

TYPES OF RACES - CHAPTER 23

ARCI-023-005 PURPOSE

To describe the various type of races that may be run in harness racing.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02

ARCI-023-010 TYPES OF RACES PERMITTED

In presenting a program of racing, the racing secretary shall use exclusively the following types of races:

A. Overnight Races

Overnight events include:

- (1) Conditioned races;
- (2) Claiming races;
- (3) Preferred, invitational, handicap, open or free-for-all races;
- (4) Schooling races; and
- (5) Matinee races

B. Added Money

Added money events include:

- (1) Stakes;
- (2) Futurities;
- (3) Early closing events; and
- (4) Late closing events
- (5) Sweepstakes

C. Match Races

D. Qualifying Races

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02

ARCI-023-015 OVERNIGHT EVENTS

A. General Provisions

- (1) For the purpose of this rule, overnight events shall include conditioned, claiming, preferred, invitational, handicap, open, free-for-all, schooling or matinee races or a combination thereof.
- (2) At extended race meetings, condition sheets must be available to participants at least ___ hours prior to closing declarations to any race program contained therein. At

other race meetings, conditions must be posted and available to participants at least ___ hours prior to closing declarations.

- (3) A fair and reasonable racing opportunity shall be afforded both trotters and pacers in reasonable proportion from those available and qualified to race.
- (4) Substitute races may be provided for each race program and shall be so designated in condition books sheets. A substitute race may be used when a regularly scheduled race fails to fill.
- (5) Regularly scheduled races or substitute races may be divided where necessary to fill a program of racing, or may be divided and carried over to a subsequent racing program, subject to the following:
 - (a) No such divisions shall be used in the place of regularly scheduled races which fill.
 - (b) Where races are divided in order to fill a program starters for each division must be determined by lot after preference has been applied, unless the conditions provide for divisions based upon age, performance, earnings or sex.
 - (c) A race may be divided into two or more divisions at the discretion of the racing secretary, whenever circumstances warrant.
 - (d) When a race is divided, the starting horses for each division are to be determined
 - (A) Firstly by preference, and
 - (B) Secondly, by lot, unless the conditions for the race otherwise specify.
 - (e) The conditions for the race are not to deprive a horse of an opportunity to race in a normal preference cycle.

B. Conditions

- (1) Conditions shall be based only on:
 - (a) horses' money winnings in a specified number of previous races or during a specified previous time;
 - (b) horses' finishing positions in a specified number of previous races or during a specified period of time;
 - (c) age;
 - (d) sex;
 - (e) number of starts during a specified period of time;
 - (f) special qualifications for foreign horses that do not have a representative number of starts in the United States or Canada;
 - (g) the exclusion of schooling races; or
 - (h) any one or more combinations of the qualifications herein listed.

- (2) Conditions shall not be written in such a way that any horse is deprived of an opportunity to race in a normal preference cycle. Where the word preference is used in a condition, it shall not supersede date preference as provided in the rules. Not more than _____ also eligible conditions shall be used in writing the conditions for overnight events.
- (3) The Commission may, upon application from the racing secretary, approve conditions other than those listed above.
- (4) In the event there are conflicting published conditions and neither one nor the other is withdrawn by the association, the one more favorable to the declarer shall govern.
- (5) For the purpose of eligibility, a racing season or racing year shall be the calendar year. When recording winnings, gross winnings shall be used and cents shall be disregarded.
- (6) Records and time bars shall not be used as a condition of eligibility.
- (7) Horses must be eligible when declarations close subject to the provision that:
 - (a) wins and winnings on or after the closing date of declarations shall not be considered;
 - (b) age allowances shall be given according to the age of the horse on the date the race is contested.
 - (c) in mixed races, trotting and pacing, a horse must be eligible under the conditions for the gait at which it is stated in the declaration the horse.
- (8) When conditions refer to previous performances, those performances shall only include those in a purse race. Each dash or heat shall be considered as a separate performance for the purpose of condition races.
- (9) In overnight events, not more than one trailer shall be permitted, regardless of the size of the track except with the approval of the Commission. At least eight feet per horse must be provided the starters in the front tier.
- (10) The racing secretary or judges may reject the declaration to an overnight event of any horse whose past performance indicates that it would be below the competitive level of other horses declared to that particular event.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02

ARCI-023-020 CLAIMING RACES

A. General Provisions

- (1) No horse will be eligible to start in a claiming race unless the owner has provided written authorization, which must include the minimum price for which the horse may be claimed, to the racing secretary prior to declaration. If the horse is owned by more than one party, all parties or the authorized agent must sign the authorization. Any question relating to the validity of a claiming authorization shall be referred to the judges who shall have the authority to disallow a declaration or scratch the horse if they deem the authorization to be improper.

- (2) The designated racing official shall cause to be transferred all changes in ownership of claimed horses as soon as practical.
- (3) The price allowances that govern for claiming races must be approved by the Commission. Claiming prices recorded on past performance lines in the daily race program and on eligibility certificates shall not include allowances.
- (4) The claiming price, including any allowances, of each horse shall be printed on the official program adjacent to the horse's program number and claims shall be for the amount designated, subject to correction if printed in error.
- (5) In handicap claiming races, in the event of an also eligible horse moving into the race, the also eligible horse shall take the place of the horse that it replaces provided that the handicap is the same. In the event the handicap is different, the also eligible horse shall take the position on the outside of horses with a similar handicap, except when the horse that is scratched is a trailing horse, in which case the also eligible horse shall take the trailing position, regardless of its handicap. In handicap claiming races with one trailer, the trailer shall be determined as the fourth best post position.
- (6) To be eligible to be claimed a horse must start in the event in which it has been declared to race. For the purposes of this rule, a horse shall be deemed to have started if it is behind the gate when the field is released at the starting point by the starter.

OR

- (7) The successful claimant of a horse programmed to start may, at the claimant's option, acquire ownership of a claimed horse, even though such claimed horse was scratched and did not start in the claiming race from which it was scratched. The successful claimant must exercise their option by ____ of the next day following the claiming race to which the horse was programmed and scratched. No horse may be claimed from a claiming race unless the race is contested.
- (8) If a horse that has been drawn in to start in a claiming race is scratched for reason other than being ineligible to the race, the horse shall be subject to claim in its next start in this jurisdiction, provided such start occurs within ____ of the date of the scratch, regardless of type and condition of the race, at the claiming price it was subject to in the race in which it was scratched. Where a horse drawn in to start in a claiming race has been declared to start in a subsequent race, the successful claimant of the horse in the first race shall have the option of scratching the horse from the subsequent race and the above time frame provision of this section will not apply.
- (9) Any licensed owner or the authorized agent of such person who holds a current valid Commission license may claim any horse or any person who has properly applied for and been granted a claiming certificate shall be permitted to claim any horse. Any person or authorized agent eligible to claim a horse shall be allowed access to the grounds of the association, excluding the paddock, in order to effect a

claim at the designated place of making claims and to take possession of the horse claimed.

- (10) Claiming certificates are valid on day of issue and expire _____ . These certificates may be applied for at the Commission's licensing office prior to post time on any day of racing.

B. Prohibitions on Claims

- (1) A person shall not claim directly or indirectly the person's own horse or a horse trained or driven by him/her or cause such horse to be claimed directly or indirectly for his/her own account.
- (2) A person shall not directly or indirectly offer, or directly or indirectly enter into an agreement, to claim or not to claim or directly or indirectly attempt to prevent another person from claiming any horse in a claiming race.
- (3) An owner or prospective owner shall not have more than one claim on any one horse in any claiming race.
- (4) A person shall not directly or indirectly conspire to protect a horse from being claimed by arranging another person to lodge claims, a procedure known as protection claims.

C. Claiming Procedure

- (1) A person desiring to claim a horse must have the required amount of money on deposit with the horsemen's bookkeeper at the time the completed claim form is deposited.
- (2) The claimant shall provide all information required on the claim form provided by the association.
- (3) The claim form shall be completed and signed by the claimant prior to placing it in an envelope provided for this purpose by the association and approved by the Commission. The claimant shall seal the envelope and identify on the outside the date, race number and track name only.
- (4) The envelope shall be delivered to the designated area, or licensed delegate, at least 30 minutes before post time of the race from which the claim is being made. That person shall certify on the outside of the envelope the time it was received, the current license status of the claimant and whether credit in the required amount has been established.
- (5) It shall be the responsibility of the association to ensure that all such claim envelopes are delivered unopened or otherwise undisturbed to the judges prior to the race from which the claim is being made.
- (6) The claim box shall be opened and the claims, if any, examined by the judges prior to the start of the race. The judges shall verify with the horsemen's bookkeeper, that the claimant has on deposit in their account the amount equivalent to the specified claiming price and any other required fees and taxes. No official shall give any information on claims filed until after the race.

- (7) The judges shall disallow any claim made on a form or in a manner which fails to comply with all requirements of this rule.
- (8) When a claim has been lodged it is irrevocable, unless otherwise provided for in these rules.
- (9) In the event more than one claim is submitted for the same horse, the successful claimant shall be determined by lot by the judges, and all unsuccessful claims involved in the decision by lot shall, at that time, become null and void, notwithstanding any future disposition of such claim.
- (10) Upon determining that a claim is valid, the judges shall notify the paddock judge of the name of the horse claimed, the name of the claimant and the name of the person to whom the horse is to be delivered. Also, the judges shall cause a public announcement to be made.
- (11) Every horse entered in a claiming race shall race for the account of the owner who declared it in the event, but title to a claimed horse shall be vested in the successful claimant from the time the horse is deemed to have started, and the successful claimant shall become the owner of the horse, whether it be alive or dead, or sound or unsound, or injured during or after the race.
- (12) A post-race urinalysis test may be taken from any horse claimed out of a claiming race. The trainer of the horse at the time of entry for the race from which the horse was claimed shall be responsible for the claimed horse until the post-race urine sample is collected.
- (13) Altering or removing a claimed horse's shoes shall not be permitted.
- (14) The license of a person who refuses to deliver a horse legally claimed out of a claiming race shall be suspended and the horse is not permitted to race until delivery is made.
- (15) A claimed horse shall not be eligible to start in any race in the name or interest of the owner of the horse at the time of entry for the race from which the horse was claimed for ___ days, unless reclaimed out of another claiming race. Nor shall such horse remain in or be returned to the same stable or care or management of the first owner or trainer for the same period, unless reclaimed out of another claiming race.
- (16) The claiming price shall be paid to the owner of the horse at the time entry for the race from which the horse was claimed only when the judges are satisfied that the successful claim is proper and the documentation has been received by the presiding judge for transfer to the new owner.
- (17) The judges, at the option of the claimant, shall rule a claim invalid if the horse has been found ineligible for the event from which it was claimed.
- (18) Mares and fillies who are in foal are ineligible for claiming races. Upon receipt of the horse, if a claimant determines within 48 hours that a claimed filly or mare is in foal, he/she may, at their option, return the horse to the owner of the horse at the time of entry for the race from which the horse was claimed.

- (19) When the judges rule that a claim is invalid and the horse is returned to the owner of the horse at the time of entry for the race in which the invalid claim was made:
- (a) the amount of the claiming price and any other required fees and/or taxes shall be repaid to the claimant;
 - (b) any purse monies earned subsequent to the date of the claim and before the date on which the claim is ruled invalid shall be the property of the claimant; and
 - (c) the claimant shall be responsible for any reasonable costs incurred through the care, training or racing of the horse while it was in claimant's possession.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 1.4 to 2.0 ARCI 4/26/03 NAPRA 4/14/03: Modify rule language

ARCI-023-025 ADDED MONEY EVENTS

A. General Provisions

- (1) All sponsors and presenters of added money events must comply with the rules and must submit to the Commission the conditions and other information pertaining to such events.
- (2) Any conditions contrary to the provisions of any of these rules are prohibited.

B. Conditions

Conditions for added money events must specify:

- (1) which horses are eligible to be nominated;
- (2) the amount to be added to the purse by the sponsor or presenter, should the amount be known at the time;
- (3) the dates and amounts of nomination, sustaining and starting payments;
- (4) whether the event will be raced in divisions or conducted in elimination heats, and;
- (5) the distribution of the purse, in percent, to the money winners in each heat or dash, and the distribution should the number of starters be less than the number of premiums advertised;
- (6) whether also eligible horses may be carded prior to the running heats or legs of added money events.

C. Requirements of Sponsors/Presenters

- (1) Sponsors or presenters of stakes, futurities or early closing events shall provide a list of nominations to each nominator or owner and to the associations concerned within ____ days after the date on which nominations close, other than for nominations payable prior to January 1st of a horse's two-year-old year.
- (2) In the case of nominations for futurities payable during the foaling year, such lists must be forwarded out prior to _____ of that year and, in the case of nominations payable in the yearling year, such lists must be forwarded out not later than _____ of that year.

- (3) Sponsors or presenters of stakes, futurities or early closing events shall also provide a list of horses remaining eligible to each owner of an eligible within ____ days after the date on which sustaining payments are payable. All lists shall include a resume of the current financial status of the event.
- (4) The Commission may require the sponsor or presenter to file with the Commission a surety bond in the amount of the fund to ensure faithful performance of the conditions, including a guarantee that the event will be raced as advertised and all funds will be segregated and all premiums paid. Commission consent must be obtained to transfer or change the date of the event, or to alter the conditions. In any instance where a sponsor or presenter furnishes the Commission with substantial evidence of financial responsibility satisfactory to the Commission, such evidence may be accepted in lieu of a surety bond.

D. Nominations, Fees and Purses

- (1) All nominations to added money events must be made in accordance with the conditions.
- (2) Dates for added money event nominations payments are:
 - (a) Stakes: The date for closing of nominations on yearlings shall be _____. The date foreclosing of nominations to all other stakes shall fall on the fifteenth day of a month.
 - (b) Futurity: The date for closing of nominations shall be _____ of the year of foaling.
 - (c) Early Closing Events: The date for closing of nominations shall fall on the first or fifteenth day of a month. Nominations on two-year-olds shall not be taken prior to _____.
 - (d) Late Closing Events: The date for closing of nominations shall be at the discretion of the sponsor or presenter.
 - (e) Dates for added money event sustaining payments are:
 - (f) Stakes and Futurities: Sustaining payments shall fall on the fifteenth day of a month. No stake or futurity sustaining fee shall become due prior to (Month) 15th of the year in which the horses nominated become two years of age.
 - (g) Early and Late Closing Events: Sustaining payments shall fall on the _____ or _____ day of a month.
- (3) The starting fee shall become due when a horse is properly declared to start and shall be payable in accordance with the conditions of the added money event. Once a horse has been properly declared to start, the starting fee shall be forfeited, whether or not the horse starts. Should payment not be made ___ minutes before the post time of the event, the horse may be scratched and the payment shall become a liability of the owner who shall, together with the horse or horses, be suspended until payment is made in full, providing the association notifies the Commission within ____ days after the starting date.

- (4) Failure to make any payment as required by the conditions constitutes an automatic withdrawal from the event.
- (5) Conditions that will eliminate horses nominated to an event, or add horses that have not been nominated to an event by reason of performance of such horses at an earlier race meeting, are invalid.
- (6) Early and late closing events shall have not more than _____ also eligible conditions.
- (7) The date and place where early and late closing events will be raced must be announced before nominations are taken. The date and place where stakes and futurities will be raced must be announced as soon as determined but, in any event, such announcement must be made no later than _____ of the year in which the event is to be raced.
- (8) Deductions may not be made from nomination, sustaining and starting payments or from the advertised purse for clerical or any other expenses.
- (9) Every nomination shall constitute an agreement by the person making the nomination and the horse shall be subject to these rules. All disputes and questions arising out of such nomination shall be submitted to the Judges.
- (10) Nominations and sustaining payments must be received by the sponsor or presenter not later than the hour of closing, except those made by mail must bear a postmark placed thereon not later than the hour of closing. The hour of closing shall be _____ o'clock of the due date.
- (11) If conditions require a minimum number of nominations and the event does not fill, the Commission and each nominator shall be notified within ___ days of the closing of nominations and a refund of nomination fees shall accompany such notice to nominators.
- (12) If conditions for early or late closing events allow transfer for change of gait, such transfer shall be to the lowest class the horse is eligible to at the adopted gait, eligibility to be determined at the time of closing nominations. The race to which the transfer may be made must be the one nearest the date of the event originally nominated to. Two-year-olds, three-year-olds, or four-year-olds, nominated in classes for their age, may only transfer to classes for the same age group at the adopted gait to the race nearest the date of the event they were originally nominated to, and entry fees to be adjusted.
- (13) A nominator is required to guarantee the identity and eligibility of nominations, and if this information is given incorrectly nominator may be fined, suspended, or expelled and the horse declared ineligible. If any purse money was obtained by an ineligible horse, the monies shall be forfeited and redistributed among those justly entitled to the same.
- (14) Early or late closing events must be contested if _____ or more betting interests are declared to start. If less horses are declared to start than required, the race may be declared off, in which case the total of nominations, sustaining and starting

payments received shall be divided equally to the horses declared to start. Such distribution shall not be credited as purse winnings.

- (15) Stakes or futurities must be contested if one or more horses are declared to start. In the event only one horse, or only horses in the same interest start, it constitutes a walk-over. In the event no declarations are made, the total of nomination and sustaining payments shall be divided equally to the horses remaining eligible after payment to the last sustaining payment, but such distribution shall not be credited as purse winnings.
- (16) Associations shall provide stable space for each horse declared on the day before, the day of and the day following the race.
- (17) The maximum size of fields permitted in any added money event shall be no more than one trailer unless otherwise approved by the Commission.
- (18) An association may elect to go with less than the number of trailers specified in 17 above.
- (19) In the event more horses are declared to start than allowed in one field, the race will be conducted in divisions or eliminations, as specified in the conditions.
- (20) In early closing races, late closing races and overnight races requiring entry fees, all monies paid in by the nominators in excess of ___ percent of the advertised purse shall be added to the advertised purse and the total shall then be considered to be the minimum purse. If the race is split and raced in divisions, the provisions of 22 below shall apply. Provided further that where overnight races are split and raced in eliminations rather than divisions, all starting fees payable under the provisions of this rule shall be added to the advertised purse.
- (21) Where a race other than a stake or futurity is divided, each division must race for at least ___ percent of the advertised purse.
- (22) In added money events conducted in eliminations, starters shall be divided by lot. Unless conditions provide otherwise, _____ percent of the total purse will be divided equally among the elimination heats. The final heat will be contested for ___ percent of the total purse. Unless the conditions provide otherwise, all elimination heats and the final heat must be raced on the same day. If the conditions provide otherwise, elimination heats must be contested not more than _____ days, prior to the date of the final heat. The winner of the final heat shall be the winner of the race.
- (23) The number of horses allowed to qualify for the final heat of an event conducted in elimination heats shall not exceed the maximum number permitted to start in accordance with the rules.
- (24) The judges' decisions in arriving at the official order of finish of elimination heats on the same program shall be final and irrevocable and not subject to appeal or protest.
- (25) Unless the conditions for the added money event provide otherwise the judges shall draw by lot the post positions for the final heat in elimination events, i.e. they shall draw positions to determine which of the two elimination heat winners shall have

the pole, and which the second position; which of the two horses that were second shall start in the third position, and which in the fourth, etc.

- (26) In a two-in-three race, a horse must win two heats to win a race and there shall be ____ percent set aside for the race winner. Unless conditions state otherwise, the purse shall be divided and awarded according to the finish in each of the first two or three heats, as the case may be. If the number of advertised premiums exceeds the number of finishers, the excess premiums shall go to the winner of the heat. The fourth heat, when required, shall be raced for ____ percent of the purse set aside for the race winner. In the event there are three separate heat or dash winners and they alone come back in order to determine the race winner, they will take post positions according to the order of their finish in the previous heat. In a two-year-old race, if there are two heat winners and they have made a dead heat in the third heat, the race shall be declared finished and the one standing best in the summary shall be awarded the ____ percent. If the two heat winners make a dead heat and stand the same in the summary, the ____ percent shall be divided equally among them.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02

ARCI-023-030 CANCELLATION OF A RACE

In case of cancellation of races, see ARCI-024-020 "POSTPONEMENT AND CANCELLATION."

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02