon has given advice on withdrawal periods does not excuse the Responsible Person from investigating to the fullest extent that the medication does not contain Prohibited Substances and/or that no such Prohibited Substances remain in the horse's system at the time that it runs in a race and/or arrives at a racecourse whether or not it runs in a race.

Cases where the existence of a Prohibited Substance in a horse's system risked compromising or actually compromised that horse's welfare should be considered by disciplinary panels as being substantially aggravating in nature and penalties imposed should reflect that.

In these guidelines where a penalty range is provided penalty should be imposed within that range subject to paragraph 1 above to reflect any mitigatory or aggravating features. Where the range include an entry point penalty that should be the start point for such deliberations.

Where there is no penalty range provided but a single-entry point penalty then that penalty is a fixed penalty and must be imposed.

In circumstances where the matter being considered is a second offence (by which it is meant a second offence of any part of the Anti-Doping Code not just the specific breach being considered) the Disciplinary Panel must impose a suspension by way of penalty. Whilst paragraph 1 may be considered when considering the length of any penalty it will not operate to reduce the penalty to a fine. Disciplinary panels may within the confines of this guidance fine a Responsible Person, suspend their license or licenses and/or impose a penalty that is a combination of both fine and suspension. Disciplinary panels may give credit for a timely admission of breach of the Rules in circumstances where the admission is made at the earliest opportunity - such credit should be reflected by no more than a 25% discount in the penalty that would ultimately have been imposed.

### *Penalties*

In circumstances where more than one period of suspension is imposed unless otherwise directed in this Code a disciplinary panel may order such periods of suspension to be served either concurrently or consecutively. The disciplinary panel may decide the date on which any period of suspension imposed should begin taking into account for example whether the sport of harness racing is in the off season at the time of any hearing - in which case, a panel may consider it appropriate that a suspension is served during the season.

### *Costs*

In respect of all breaches and penalties listed above TROTBritain shall be entitled to payment of all its costs incurred in the investigation, hearing and any testing undertaken in connection with either stage.



RESPONSIBLE PERSON [including Trainers and Owners]				
PENALTY CATEGORY RULE 1 BREACH - ENTRY POINT, FIRST OFFENCE				
CLASS OF PROHIBITED SUBSTANCE		<b>A</b>	<b>B</b>	<b>C</b>
	<b>1</b>	<ul style="list-style-type: none"> <li>• 3 year suspension of all licenses and fine of £3,000 or 20% of prize money, whichever is the greater and;</li> <li>• Payment of all TROTBritain's costs associated with the testing, investigation, and hearing.</li> </ul>	<ul style="list-style-type: none"> <li>• 1 year suspension of all licenses and fine of £1,500 or 20% of prize money; whichever is the greater and;</li> <li>• Payment of all TROTBritain's costs associated with the testing, investigation, and hearing.</li> </ul>	<ul style="list-style-type: none"> <li>• 6 month suspension of Trainer's license and;</li> <li>• Fine of £500 and;</li> <li>• Payment of all TROTBritain's costs associated with the testing, investigation, and hearing.</li> </ul>
	<b>Range</b>	<ul style="list-style-type: none"> <li>• 2 - 5 year suspension and</li> <li>• £2,000 - £5,000 fine</li> </ul>	<ul style="list-style-type: none"> <li>• 7 month - 2 year suspension and</li> <li>• £1,000 - £2,000 fine</li> </ul>	<ul style="list-style-type: none"> <li>• 3 - 9 month suspension and</li> <li>• £250 - £750 fine</li> </ul>
	<b>2</b>	<ul style="list-style-type: none"> <li>• 3 year suspension of all licenses and fine of £3,000 or 20% of prize money, whichever is the greater and;</li> <li>• Payment of all TROTBritain's costs associated with the testing, investigation, and hearing.</li> </ul>	<ul style="list-style-type: none"> <li>• 1 year suspension of all licenses and fine of £1,500 or 20% of prize money; whichever is the greater and;</li> <li>• Payment of all TROTBritain's costs associated with the testing, investigation, and hearing.</li> </ul>	<ul style="list-style-type: none"> <li>• 6 month suspension of Trainer's license and;</li> <li>• Fine of £500 and;</li> <li>• Payment of all TROTBritain's costs associated with the testing, investigation, and hearing.</li> </ul>
	<b>Range</b>	<ul style="list-style-type: none"> <li>• 18 month - 4 year suspension and</li> <li>• £2,000 - £5,000 fine</li> </ul>	<ul style="list-style-type: none"> <li>• 6 - 18 month suspension and</li> <li>• £1,000 - £2,000 fine</li> </ul>	<ul style="list-style-type: none"> <li>• 2 - 7 month suspension and</li> <li>• £250 - £750 fine</li> </ul>
	<b>3</b>	<ul style="list-style-type: none"> <li>• 2 year suspension of all licenses and fine of £2,000 and;</li> <li>• Payment of all TROTBritain's costs associated with the testing, investigation, and hearing.</li> </ul>	<ul style="list-style-type: none"> <li>• 9 month suspension of all licenses and fine of £1,000 and;</li> <li>• Payment of all TROTBritain's costs associated with the testing, investigation, and hearing.</li> </ul>	<ul style="list-style-type: none"> <li>• 3 month suspension of Trainer's license and;</li> <li>• Fine of £500 and;</li> <li>• Payment of all TROTBritain's costs associated with the testing, investigation, and hearing.</li> </ul>
	<b>Range</b>	<ul style="list-style-type: none"> <li>• 1 - 3 year suspension and</li> <li>• £1,000 - £3,000 fine</li> </ul>	<ul style="list-style-type: none"> <li>• 3 - 12 month suspension and</li> <li>• £500 - £1,500 fine</li> </ul>	<ul style="list-style-type: none"> <li>• 0 - 3 month suspension and</li> <li>• £500 - £1000 fine</li> </ul>
	<b>4</b>	<ul style="list-style-type: none"> <li>• 20 month suspension of all licenses and fine of £2,000 and;</li> <li>• Payment of all TROTBritain's costs associated with the testing, investigation, and hearing.</li> </ul>	<ul style="list-style-type: none"> <li>• 7 month suspension of all licenses and fine of £1,000 and;</li> <li>• Payment of all TROTBritain's costs associated with the testing, investigation, and hearing.</li> </ul>	<ul style="list-style-type: none"> <li>• 2 month suspension of Trainer's license and;</li> <li>• Fine of £500 and;</li> <li>• Payment of all TROTBritain's costs associated with the testing, investigation, and hearing.</li> </ul>
	<b>Range</b>	<ul style="list-style-type: none"> <li>• 9 - 24 month suspension and</li> <li>• £1,000 - £3,000 fine</li> </ul>	<ul style="list-style-type: none"> <li>• 2 - 12 month suspension and</li> <li>• £500 - £1,500 fine</li> </ul>	<ul style="list-style-type: none"> <li>• 0 - 3 month suspension and</li> <li>• £250 - £750 fine</li> </ul>

FURTHER MANDATORY PENALTIES IN THE EVENT OF A BREACH OF RULES 1, 2, 3, 4, 5, 6, 7, 10, 11				
PENALTY CATEGORY - FIRST OFFENCE				
CLASS OF PROHIBITED SUBSTANCE		A	B	C
	1	<ul style="list-style-type: none"> <li>• Disqualification of the horse from race if horse was subject to pre or post-race testing.</li> <li>• Loss of any prize money from race if horse was subject to pre or post-race testing.</li> <li>• Horse to be suspended for one year and be subject to integrity testing by TROTBritain (such testing at TROTBritain's discretion in terms of scope).</li> <li>• Costs of integrity testing to be met by the Responsible Person.</li> </ul>	<ul style="list-style-type: none"> <li>• Disqualification of the horse from race if horse was subject to pre or post-race testing.</li> <li>• Loss of any prize money from race if horse was subject to pre or post-race testing.</li> <li>• Horse to be suspended for six months and be subject to integrity testing by TROTBritain (such testing at TROTBritain's discretion in terms of scope).</li> <li>• Costs of integrity testing to be met by the Responsible Person.</li> </ul>	<ul style="list-style-type: none"> <li>• Disqualification of the horse from race if horse was subject to pre or post-race testing.</li> <li>• Loss of any prize money from race if horse was subject to pre or post-race testing.</li> <li>• Horse to be subject to integrity testing by TROTBritain (such testing at TROTBritain's discretion in terms of scope).</li> <li>• Costs of integrity testing to be met by the Responsible Person.</li> </ul>
	2	In all cases and in all categories A - C any handicap penalties incurred on the day of sampling (from any race if a positive sample is returned from either pre or post-race testing) shall be retained on the handicap mark allotted to the horse.		



Below is the recommended entry-level penalty in respect of other breaches of the anti-doping code			
RULE	BREACH	RECOMMENDED ENTRY-LEVEL PENALTY	RANGE
2	Attempting to administer a Prohibited Substance to a horse	• 3 month suspension of Trainer's license	• 2 - 6 month suspension
3	Administering a Prohibited Substance to a horse with the intention of affecting its racing performance, either positively or negatively	• 5 year suspension of all licenses and • £3,000 fine	• 4 - 10 year suspension • £3,000 - £10,000 fine
4	Permitting a horse running a race, exercise of reasonable care, believe or cause to believe that the horse could test positive for a prohibited substance	• 6 month suspension of Trainer's license	• 3 - 24 month suspension of Trainer's license
5	Failure to take reasonable precautions to ensure horses are not exposed to Prohibited Substances	• 6 month suspension of Trainer's license	• 3 - 12 month suspension of Trainer's license
6	Evading or attempting to evade a test	• 6 month suspension of all licenses	• 6 - 12 month suspension of all licenses
7	Refusing to submit a horse for testing and/or failing to cooperate with the test/attempting to tamper with the sample. In respect of both Rule 6 and Rule 7 the following principles shall apply: • A request to a Responsible Person to make a horse available for sampling made of the same or differing horses but on separate days (including sequential days) shall be treated as separate breaches of either Rule 6 or Rule 7. • The penalty for a second offence is to be at least twice that imposed for a first offence and should be reflected by a suspension at the top end of the penalty range - 12 months.	• 6 month suspension of all licenses	• 6 - 12 month suspension of all licenses
8	Bringing onto the racecourse any Prohibited Substances or means to administer	• £1,000 fine	• £300 - £2,000 fine
9	Found in possession on a race day of any equipment or means of administering a Prohibited Substance	• £1,000 fine	• £300 - £2,000 fine
10	Blood doping, blood manipulation, or blood transfusions	• 3 year suspension of all licenses	• 3 - 10 year suspension of all licenses

RULE	BREACH	RECOMMENDED ENTRY-LEVEL PENALTY	RANGE
11	Responsible for action of third parties	<ul style="list-style-type: none"> <li>Where actions can be attributed to an identified third party to the satisfaction of a Panel, penalty to be discounted by 1/3 from what it would've been if the breach had been committed by the Responsible Person. Third party to be excluded from the sport of harness racing for a period set at the discretion of the Panel.</li> <li>Otherwise, penalty the same as if the breach had been committed by the Responsible Person.</li> <li>In terms of the third party - exclusion order for a period referable to the breach if committed by a Responsible Person.</li> </ul>	
12	Encouraging, coercing, or causing others to assist to commit a breach	<ul style="list-style-type: none"> <li>Penalty to be applied as if that person had committed the act themselves - act of encouragement to be considered an aggravating feature.</li> </ul>	
13	Trafficking or attempting to traffic any Prohibited Substance	<ul style="list-style-type: none"> <li>6 month suspension of all licenses and</li> <li>£1,500 fine</li> </ul>	<ul style="list-style-type: none"> <li>6 month - 3 year suspension of all licenses and</li> <li>£1,500 - £3,000 fine</li> </ul>
14	Acting in a manner that does not meet the objectives of the anti-doping code or fails to fulfil the duties of a Responsible Person	<ul style="list-style-type: none"> <li>£1,000 fine</li> </ul>	<ul style="list-style-type: none"> <li>£1,000 - £3,000 fine</li> </ul>
15	Failing to maintain a treatment medical record book	<ul style="list-style-type: none"> <li>£1,000 fine</li> </ul>	<ul style="list-style-type: none"> <li>£1,000 fine</li> </ul>
16	Failing to engage or otherwise assist TROTBritain in respect of any investigation	<ul style="list-style-type: none"> <li>6 month suspension of all licenses</li> </ul>	<ul style="list-style-type: none"> <li>6 month - 3 year suspension of all licenses</li> </ul>
	TC02	FIRST OFFENCE: <ul style="list-style-type: none"> <li>2 year suspension of all licenses and</li> <li>£2,000 fine</li> </ul>	SECOND OFFENCE: <ul style="list-style-type: none"> <li>4 year suspension of all licenses and</li> <li>£4,000 fine</li> </ul>
	Cobalt	FIRST OFFENCE: <ul style="list-style-type: none"> <li>36 month suspension of all licenses and</li> <li>£2,500 fine</li> </ul>	SECOND OFFENCE: <ul style="list-style-type: none"> <li>5 year suspension of all licenses and</li> <li>£5,000 fine</li> </ul>
	Furosemide (Lasix)	FIRST OFFENCE: <ul style="list-style-type: none"> <li>9 month suspension of all licenses and</li> <li>£1,000 fine and</li> <li>Payment of all TROTBritain's costs associated with the testing, investigation, and hearing</li> </ul>	SECOND OFFENCE: <ul style="list-style-type: none"> <li>18 month suspension of all licenses and</li> <li>£2,000 fine and</li> <li>Payment of all TROTBritain's costs associated with the testing, investigation, and hearing</li> </ul>

## **SECOND OFFENCES**

Entry Point penalty to be double that at first instance.

### *Example 1*

1st offence - Rule 1 category 1A - Suspension 3 years 2nd offence - Rule 1 category 3B - Suspension 9 months Entry point for 2nd offence 18 months

### *Example 2*

1st offence - Rule 1 category 2B - Suspension 1 year 2nd offence - Rule 1 category 1A - Suspension 3 years Entry point for 2nd offence - 6 years

### *Example 3*

1st offence - Rule 6 - evading a test - Suspension 6 months 2nd offence - Rule 10 - blood doping - Suspension 3 years Entry point for Rule 10 offence - 6 years

### *Example 4*

1st offence - Rule 6 - evading a test - Suspension 6 months 2nd offence - Rule 9 - found in possession - £1000 fine Entry point for Rule 9 offence - £2000 fine

For third offence in all cases, should be a suspension of all licenses for either a minimum of 2 years or double 1st offence-whichever is the greater.

Any previous breach of this Code or other anti-doping provisions in TROTBritain Rules that occurred more than five years prior to the date of the offence being considered by the Disciplinary Panel shall not be taken into account and shall be treated as spent.

## *Animal Welfare*

TROTBritain reserves the right to report any and all animal welfare concerns and panel findings to appropriate enforcement bodies.

## *Definitions*

Administer(ing)            Participating in any way in the use of Prohibited Substances in connection with a horse

Anti-Doping Code        This code

Appointed Testing Officer    As appointed from time to time by TROTBritain to obtain Samples from horses

Appointed Veterinary Surgeon As appointed from time to time by TROTBritain

**Chairman** The chairman of a disciplinary panel as appointed by TROTBritain

**Disciplinary Panel** The panel of three people appointed by TROTBritain to hear and decide disciplinary hearings

**Notice** The notification of a Positive Analysis

**Marker(s)** A compound, group of compounds or biological parameter(s) that indicates a Prohibited Substance

**Metabolites** Any substance produced by a biotransformation process

**Positive Analysis** A certificate of analysis from a laboratory approved by TROTBritain which reports, in the case of a Prohibited Substance for which a threshold or cut off level is specified where the concentration of the Prohibited Substance is at or above the threshold or cut off level otherwise where a Prohibited Substance has been identified on analysis of the Sample

**Prohibited Substance** As recorded in the Uniform Classification Guidelines for Foreign Substances published by the Association of Racing Commissioners International from time to time and/or substances published by TROTBritain on its website or in this Code as threshold substances when found in a Sample to be in excess of the threshold levels or values set out in this Code and/or any other substances published by TROTBritain on its website or in this Code as being a substance prohibited by the Code

**Responsible Person** The current or most recent Trainer of the horse unless the Trainer can demonstrate that the horse and responsibility for the horse has been transferred to the Owner. Burden of proving that responsibility for the horse has been transferred to the Owner will be that of the Trainer.

**Rules** The rules of TROTBritain incorporating this Anti- Doping Code

**Sample** Any biological material taken from a horse including but not limited to body fluid, tissue, excreta, hair or skin scrapings

**Sample Collection Procedure** The procedure published on TROTBritain 's website

## APPENDIX I

### FEES

#### Licence Fees

All licenses are valid between the 1st January and the 31st December and are renewable annually. The fee for each of the following licenses is £50 (or £70 after 1 April):

Owner

Trainer Permit

Licence to Train

Public Trainer

Provisional Driver

Driver

C Class Driver

B Class Driver

A Class Driver

Saddle

Assistant Trainer

Handler (previously Groom)

#### *Le Trot Season Racing fee*

For 2025 a horse must pay £500 by time of first entry. This will entitle it to 5 runs. Extra runs may be obtained by top-ups of 3 runs for £300. Unused runs will not be carried over to the next season.

#### *Race Entry fee*

As specified on Start Sheet. This fee will not be collected at time of entry, but deducted from prizemoney earned in the race, which will be sufficient to cover the fee for all runners.

Note: Irrespective of the reason for its Non-running a horse that has appeared on the Start Sheet will both lose a run and incur a debit of £50

#### *Associate fee*

£15. Benefits and Requirements of being an Associate (Appendix XIII)

## **APPENDIX II**

### VACCINATIONS REGULATIONS

1st Primary Vaccination must be given

2nd Primary Vaccination between 21 and 60 days after 1st primary vaccination

3rd Primary Vaccination between 120 and 180 days after 2nd primary vaccination

Booster vaccinations are required at intervals of not more than 6 months apart

The first two vaccinations must be given BEFORE a horse can be taken to a racetrack. None of the vaccinations must have been given on the day of a race in which the horse is declared to run or on any of the six days before the race.

## **APPENDIX III**

### PASSPORTS

DEFRA regulations state that every horse must have a passport:

- by 31st December of the year of its birth: or
- by six months after its birth, whichever is the longer; or
- if, before then, it leaves the premises on which its dam is normally kept for a continuous period of two weeks or more.

Foals born in Great Britain in 2023 must obtain a STAGBI Passport as well as be registered with TROTBritain

Trotting racehorses permanently imported into Great Britain in 2023 must have their Passport endorsed by STAGBI and British ownership registered on it. They must also be immediately registered with TROTBritain.

## **APPENDIX IV**

[Junior (3 and 4yo) Series and PRAKAS Rules]



## **APPENDIX V**

### INTEGRITY TESTING

The TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, may order an integrity test on any horse competing. Once selected, the horse(s) will be escorted by a TROTBritain Integrity Testing Officer or a TROTBritain Steward to the appointed place for testing. The horse may be washed down provided that the escorting official is present at all times. The horse's passport must be produced for identification purposes.

The horse must be scanned for a microchip and identified as the horse named in the passport (and Race Card where appropriate) to the satisfaction of the TROTBritain official and Veterinary Officer present. The horse(s) will be held at the appointed place for testing until the sample(s) requested (urine, blood, hair, saliva or other such sample) has/have been obtained.-

Prior to commencement of the testing procedure and before breaking the seal on the testing kit the appointed veterinary officer should be instructed by the TROTBritain Integrity Testing Officer or Steward, in the presence of the horse's handler/person responsible to carry out an examination of the horse, paying particular attention to both sides of the neck.

If any abnormality is detected during the examination, then it should be brought to the attention of the handler/person responsible, and any explanation offered should be noted. Photographic evidence of the abnormal area of the horse and the medication page from the passport should be obtained by the TROTBritain Integrity Testing Officer or Steward and the Handler/person responsible for the horse should be informed that the matter will be referred to TROTBritain.

The appointed Veterinary Officer shall obtain the sample(s) as per the instructions given by TROTBritain. Blood samples may only be obtained by the Veterinary Officer.

Upon completion of the taking of the sample, the Veterinary Officer in collaboration with the TROTBritain Integrity Testing Officer where present shall complete and endorse all paperwork, including the sealing of the sample package. Where the Veterinary Officer has been contracted by TROTBritain to undertake these tasks in lieu of a TROTBritain Integrity Testing Officer they shall do so to the satisfaction of the TROTBritain Steward.

The horse's Handler/person responsible shall complete and endorse all paperwork supplied and sealing of the sample package. Such endorsement shall be taken as acknowledgement that they are satisfied with the procedure carried out.

The sample will remain in the custody of the TROTBritain Integrity Officer or Veterinary Officer where contracted, who will be responsible for ensuring that the sample is safely packaged for transfer, and transferred, to the laboratory as soon as is practical.

The TROTBritain section of the Integrity Testing Form to be forwarded to the Head of the TROTBritain Integrity Panel by the TROTBritain Integrity Officer or Veterinary Officer as soon as is practical.

## **APPENDIX VI**

[INTEGRITY TESTING FORM]

## **APPENDIX VII**

### QUALIFICATION

To qualify the horse must trot a distance of at least a mile in:

2yo: 2.40

3yo: 2.25

4yo: 2.20

5yo+ 2.15

5 seconds to be added for grass tracks . An allowance can be made for inferior track conditions as determined by the TROTBritain Chief Steward in consultation with the Trotting Chief Track Steward.

A horse which gallops during the trial will not qualify. It may, on up to two occasions, trot imperfectly for up to five strides without being disqualified

#### *Requalification*

A horse may be required to re-qualify if it is reported by a TROTBritain Chief Steward on 3 consecutive occasions for being unruly in the start (including score-up), or for repeated breaking or sustained irregular trotting during a race.

## **APPENDIX VIII**

[CLAIMING RACES]

## **APPENDIX IX**

### ENQUIRY PROCEDURES

Only the TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward, may call an enquiry.

If the matter is one that has been brought to their attention they must ensure that they have cause to investigate the matter and, before initiating the enquiry, be able to specify what specific person or persons is/are to be charged with possible breach/es of what specified offence/s.

If the matter to be dealt with is by way of an objection from an Owner, Trainer or Driver it must be put in writing by the complainant along with the appropriate fee.

On convening an Enquiry the TROTBritain Chief Steward shall act as chairperson with the Trotting Chief Track Steward as Vice-Chair. In consultation they will appoint one further Trotting Track Steward to form the three person enquiry panel. Other Trotting Track Stewards may attend but only as witnesses and when it is determined that they possess relevant information.

The TROTBritain Chief Steward shall be responsible for informing all parties as to their rights during the enquiry and to advise both the panel and persons appearing before the panel. A person shall be responsible for keeping a record of all matters. This may be done by the making of contemporaneous digital notes or, if available, the enquiry shall be recorded on a sound recording device (the notes shall be sent to TROTBritain within 48 hrs)

Any license-holders suspected of a breach of TROTBritain rules must display their TROTBritain license to the TROTBritain Chief Steward at the outset of the enquiry.

From the outset of the enquiry all parties shall be present at all times during which any complaints or alleged breaches of the rules shall be made common to all persons involved. The reason for this is so that no allegations shall be made against a person that is not present to hear such allegations, they must be present in order that they may defend themselves with regard to any such allegations. Any charged individual shall be entitled to have present a person to act as an independent witness to any statements made.

Any persons aged under 18 must be accompanied by a responsible adult who holds a TROTBritain license.

Any persons suspected of a breach of TROTBritain rules must be informed of the rule applicable and the nature of the offence for which they may be questioned.

Having heard from all parties the room shall be cleared of all persons excepting the 3 person panel. The panel shall consider the statements and any evidence submitted and make a decision as to whether they be guilty of a breach of TROTBritain rules or not [this must be a clear decision either guilty or not guilty]. The decision made can be that of all of the panel or if they cannot agree, then the decision of the majority shall be the decision made. The panel will then consider what penalties shall be imposed in accordance with the penalties laid down in the TROTBritain rules (Appendix X) On reaching a verdict and penalty the persons concerned shall be called back to hear the decision and penalty if guilty.

The chairperson should then inform any guilty party of their rights to appeal against verdict and or penalty and how to proceed should they wish to do so.

A report on the TROTBritain enquiry fom1 should be forwarded to TROTBritain by 10am on the morning following racing.

## APPENDIX X

### PENALTIES

Standard penalties for most non-medication offences will be exclusively by suspension determined by the number of offences as shown in Chart. However, where the offence is held to so warrant, suspension of any length and/or disqualification beyond the standard may be imposed.

Suspensions will carry over to the following season where necessary to be fully served.

The TROTBritain Chief Steward, in consultation with the Trotting Chief Track Steward may decide to formally note what they determine to be a minor breach of the Rules which is not intentional, without calling an enquiry and potentially logging it as an Offence, followed by a possible Warning or Suspension and/or fine in accordance with the chart. notes will be recorded and may be taken into account in future decisions. Discretion exists in relation to First and Second Offences depending on the severity of the breach as determined by the Enquiry panel.

TROTBritain Standard Penalties. No fines, only suspensions.	First Offence					
	Warning 1	or	1 Week			
	Second Offence					
	Warning 2	or	1 Week	2 <sup>nd</sup> 1 Week	or	2 Week
	Third Offence					
	1 Week	2 Week	2 Week	4 Week		
	Fourth Offence					
	2 Week	4 Week	4 Week	8 Week		
	Fifth Offence					
	4 Week	8 Week	8 Week	16 Week		

OR indicates discretion exists.

‘Noting’ may precede logging as Offence

Suspension Weeks begin on second Friday after sentencing

## APPENDIX XI (a)

### HORSE ANIMAL WELFARE STATEMENT

It is the responsibility of all TROTBritain license holders to uphold the welfare of horses they own or use or have in their care, and to ensure they are not subjected to abuse, neglect, or mistreatment. TROTBritain is committed to:

- Upholding the welfare of horses, as a primary consideration in all activities.
- Requiring that horses be treated with kindness, respect, and the compassion they deserve, and that they never be subjected to mistreatment.
- Ensuring that owners, trainers, drivers and their agents use responsible care in the handling, treatment, and transportation of their horses, as well as horses placed in their care for any purpose.
- Providing for the continuous well-being of horses by encouraging routine inspection and consultation with healthcare professionals and competition/industry officials to achieve the highest possible standards of nutrition, health, comfort, sanitation, and safety as a matter of standard operating procedure.
- Continuing to support scientific studies on equine health and welfare.
- Increasing education in training, horsemanship, and breeding practices – *including after racing*.
- Requiring owners, trainers, drivers, and handlers to know and follow their organisation's rules and regulations in all equine activities and businesses.
- Reviewing, revising, and developing rules and regulations that protect the welfare of horses. The standard by which conduct or treatment will be measured is that which a reasonable person, informed and experienced in generally accepted equine practices, would determine to be cruel, abusive, or inhumane.

TROTBritain is dedicated to the humane treatment and welfare of horses. The cruel, abusive, or inhumane treatment of a horse by any owner, trainer, driver, or handler (or other person) must not be tolerated anywhere, under any circumstances.

Cruelty can be defined as intentionally causing pain or unnecessary discomfort to a horse. The standard by which such conduct or treatment will be measured is that which a reasonable person, informed and experienced in generally accepted equine practices, would determine to be cruel, excessive, or inhumane.

Cruelty to a racehorse in competition must not be tolerated. Racetracks/Promoters may consider further action such as prohibiting violators from further participation in racing. It is recommended that every racetrack publish a statement regarding its position on the abuse of horses and its commitment to the humane treatment and welfare of horses, with the penalties to be imposed for confirmed abuse of horses at the racetrack.



## APPENDIX XI (b)

### CARE OF THE HORSE

The ownership of all trotting racehorses in GB must be registered with TROTBritain from (live) birth or date of import by a person holding a TROTBritain Owners license. This is done by completing the **REGISTER HORSE** form. This requirement is completely separate from its registration with STAGBI under DEFRA rules.

TROTBritain defines a trotting racehorse as one eligible for its studbook or any studbook it recognises.

The care of the trotting racehorse is ultimately and always the responsibility of the Owner. That responsibility may be delegated by the notified transfer to another Responsible Person holding a TROTBritain license (often a Trainer). Such transfer must be notified to TROTBritain within 24 hours using the **CARE TRANSFER** form. Subject to the Owner's permission, that Responsible Person may transfer the responsibility to a Responsible Person holding a TROTBritain license (often back into the care of the Owner as Responsible Person). Such transfer must be notified to TROTBritain within 24 hours using the same **CARE TRANSFER** form.

For any horse in their care, the Responsible Person must maintain a medication record. In 2025 this may be in the form of a Medication Record book as supplied by or obtainable from the BHRC. In this case, the Responsible Person must comply with a request to send a digital image/photo of specified pages to TROTBritain within 36 hours. Alternatively, they may meet this requirement by completing a **RECORD MEDICATION** form for each trotter in their care whenever treatment is initiated/concluded. For the avoidance of doubt, if for any period(s) (e.g. over winter or during a spell) the Owner acts as the Responsible Person for their horse, the Owner must also maintain a medication record.

If the horse is moved physically from the location of the current Responsible Person to a third party not holding a TROTBritain license, this does **not** transfer care responsibility. The current Responsible Person remains responsible, under their TROTBritain licensing, for ensuring that the horse is being properly cared for by that third party, and that the medication record they hold (as Responsible Person) is updated.

Change of ownership must be notified to TROTBritain within 24 hours using the **OWNER CHANGE** form. While there is also a legal duty to change ownership at STAGBI to meet DEFRA requirements, this has no connection with the TROTBritain rule, and failure to meet the TROTBritain requirement may lead to suspension. When the horse actually moves a **CARE TRANSFER** form must be completed by the seller.

If a horse is sold to a person not holding a TROTBritain Owner's license, the horse must be deregistered with TROTBritain using the **DEREGISTER HORSE** form. For the avoidance of doubt, this means that to remain registered as a trotting racehorse, the ownership of the horse cannot be transferred by TROTBritain to someone not holding a TROTBritain Owner's license until the latter is obtained by the prospective owner.

The procedures regarding transfer of care responsibility apply throughout the year and are unaffected by the timing or duration of the racing season. TROTBritain has no requirement to

‘declare the horse in training’. The first notification TROTBritain requires is payment of the horse’s Initial Season Race Fee, 7 days before its first race entry. This notification, on the **PAY INITIAL FEE** form, is also to include images of the passport pages containing details of the horse’s flu vaccinations if a previously submitted image does not confirm they are in order for this date. Bank details for payment of prizemoney are also to be supplied on this form.

In fulfilment of its responsibilities to the horse TROTBritain may require the current Responsible Person to:

- Produce the horse physically as part of an unannounced stable visit.
- Allow the horse to be subject to inspection and testing on an unannounced visit by a TROTBritain authorised Veterinary Officer.
- Send a dated image of the horse, within 24 hours of a request notice.

## APPENDIX XII (a)

### BREEDING and TROTBritain STUDBOOK

#### *Definitions*

'British-bred horse' means a horse born in Great Britain, irrespective of the breeder's nationality.

'British-breeder horse' means a horse born anywhere that bred by a British citizen

Subject to meeting the relevant pedigree criteria, a trotting racehorse shall be in the TROTBritain Studbook if (i) it is a British-bred horse; OR (ii) it is a British-breeder horse that has been imported into and/or raced in GB; OR (iii) it is imported and/or races here in the name of an owner of British nationality, having been born elsewhere.

To be eligible for entry into the TROTBritain Studbook as a sire, the horse must be LeTROT/IFCE approved as a sire if it is a Trotteur Francais, or have an equivalent trotting racing and/or trotter breeding record to that required for a Trotteur Francais sire in the case of any other breed.

To be eligible for entry into the TROTBritain Studbook as a broodmare, the horse must be LeTROT/IFCE-eligible if it is a Trotteur Francais, or have an equivalent trotter breeding record to that required for a Trotteur Francais mare in the case of any other breed.

To be eligible for entry into the TROTBritain Studbook as a racehorse, a horse (male, female or gelding) must be either a Trotteur Francais, or have trotter breeding of the equivalent standards to that required for a Trotteur Francais in the case of any other breed.

The current LeTROT/IFCE standards for sire approval and dam eligibility appear in Appendix XIII. In all cases, the equivalent trotting racing and/or trotter breeding record for any breed other than a Trotteur Francais is a matter for the TROTBritain Breeding Committee to determine.

Exception. A horse foaled under the BHRC governorship before 1/1/21, and having raced as a trotter, will be accepted as a trotter racehorse on a one-off basis, even if its parentage fails the sire or dam test. It will not be approved to breed, unless it meets the TROTBritain sire or broodmare criteria.

For the avoidance of doubt, the assignment by STAGBI to the category 'trotter' - as stallion, mare or gelding - in its Harness Racing Studbook, has no implication for its treatment (inclusion, categorisation) in the TROTBritain Studbook.

## **APPENDIX XII (b)**

### TROTTEUR FRANCAIS STUDBOOK

#### *Stallions*

Stallions that fulfil the conditions below, may be approved for producing in the Trotteur Francais stud book:

- 1) Either having finished in the first three in a Group I race
- 2) Or, having achieved 6 times, throughout their career of competing in races recorded and held at approved

racecourses, where they have won a place, a kilometre rate less than or equal to: - 1 '16"5 at the age of 3:

- 1 '15"5 at the age of 4,
- 1 '14"5 at the age of 5,
- 1 '13"5 at the age of 6, or above.

Kilometre rates are lowered by one second for a race started by the Autostart method and by one second for races over a distance less than 2,400 m. Both increases may be applied simultaneously. The rates are raised by half of one second for mounted harness races.

One victory in any race included in the list of Group II races is equivalent to two victories with the required record whereas a second or third place in this race category is equivalent to one victory with the required record.

- 3) Or, if the horse is at least 5 years old and destined for breeding at the age of 6 or above, having obtained a favourable response from the Approval committee.

In order to qualify for presentation to the Approval committee, horses that have finished in the first five in a race referred to in paragraph 2 above, need to have achieved 6 times the kilometre rate also established in said paragraph, subject to the same equivalences, increases and reductions.

In addition to the above, both of the following two references are equivalent for the kilometre rates required for approval:

- being the male offspring or uterine brother of a horse having won a Group I or II race - having obtained a total minimum amount of winnings of 100,000 Euros at the age of four, or 200,000 Euros at the age of five or 280,000 Euros at the age of six or above.
- having obtained a score, at the age of 4, 5 or 6 years, of at least 70/100 at a national competition for selection of entire horses (Concours National de Selection de Chevaux Entiers), as determined in accordance with the scoring chart that appears under Appendix 1 of these Regulations.

All the references taken into account shall have been obtained in different races.

## *Mares*

Mares fulfilling the conditions below, may be approved for producing in the Trotteur Francais stud-book:

1) In order to be confirmed, a mare must have validated identification papers and: Either have been authorised for Trotteur Francais breeding prior to 1st January 2005 Or have been born prior to 1st January 2005, and have satisfied one of the following conditions by 31st December of the year preceding its being sent for breeding at the latest:

- have successfully passed the qualification trials organised by the S.E.C.F. or organised abroad by a Federation which has signed the agreement for 'Trotteur Francais' horse breeding on an approved racetrack;
- have established an official record corresponding to French qualification standards in a public race meeting organised abroad;
- or be the uterine sister of a horse or female offspring of a mare having finished in the first three in a Group I or II race;
- or be classified in the first category on the grounds of its performance or be the female offspring of a first-category mare;
- or have been born between 1997 and 2004 inclusive (letter 'J' to 'Q') and be the female offspring of a second category mare.

Or have been born between 2005 and 2012 inclusive (letter 'R' to 'C'.) and have satisfied one of the following conditions by 31st December of the year preceding its being sent for breeding at the latest:

- have had at least one win in a public race meeting organised at a French racecourse or abroad at an approved racecourse;
- or have been classified in the 1st or 2nd category on grounds of its performance; • or be the female offspring of a 1st or 2nd category mare.
- Or have been born from 1st January 2013 (letter 'D' and following) and satisfied one of the following conditions by 31st December of the year preceding its being sent for breeding at the latest:
  - have obtained at least one win in a public race meeting organised at a French racecourse or abroad at an approved racecourse;
  - or have been classified in the 1st or 2nd category on grounds of its performance; • or be the female offspring of a 1st category mare;
  - or be the female offspring of a 2nd category mare and have successfully completed the qualifying events organized by the SECF or a federation which has signed the agreement for 'Trotteur Francais' horse breeding on an approved racetrack for the organisation of qualification trials or have established an official record corresponding to French qualification standards in a public race meeting organised abroad on an approved racetrack;

A filly is confirmed as eligible for reproduction:

- at the very earliest as from her registration (before 31st December of its year of birth), if her mother fulfils the necessary categorisation criteria in accordance with the schedule in force in the year of birth in question. However, for a filly born in 2012, her mother must fulfil the necessary categorisation criteria in accordance with the schedule in force in 2011.

- at a later date, if she satisfies the conditions imposed either on the grounds of her performances, or following a change of category for her mother.

2) To be eligible for reproduction, a mare must be confirmed and, at the time of covering: be aged at least 5 years old, nevertheless, a special dispensation is granted to mares at least 4 years old, if, at the very latest by 31st December of the year preceding her approval for reproduction, she has fulfilled one of the following conditions:

- being classified 1st or 2nd category on the grounds of her performance,
- or being the offspring of a 1st category mare

## **APPENDIX XIII**

### ASSOCIATES

TROTBritain Associate status establishes

- eligibility for TROTBritain awards
- eligibility for nomination as a British representative for international driving competitions
- eligibility for exchange visits organised by TROTBritain
- eligibility for participation in Sales and Sale visits organised by TROTBritain
- eligibility to participate in polls conducted by TROTBritain on policy issues
- eligibility to have a written comment/proposal formally considered by the TROTBritain Board
- assignment to Subscriber status on the TROTBritain website which permits comments and contributions

In submitting an application for registration as a TROTBritain Associate, the applicant agrees to accept the principles, rules and policies of TROTBritain as the Governing Body of Trotting Horseracing in Great Britain.

An application may be rejected, or registration revoked, if the applicant is held to be in breach of its Rules and regulations or their public actions are deemed harmful to TROTBritain's pursuit of its objectives and responsibilities.