

ROYAL SAINT LUCIA TURF CLUB



REGULATIONS OF RACING

February 2020

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(1) DUTIES AND REQUIREMENTS OF THE CLUB

Purpose: To describe the requirements, facilities, equipment and operations of the Royal Saint Lucia Turf Club (Club).

(1)(A) General Duty:

- (1) The Club, its officers, directors, officials and employees shall be responsible for:
 - (a) the governance of horse racing in Saint Lucia;
 - (b) creating and managing facilities in the best interests of the sport, registered persons and the wider public;
 - (c) ensuring a safe environment for all participants;
 - (d) creating and policing the approved Rules of Racing;
 - (e) Promoting horse racing;
 - (f) The issuing of registrations for official roles within horse racing in Saint Lucia.

(2) OPERATIONS

(2)(A) Security:

- (1) The Club shall maintain security controls over its grounds.
- (2) The Club shall prevent access to and shall remove or cause to be removed from its restricted areas any person who is unregistered, or who has not been issued a pass or other identifying credential, or whose presence in such restricted area is unauthorised.

(2)(B) Fire Prevention:

- (1) The Club shall develop and implement a program for fire prevention on its grounds. It shall instruct employees working on its grounds of the procedures for fire prevention.
- (2) No person shall:
 - (a) smoke in stalls, feed rooms or under shed rows;
 - (b) burn open fires or oil and gas lamps in the stable area;
 - (c) leave unattended any electrical appliance that is plugged-in to an electrical outlet;
 - (d) permit horses to come within reach of electrical outlets or cords;
 - (e) store flammable materials such as cleaning fluids or solvents in the stable area; or
 - (f) lock a stall which is occupied by a horse.

(2)(C) Insect and Rodent Control:

- (1) The Club and the registrants occupying its barn area shall cooperate in procedures to control insects, rodents or other hazards to horses or registrants.

(2)(D) Ejection and Exclusion:

- (1) The Club shall immediately eject or exclude from its grounds:
 - (a) a person who is subject to an exclusion order from police or Stewards;
 - (b) any person for unsociable behaviour;
 - (c) any person or who has been warned off/banned from racetracks in Saint Lucia or recognised jurisdictions.

(3) FLAT RACING OFFICIALS

(3)(A) Any Other Person Designated by the Royal Saint Lucia Turf Club:

- (1) The Royal Saint Lucia Turf Club may create additional Racing Official positions, as needed. Persons selected for these positions shall be considered Racing Officials and shall be subject to the general eligibility requirements outlined in Section I of this chapter.

(3)(B) Complaints Against Officials:

- (1) Complaints against any steward shall be made in writing to the Royal Saint Lucia Turf Club and signed by the complainant.
- (2) Any complaint against a Racing Official other than a steward shall be made to the Stewards in writing and signed by the complainant. All such complaints shall be reported to the Royal Saint Lucia Turf Club by the Stewards, together with a report of the action taken or the recommendation of the Stewards.
- (3) A Racing Official may be held responsible by the Stewards or the Royal Saint Lucia Turf Club for the actions of their assistants.

(3)(C) Appointment:

- (1) A person shall not be appointed to more than one Racing Official position at a meeting unless specifically approved by the Royal Saint Lucia Turf Club.
- (2) The Royal Saint Lucia Turf Club shall appoint or approve the Stewards at each race meeting.

(4) FLAT RACING REGISTRATIONS AND DUTIES OF REGISTRANTS

Purpose: To provide requirements and procedures for granting, refusing, suspending and revoking of registrations, as well as general duties and requirements for individuals holding specific occupational registrations.

(4)(A) Registrations Required:

- (1) A person shall not participate in pari-mutuel racing under the jurisdiction of the Club without being duly registered or the holder of a valid pass, categories shall include the following:
 - (a) racing participants and personnel (including owner, Authorised Agent, trainer, assistant trainer, jockey, apprentice jockey, jockey agent, exercise rider, pony rider, Veterinarian, veterinary assistant, Farrier and stable employees);
 - (b) racing officials (including steward, racing secretary, starter, timer/clocker, clerk of scales, jockey room custodian, paddock judge, patrol judge, placing judge, official Veterinarian and horse identifier);
 - (c) persons employed or contracted by the Club or employed by an approved service provider that requires access to a restricted area or access to the racecourse grounds while pari-mutuel wagering is being conducted.
- (2) Members of the media, including chart callers, while not required to be registered, may at the Club's discretion be subject to background investigation, be required to carry credentials, and pay all required fees.
- (3) Persons required to be registered shall submit a completed application form accompanied by the required fee.
- (4) Registration applicants may be required to furnish a set of recent photographs and may be required to be re-photographed periodically.

(4)(B) Registration Reciprocity:

- (1) Only permanent registrations in good standing shall be considered. Temporary or probationary registrations shall not be considered.
- (2) An applicant must be in good standing in each jurisdiction where they hold or have held a racing registration.

(4)(C) Age Requirement:

- (1) Applicants for registration shall be a minimum of 16 years of age unless otherwise specified in these rules.

(4)(D) Consent to Investigation:

- (1) The filing of an application for registration shall authorise the Club to investigate criminal and employment records, to engage in interviews to determine an applicant's character and qualifications, and to verify information provided by the applicant.

(4)(E) Consent to Search and Seizure:

- (1) By acceptance of a registration, a registrant consents to search and inspection and to the seizure of any prohibited medication, drugs, paraphernalia or devices in accordance with Saint Lucia's laws.

(4)(F) Protection of Horses:

- (1) Each registered person shall do all that is reasonable and within his/her power and scope of duty to guard against and prevent the administration of any drug, medication or other substance, including permissible medication in excess of the maximum allowable level, to any horse entered or to be entered in an official workout or race, as prohibited by these rules.
- (2) No registrant or other person shall subject or permit any animal under his/her control, custody or supervision, to be subjected to or to incur any form of cruelty, mistreatment, neglect or abuse, or abandon, injure, maim, kill or administer any noxious substance to or deprive any animal of necessary care, or sustenance, shelter or veterinary care.

(4)(G) Substance Abuse/Addiction:

- (1) All registrants shall be deemed to be exercising the privileges of their registration, and to be subject to the requirements of these Rules and Regulations of Racing, when engaged in activities that could affect the outcome of a race or diminish the conditions of safety or decorum required in restricted areas.
- (2) It shall be a violation to exercise the privileges granted by a registration if the registrant on Club grounds:
 - (a) Is engaged in the illegal sale or distribution of alcohol or a controlled substance;
 - (b) Possesses, without a valid prescription, a controlled substance;
 - (c) Is intoxicated or under the influence of alcohol or a controlled substance;
 - (d) Is addicted, having been determined to be so by a professional evaluation, to alcohol or other drugs and not engaged in an abstinence-based program of recovery acceptable to the Club;
 - (e) Refuses to submit to urine or drug testing;
 - (f) Presently has drugs (controlled substances) or alcohol in his or her body.
- (3) At its discretion, the Club may conduct random or episodic random drug testing, as well as testing based on reasonable suspicion, in order to ensure safety on the racetrack.

- (4) All costs for the transportation and testing for the sample portion made available for the registrant shall be the financial responsibility of the requesting person.
- (5) Payment shall be due from the requesting person within 30 days of receipt of notice of the costs.
- (6) A registrant penalised or restricted pursuant to this section shall retain rights of due process with respect to any determination of alleged violations which may adversely affect the right to be registered.
- (7) If there has been a violation, under number 2 above, the following procedures will be followed:
 - (a) The Club may, at its discretion, order the registrant to obtain a professional assessment to determine whether there is a substantial probability that the registrant is dependent on, or abuses, alcohol or other drugs, or the Club may act on the information at hand.
 - (b) Actions in the case of first violators may include revocation of the registration, suspension of the registration for up to six months, placing the violator on probation for up to 90 days or ordering formal assessment and treatment.
 - (c) Treatment or assessment.
 - (d) The registration of the person may be revoked or suspended for a period of up to one year or a professional assessment of the person may be ordered.
- (8) If a professional assessment indicates presence of a problem of alcohol or other drug abuse that is not treatable within the reasonably foreseeable future (360 days) the registration may be suspended for a period of up to one year.
- (9) If a professional assessment indicates presence of a treatable problem of alcohol or other drug abuse or dependence, the registrant may be ordered to undergo treatment as a condition of continuing registration. Such treatment will be through a program or by a practitioner, acceptable to the Club.

(4)(H) Employer Responsibility:

- (1) The employment or harbouring of any unregistered person at facilities is prohibited.

(4)(I) Employer Endorsement of Registration Applications:

- (1) The registration application of an employee shall be endorsed by the employer.

(4)(J) Financial Responsibility:

- (1) Applicants for a registration may be required to submit evidence of financial capability, and shall maintain financial responsibility during the period for which the registration is issued.

(4)(K) Registration Refusal:

- (1) The Club or its designee may refuse to register an individual and give the applicant the option of withdrawal of an application without prejudice. If an applicant is refused, the applicant may reapply to be registered.

(4)(L) Registration Denial:

- (1) An application may formally be denied in accordance with these Rules and Regulations of Racing. An application denied shall be reported in writing to the applicant stating the reasons for denial.

(4)(M) Grounds for Refusal, Denial, Suspension or Revocation of Registration:

- (1) The Club may refuse to issue or may deny registration to an applicant, or may suspend or revoke a registration issued, or may order disciplinary measures, if the applicant:
 - (a) has been convicted of a felony;
 - (b) has been convicted of violating any law regarding gambling or a controlled dangerous substance;
 - (c) has pending criminal charges; or
 - (d) is unqualified to perform the duties required of the applicant;
 - (e) has failed to disclose or states falsely any information required in the application;
 - (f) has been found in violation of statutes or rules governing racing in Saint Lucia or other jurisdictions;
 - (g) has racing disciplinary charges pending in this or other jurisdictions;
 - (h) has been or is currently excluded from Club grounds by a recognised racing jurisdiction;
 - (i) has had a license or registration denied, suspended or revoked by any recognised racing jurisdiction;
 - (j) is a person whose conduct or reputation may adversely reflect on the honesty and integrity of horse racing or interfere with the orderly conduct of a race meeting;
 - (k) demonstrates financial irresponsibility by accumulating unpaid obligations, defaulting in obligations or issuing drafts or checks that are dishonoured or payment refused;
 - (l) is ineligible for employment pursuant to law because of age or citizenship; or

(m) has violated any of the alcohol or substance abuse provisions outlined in Sec. 4(G) of this rule.

(2) A registration suspension or revocation shall be reported in writing to the applicant.

(4)(N) Relationships with Inactive Persons, Prohibited:

(1) A person shall not train a horse or practice veterinary medicine for the benefit, credit, reputation, or satisfaction of an inactive person. This prohibition shall not prevent the partners in a veterinary practice from providing services to horses as long as the inactive person does not receive a pecuniary benefit from those services.

(2) An associate of an inactive person shall not:

(a) Assume the inactive person's responsibilities at a location under the jurisdiction of the Club;

(b) Complete an entry form for a race on behalf of or for the inactive person or an owner or customer for whom the inactive person has worked; or

(c) Pay or advance an entry fee for on behalf of the inactive person or owner or customer for whom the inactive person has worked.

(3) An associate who assumes the responsibility for the care, custody, or control of an unsuspended horse owned (fully or partially), leased, or trained by an inactive person shall not:

(a) Be paid a salary or any compensation directly or indirectly by or on behalf of the inactive person or perform work on their behalf;

(b) Receive a bonus or any other form of compensation in cash, property, or other remuneration or consideration from the inactive person.

(4)(O) Registration Restrictions, Limitations and Conditions:

(1) The Club may restrict, limit or place conditions on any registration.

(4)(P) Duration of Registration:

(1) Registrations are valid for twelve months from the date of issue or are valid for such other period as permitted by the Club.

(2) A registration is valid only under the condition that the registrant remains eligible to hold such registration.

(4)(Q) Changes in Application Information:

(1) During the period for which a registration has been issued, the registrant shall report changes in information provided on the registration applications as to current legal name, marital status, permanent address, criminal convictions, registration suspensions of 10 days or more or registration revocations or fines of \$500 or more in other jurisdictions.

(4)(R) Temporary Registrations:

- (1) The Club may establish provisions for temporary registrations.

(4)(S) Conflict of Interest:

- (1) A racing official, as defined under the Rules of Racing, who is an owner of either the sire or dam of a horse entered to race shall not act as an official with respect to that race.
- (2) A person who is registered as an owner or trainer, or has any financial interest in a horse registered for racing at a race meeting in this jurisdiction shall not be employed or registered at that race meeting as a jockey; apprentice jockey; jockey agent; racing official; assistant starter; practicing veterinarian; veterinary assistant; racetrack director, officer or managing employee; track maintenance supervisor or employee; jockey room custodian; valet; outrider; racetrack security employee; Farrier; photo finish operator; horsemen's bookkeeper; racing chemist or testing laboratory employee.

(4)(T) Registration Presentation:

- (1) A person shall present an appropriate registration or pass to enter a restricted area.

(4)(U) Visitor's Pass:

- (1) Track security may authorise unregistered persons temporary access to restricted areas. Such persons shall be identified and their purpose and credentials verified and approved in writing by track security. Such authorisation or credential may only be used by the person to whom it is issued.

(4)(V) Safety Equipment

(4)(V)(1) Safety Helmets:

- (1) Any person mounted on a horse or stable pony on Club grounds must wear a properly secured safety helmet at all times. Additionally, all members of the starting gate crew must adhere to this regulation at all times while performing their duties or handling a horse. For the purpose of this regulation, a member of the starting crew means any person approved as an assistant starter or any person who handles a horse in the starting gate. The helmet must comply with the minimum safety standards for helmets or later revisions as determined by the Royal Saint Lucia Turf Club.

(4)(V)(2) Safety /Vests:

- (1) Any person mounted on a horse or stable pony on the Club's grounds must wear a properly-secured safety vest at all times. Additionally, all members of the starting gate crew must also adhere to this regulation at all times while performing their duties or handling a horse. For the purpose of this regulation, a member of the starting gate crew means any person approved as an assistant starter, or any person who handles a horse at the starting gate.
- (2) The safety vest must comply with the minimum standards for safety vests or later revisions as determined by the Royal Saint Lucia Turf Club.

(4)(V)(3) Alterations of Safety Helmets or Vests:

- (1) A safety helmet or a safety vest shall not be altered in any manner nor shall the product marking be removed or defaced.

(4)(W) Knowledge of Rules:

- (1) A registrant shall be knowledgeable of the Rules and Regulations of Racing of the Club and, by acceptance of the registration, agrees to abide by the Rules.
- (2) A registrant shall report to track security or the stewards any knowledge he/she has that a violation of these Rules and Regulations of Racing has occurred or may occur.

(4)(X) Bird Mitigation:

- (1) Registered trainers and their staff are requested to implement a comprehensive waste removal strategy for their personal barns and surrounding areas as part of a wider solution to limit disease outbreaks, and to mitigate the potential growth of bird populations at the racecourse. The cleanliness of barn areas and surrounding areas is the responsibility of trainers. Failure to meet Club standards can result in the imposition of fines.
- (2) The Club is committed to maintaining a clean working facility for all registered persons, for racegoers and for neighbouring facilities. As part of this process it will:
 - (a) police the daily upkeep of barns;
 - (b) engage professional cleaning services after each race day;
 - (c) oversee general management of its environment on all non-race days;
 - (d) remain open to working with Saint Lucia Air and Sea Port Authorities (SLASPA) and other relevant authorities on collective policies to mitigate the potential growth of bird numbers in the region.

(4)(Y) Payment of Purses:

- (1) The Club shall receive, maintain and disburse the purses of each race. Payment shall only be made upon receipt of notification that any tests, with respect to such races have cleared the drug testing laboratory(ies), as reported by the Royal Saint Lucia Turf Club.
- (2) In the event a protest or appeal has been filed with the Stewards or the Royal Saint Lucia Turf Club, the Club shall disburse the purse within 48 hours of receipt of dismissal or a final non-appealable order disposing of such protest or appeal.

(5) OFFICIAL STARTER

(5)(A) General Authority:

The Official starter shall:

- (1) have complete jurisdiction over the starting gate, the starting of horses and the authority to give orders not in conflict with the Rules, as may be required to ensure all participants an equal opportunity to a fair start;
- (2) appoint and supervise Assistant Starters who have demonstrated they are adequately trained to safely handle horses in the starting gate. In emergency situations, the starter may appoint qualified individuals to act as substitute assistant starters;
- (3) assign the starting gate stall positions to Assistant Starters and notify the Assistant Starters of their respective stall positions;
- (4) assess the ability of each person applying for a Jockey's registration in breaking from the starting gate and working a horse in the company of other horses, and shall make said assessment known to the Stewards or Club; and
- (5) load horses into the gate in any order deemed necessary to ensure a safe and fair start.
- (6) Immediately report to the stewards any false starts, impeded starts or unfair starts.

5(B) Assistant Starters:

- (1) With respect to an official race, the Assistant Starters shall not:
 - (a) handle or take charge of any horse in the starting gate without the expressed permission of the Official Starter;
 - (b) impede the start of a race;
 - (c) apply a whip or other device, with the exception of Steward-approved twitches, to assist in loading a horse into the starting gate;
 - (d) slap, boot or otherwise dispatch a horse from the starting gate;
 - (e) strike or use abusive language to a Jockey; or
 - (f) accept or solicit any gratuity or payment other than his/her regular salary, directly or indirectly, for services in starting a race.

5(C) Official Starter's List:

- (1) No horse shall be permitted to start in a race unless approval is given by the Official Starter. The Official Starter shall maintain a Starter's List of all horses which are ineligible to be entered in any race because of poor or inconsistent behaviour or performance in the starting gate. Such horse shall be refused entry until it has

demonstrated to the Official Starter that it has been satisfactorily schooled in the gate and can be removed from the Starter's List. Schooling shall be under the direct supervision of the starter.

5(D) Report Violations:

- (1) The Official Starter and Assistant Starter shall report all unauthorised activities to the Stewards.

5(E) Starting Gate Loading Procedures (Race Days):

- (1) When the runners arrive at the start they will walk in a circle, anti-clockwise, around the Official Starter until the roll is called. Where it is necessary for the runners to assemble other than behind the gates, Starters will act according to local circumstances.
- (2) Jockeys who wish to dismount at the start must obtain Official Starter's permission before doing so and shall when the roll is called by the Starter. Each Jockey, on being named, will audibly acknowledge his presence at the start.
- (3) Loading will take place under the direction of the Official Starter or his Assistant. Horses shall be loaded according to the sequence prescribed by the Club. In the absence of any prescribed sequence, horses will be loaded in sequence, from the inside gate outwards.
 - (a) All horses may be loaded with the front gates closed.
 - (b) Should any horse become fractious when being loaded or when in the gates, the Official Starter shall take whatever action he deems necessary and he shall report the matter to the Stewards.
 - (c) A horse which is known to be difficult or fractious may be boxed into the Starting gate first and then followed by the other horses in the race.
 - (d) Under no circumstances will a blindfolded horse be loaded without its Jockey.
- (4) When loading is completed and the Assistant Starter or his Assistant is satisfied that all the back gates are securely shut, he will from his position at the rear of the gates, indicate accordingly to the Official Starter. The Official Starter having satisfied himself of the above, and that there are no handlers in front of the gates, shall affect the start. No Handler shall assist or prevent a horse from leaving the stalls.
- (5) While loading is in progress, Jockeys and handlers will maintain a strict silence, except in so far as it necessary to attract the Starter's attention, or to facilitate loading.
- (6) It shall be the responsibility of every Jockey to ensure that the blindfold on his horse is removed before the start of the race.

5(F) Starting Gate Tests:

- (1) The following shall undergo a Starting gates Test:
 - (a) New horses having their first run.
 - (b) Horses with a record of refusing to be boxed.
 - (c) Horses with a record of being very slow to begin.
 - (d) Horses with a record of being wayward at the start.
 - (e) Horses with a record of being either fractious or difficult to be boxed.
- (2) A horse will not be eligible to be entered for a race until it has passed the required test conducted by an Official whose decision shall be final.

5(G) The Starting Gates Test Procedures are as follows:

- (1) The Official Starter shall conduct Starting gates tests on a day and at a time as shall be determined from time to time and notified by the Club. The decision of the appointed Officials on the outcome of the tests shall be final.
- (2) The Trainer, or in his absence, his Assistant Trainer or Supervisor, shall be present when a horse under his care is presented for a starting gate test.
- (3) When a horse is presented for a starting gate test, it shall not have been administered any medication or drug that is prohibited or which could affect its behaviour or performance.
- (4) When a horse is presented for a starting gate test, it shall not have been exercised that day if such exercise could, or is likely to, affect its behaviour or performance.
- (5) All horses will be loaded with the front gates closed unless otherwise instructed by the Official Starter.
- (6) A horse, which is subject to a starting gate test, is liable to be failed if it:
 - (a) is unable to reach the starting gates without substantial aid;
 - (b) cannot be loaded into the starting gates without substantial aid and within a reasonable time;
 - (c) becomes fractious or dangerous on being loaded or after being loaded in the starting stalls;
 - (d) fails to jump or run in a reasonably straight line or in a satisfactory manner.

(6) OWNERS

(6)(A) Registration Requirements for Owners:

- (1) Each person who has ownership or beneficial interest in a horse is required to be registered.
- (2) A horse owner of any age may apply for an owner's registration. If younger than 18 years of age, an applicant for an owner's registration shall submit a notarised affidavit from his/her parent or legal guardian stating that the parent or legal guardian assumes responsibility for the applicant's financial, contractual and other obligations relating to the applicant's participation in racing.
- (3) If the Club or its designee has reason to doubt the financial responsibility of an applicant for an owner's registration, the applicant may be required to complete a verified financial statement.
- (4) The true and entire ownership of each horse shall be registered with the Club. Any change in ownership or trainer of a horse shall be registered. Each owner shall comply with all registration requirements.

(6)(B) Registration Requirements for Multiple Owners:

- (1) If the legal owner of any horse is a partnership, corporation, limited liability company, syndicate or other association or entity, each shareholder, member or partner shall be registered as required of this Regulation.
- (2) Each partnership, corporation, limited liability company, syndicate or other association or entity shall disclose to the Club all owners holding a beneficial interest, unless otherwise required by the Club.

(6)(C) Lease Agreements:

- (1) A horse may be raced under lease, provided a completed lease form is registered with the Club. The lessor and lessee shall be registered as horse owners.

(6)(D) Stable Name Registration:

- (1) Registered owners and lessees may adopt a stable name subject to approval and subject to the completion of an appropriate registration form.

(6)(E) Racing Colours:

- (1) Owners or Trainers shall register racing colours, which are subject to approval and registration with the Club.
- (2) The racing colours to be worn by each jockey in a race, shall be described in the race day program, and any change shall be announced to the public prior to the commencement of the race.

(6)(F) Transfer of Ownership:

- (1) A transfer of ownership form shall be lodged with the Club and approval of a transfer of ownership is at the discretion of the Club.

(7) TRAINERS

(7)(A) Eligibility:

- (1) An applicant for registration as a trainer:
 - (a) Must be at least 18 years of age.
 - (b) Shall, in the case of not being previously registered, be qualified, as determined by the Club, by reason of:
 - i. at least two (2) years' experience as a registered Assistant Trainer, or comparable experience in other equine disciplines, or college-level education in equine science and/or horsemanship.
 - ii. submission of a statement as to character of the applicant, and one written statement from a currently registered owner stating intent to place one or more horses with the applicant, when registered.
 - iii. may be required to pass a written examination and/or oral interviews with the stewards and regulatory veterinarian; and demonstrate practical skills.
- (2) A Trainer registered and in good standing in another recognised jurisdiction, may be accepted if evidence of experience and qualifications are provided.

(7)(B) Trainer Responsibility:

- (1) The Trainer is responsible for the condition of horses entered in an official workout or race and is responsible for the presence of any prohibited drug, medication or other substance, including approved therapeutic medication in excess of the maximum allowable level, in such horses. A positive test for a prohibited drug, medication or substance, including approved therapeutic medication in excess of the maximum allowable level, as reported by an approved laboratory, is prima facie evidence of a violation of this rule. In the absence of substantial evidence to the contrary, the trainer shall be responsible.
- (2) Each trainer shall: -
 - (a) conduct his business properly and with due regard to the interest of his owners and is responsible for the good management and training of horses in his charge;
 - (b) be responsible for all matters pertaining to the running of his stable including stable routine, the wellbeing and proper feeding and care of the horses in his care, security inside the stable and the work of the stable staff allocated to him;
 - (c) conduct his business and fulfil his responsibilities in compliance with all directions of his owners and of the Club;

- (d) fulfil his obligations to his retained jockey, if any, in accordance with the document lodged and registered as provided for by the Rules and Regulations of Racing;
- (e) fulfil his responsibilities in compliance with the Rules and Regulations of Racing;
- (f) as soon as practicable report to the Veterinary Officer any veterinary condition having the potential to affect, or which might have affected, a horse's performance in any race.
- (g) Any trainer who fails to fulfil any one or more of his responsibilities commits an offence under the Rules and Regulations of Racing.

(3) No trainer shall: –

- (a) present for racing a horse that is unfit in any respect to race;
- (b) fail to report to the Stewards any matter that may affect or may have affected his horse's performance in any race;
- (c) auto-transfuse blood from a horse by drawing a quantity of blood from such horse, and then transfusing it back to the same horse at any time;
- (d) drench or infuse a horse at any time on the day of the race meeting at which the horse is due to run in a race;
- (e) present for a race or a stall test a horse that has been carelessly or neglectfully saddled;
- (f) fail to bring into the parade ring by the required time any horse in his charge that is to race.

(7)(C) Other Responsibilities:

(1) A trainer is responsible for:

- (a) the condition and contents of stalls, tack rooms, feed rooms, and other areas which have been assigned by the Club;
- (b) ensuring that fire prevention Rules are strictly observed in the assigned stable area;
- (c) providing a list of employees on Club's grounds and any other area under the jurisdiction of the Club. The list shall include each employee's name, occupation, registration number. The Club shall be notified by the trainer, in writing, within 72 hours of any change;
- (d) assuring the adequate care, custody, condition, fitness, health, safety and security of horses under his/her care, custody, and control;

- (e) disclosure of the true and entire ownership of each horse in his/her care, custody or control. Any change in ownership shall be reported immediately to, and approved by, the Club;
- (f) registering with the Club each horse in his/her charge within 72 hours of the horse's arrival on Club's grounds;
- (g) ensuring that, at the time of arrival at the track, each horse in his/her care is accompanied by a valid Vaccination Certificate which shall be filed with the Club;
- (h) immediately reporting the alteration of the sex of a horse in his/her care;
- (i) promptly reporting to the Club and the official veterinarian any horse on which a posterior digital neurectomy (heel nerving) is performed and ensuring that such fact is designated on its certificate of registration;
- (j) promptly reporting any errors with regard to the registrations papers as to sex alterations, of sex noted, digital neurectomy (heel nerving) and any known inaccuracy in the ownership, racing record or description of the horse;
- (k) promptly notifying the Official Veterinarian of any reportable disease and any unusual incidence of a communicable illness in any horse in his/her charge;
- (l) promptly reporting the death of any horse in his/her care on Club grounds to the Stewards and the Official Veterinarian;
- (m) maintaining a record of all administrations of medications, tonics and treatments to Horses in their care, custody, and control. Trainers must maintain medical records at their stables for a period of two (2) years and have them available for inspection by the Club at any time. Medical Records must include, as a minimum:
 - i. the name of the Horse
 - ii. the date of each medication administered
 - iii. the name, the dosage, and the route of administration of the product
 - iv. the name of the Veterinarian, the registered Trainer, and/or any designee responsible for administering and prescribing the medication
- (n) immediately reporting to the stewards and the official Veterinarian if he/she knows, or has cause to believe, that a horse in his/her custody, care or control has received any prohibited drugs or medication;
- (o) representing an owner in making entries and scratches and in all other matters pertaining to racing;
- (p) horses entered as to eligibility and weight or other allowances claimed;
- (q) ensuring the fitness of a horse to perform creditably at the distance entered;
- (r) personally attending to his/her horses in the paddock and supervising the saddling thereof, unless excused by the Stewards;

- (s) instructing the jockey to give his/her best effort during a race and that each horse shall be ridden to win;
- (t) attending the collection of a urine and or blood sample from the horse in his/her charge, or delegating a registered employee or the owner of the horse to do so; and
- (u) notifying horse owners upon the revocation or suspension of his/her trainer's registration.

(7)(D) Restrictions on Wagering:

- (1) A Trainer shall not bet against any horse they are registered to train.

(7)(E) Assistant Trainers:

- (1) Upon the demonstration of a valid need, a Trainer may employ an Assistant Trainer. The Assistant Trainer shall be registered prior to acting in such capacity on behalf of the Trainer and is bound, under the Rules and Regulations of Racing, by the responsibilities of the Trainer.
- (2) Qualifications for obtaining an Assistant Trainer's registration shall be prescribed and may include those requirements prescribed in Section 6(1) of this regulation.

(7)(F) Substitute Trainers:

- (1) A Trainer, absent for more than five days from his/her responsibility as a registered Trainer, or on a day in which he has a horse in a race, shall authorise another registered Trainer or his registered Assistant Trainer to substitute.
- (2) A substitute Trainer shall accept responsibility for the horses in writing and be approved by the Stewards.
- (3) The absent Trainer shall be responsible as absolute insurer of the condition of his horses entered in an official workout or race pursuant to the Rules and Regulations of Racing.

(8) JOCKEYS

(8)(A) Eligibility:

- (1) No person under 16 years of age shall be registered as a Jockey, except as otherwise specified by this Club.
- (2) A Jockey shall pass a physical examination given within the previous six months by a registered physician affirming fitness to participate as a Jockey. The Club and/or the Stewards may require that any Jockey be re-examined and may refuse to allow any Jockey to ride pending completion of such examination.
- (3) An applicant shall show competence by prior registration and the demonstration of riding ability, which may include the assessment of the Stewards with the consideration of the

recommendations from the starter, and the designated representatives of the horsemen at the track. The demonstration of riding ability is defined at a minimum of:

- (a) Breaking with a horse in company from the starting gate;
 - (b) Working a horse in company around the turn and down the stretch;
 - (c) Switching the riding crop from one hand to the other while maintaining control of the horse in a stretch drive;
 - (d) Causing a horse to switch leads coming out of the turn.
- (4) A Jockey shall not be an owner or trainer of any horse competing at the race meeting where the jockey is riding.

(8)(B) Offences by Jockeys:

(1) No jockey shall: -

- (a) Give any information regarding a trial of any horse in a stable for which he may be engaged to ride in any race or in any work to any person other than the owner or trainer of such horse. Discussions with representatives of the Media are acceptable if this is in the course of the promotion of horse racing in Saint Lucia
- (b) Accept or agree to any pecuniary or other gift or other consideration in connection with any race in which he rides or is to ride except from the nominator of the horse he rides or is to ride in such race.
- (c) Bet or facilitate the making of a bet or have any interest in a bet on any race or any contingency relating to a race meeting.
- (d) Own, take a lease of or have any interest in any racehorse.
- (e) Refuse or fail to submit themselves to an examination and/or to supply or allow to be taken such samples of his/her breath, blood, hair, urine or other body fluids as may be ordered by the Club and/or Stewards under these Rules and Regulations of Racing.
- (f) Weigh-out or attempt to weigh-out for a race when not wearing an approved safety vest.
- (g) While under the control of the Official Starter at the starting post: -
 - i. Disobey in any respect any order of the Official Starter.
 - ii. Fail to respond to any order or indication of an order by the Official Starter in relation to his declaration of a false start.
- (h) Fail or neglect to advise the Stewards of any injury, sickness, abnormality or condition that may affect or may have affected him in the performance of his riding duties.

- (i) Every Jockey when present on a racecourse at which he has an engagement to ride in a race, or who is to ride a horse in training or who has ridden a horse in training shall be free of prohibited substances as provided for in these Rules and Regulations. Any jockey who supplies a sample that is positive for a prohibited substance, may be stood down from riding and may be penalised.
- (j) Any Jockey who is stood down from riding under sub rule (9) of this rule, shall supply a negative sample of his/her breath, blood, hair, urine or other body fluids before he/she may be permitted to resume riding.
- (k) In the event of a preliminary analysis of a sample taken from a Jockey in pursuance of this rule indicates an irregularity, the Stewards may stand down that Jockey from riding until an inquiry into the irregularity has been determined.
- (l) Every Jockey who has an engagement to ride in a race shall be present at the Jockey's Room one hour before the first race they are competing in for the purpose of submitting themselves to undergo an examination, and/or to supply samples of breath, blood, hair, urine or other body fluids as may be ordered by the Stewards under these rules. Provided that any Jockey who refuses to supply a sample of his/her breath, blood, hair, urine or other body fluids or supplies a positive breath sample shall not be allowed to ride; and any Jockey who is unable to provide a sample of his/her urine or other body fluids must obtain permission from the Stewards before leaving the racecourse.
- (m) Subject to sub rule (9), a Jockey or an Apprentice Jockey whose registration has been suspended in accordance with these Rules and Regulations or by any other Recognised Racing Authority shall not ride in any race, official trial, or trackwork during the period of his/her suspension.
- (n) A Jockey or an Apprentice Jockey whose registration has been suspended in part, shall not ride in any race during the period of his suspension but may ride in official trackwork.
- (o) If a Jockey or an Apprentice Jockey becomes a disqualified person his/her registration is thereby revoked.

(8)(C) Jockeys' Fees and Retainers:

- (1) The riding fee for a Jockey and apprentices at meetings registered by the Club shall be \$EC140.00 and shall be payable when the Jockey or apprentice has weighed-out for and is fit to ride in a race. In addition, he/she shall be entitled to 10% of the value of all purse money in a race.
- (2) The value of the purse shall not include either any trophy won under the conditions of the race, or any money or trophy won for any person other than the nominator.
- (3) A retainer or any agreement or special arrangement for a Jockey must be in writing, in accordance with the Instructions and lodged for registration with the Club.
- (4) If a Jockey is prevented from riding by disqualification or suspension, any person who has retained him/her may cancel the retainer.

(8)(D) Apprentice Jockeys:

(A) APPRENTICE JOCKEY SCHEME :

- (1) Apprentice Jockeys shall be entitled to the following allowances: -
 - (a) 3 kg until the Apprentice Jockey has won twenty (20) races; thereafter
 - (b) 2 kg until the Apprentice Jockey has won forty (40) races; thereafter
 - (c) 1 kg until the Apprentice Jockey has won sixty (60) races.
- (2) After sixty (60) wins, the rider ceases to be an Apprentice and shall be classified as an open jockey.
- (3) The allowances stated in this rule are subject to the following conditions: -
 - (a) Apprentice registrations will be issued to Apprentice Jockeys aged 16 and above.
 - (b) Allowances may be claimed in all races, with the exception of any race which is officially designated a Graded Race (Grade I, II or III), or any race in which advertised conditions precludes the claiming of any apprentice allowance.
 - (c) In races confined to Apprentices Jockeys only, Apprentice Jockeys entitled to the lowest allowance in the scale, shall ride at the allotted weights and other Apprentice Jockeys will ride at the allowances to which they are entitled in relation to the lowest;
 - (d) Calculation of rides and wins for the Apprentice Jockeys allowances shall be made on the riding record of the Apprentice Jockey wherever he/she rides under the Rules of Racing.
- (4) The conditions set forth in Section A of this Regulation shall also apply.

(8)(E) Foreign Jockeys:

- (1) Upon making an application for registration in this jurisdiction, a Jockey from a foreign country shall produce a declaration from the jurisdiction in which they last rode, that he/she is duly registered as a jockey in that country and currently not under suspension. To facilitate this process, the jockey shall present the declaration sheet in a language recognised in this jurisdiction to the Club.

(8)(F) Jockey Responsibility:

- (1) A Jockey shall give a best effort during a race, and each horse shall be ridden to win. A Jockey shall not ease up on or coast to the finish, without reasonable cause, even if the horse has no apparent chance to win purse money.
- (2) No person other than the registered contract employer or a registered Jockey Agent may make riding engagements for a rider, except that a Jockey not represented by a Jockey Agent may make his own riding engagements.
- (3) A Jockey shall have no more than one Jockey Agent.

- (4) No revocation of a Jockey Agent's authority is effective until the Jockey notifies the Club in writing of the revocation of the Jockey Agent's authority.

(8)(G) Jockey Betting:

- (1) Registered Jockeys are not allowed to bet at a race meeting they are engaged to ride at.

(8)(H) Jockey's Spouse:

- (1) A Jockey shall not compete in any race against a horse which is trained or owned by the Jockey's spouse.

(8)(I) Jockey Fee Earned:

- (1) A Jockey's fee shall be considered earned when the Jockey is weighed out by the Clerk of Scales. In the event an Owner or Trainer elects to remove a Jockey from his or her mount after naming a rider at the time of the draw, the Stewards may require a double jockey fee to be paid. The fee to be paid is equal to that earned by the Jockey who rode the horse. The fee shall not be considered earned when a Jockey(s), of their own free will, take themselves off their mounts, where injury to the horse or rider is not involved. Any conditions or considerations not covered by the above rule shall be at the discretion of the stewards. All Jockey protests must be filed prior to the race.

(8)(J) Jockey Equipment:

- (1) Whip: The flap is the only allowable attachment to the shaft and must meet the specifications as approved by the Royal Saint Lucia Turf Club.
- (a) Length beyond the end of the shaft a maximum of one inch;
 - (b) Width a minimum of 0.8 inches and a maximum of 1.6 inches;
 - (c) No reinforcements or additions beyond the end of the shaft;
 - (d) No binding within seven inches of the end of the shaft; and
 - (e) Shock absorbing characteristics similar to those the contact area of the shaft.
- (2) No bridle shall exceed two pounds.

(9) PURSES AND COMMISSIONS

- (1) A race may be declared void where the number of actual entries is not the same in number as those advertised, but the value of a purse once advertised may not be reduced.
- (2) When a cup or plate or any added money is advertised to be run for, it shall be given in the event of a walk over.
- (3) When a walk over is the result of an arrangement by the owners of the horses engaged, neither the cup, nor any portion of the advertised money need be given.

- (4) If the winner has walked over, or no horse has been placed second, or in any lower place, the money provided by the conditions for the horse placed second, or in any lower place, shall not be given at all.
- (5) Purse money provided by the conditions of races shall be paid to the owners of horses pursuant to these Rules and Regulations and as outlined by the Club in its proposed schedule of races from time to time: -
- (6) Earned commissions shall be deducted from purse money and paid to the Jockey, trainer and groom in accordance with the following procedure: -
 - a) Jockeys and Apprentices: 10% on all prize money won
 - b) Trainers: 10% on all prize money won
 - c) Grooms: 2.5% on all prize money won
- (7) All purse money commissions paid to Jockeys and Apprentices is inclusive of the basic riding fees.

(10) FLAT RACING RULES OF THE RACE

Purpose: To describe the requirements and procedures for the rules of the race.

(10)(A) Entering:

- (1) No horse shall be qualified to start unless it is registered, its owners and trainer are registered and it has been entered,

FORM OF ENTRY OR NOMINATION

- (1) Entries shall be made in writing on the prescribed form and must be signed by the Trainer. It is at the sole discretion of Stewards to accept a nomination.
- (2) A correction of an accidental error may be allowed by the Stewards with or without payment of a fine of not more than EC one hundred and fifty dollars (EC\$150).
- (3) Entries shall not become void on the death of the person in whose name they have been made, and all rights, privileges and liabilities that could have attached to the deceased shall attach to his personal representative.

(10)(B) Procedure:

- (1) Entries and nominations shall not be considered until received by the Racing Secretary, who shall maintain a record of time of receipt of them for a period of one year.
- (2) An entry must be in writing, by telephone, by email or facsimile machine to the Racing Secretary. The entry must be confirmed in writing should the Stewards or the Racing Secretary so request.

- (3) No alteration may be made in any entry after the closing of entries, but an error may be corrected with permission of the Stewards.

(10)(C) Nominations:

- (1) Death of a nominator to a stakes race shall not render void any subscription, entry or right of entry. All rights, privileges and obligations shall be attached to the legal heirs of the decedent or the successor owner of the horse.
- (2) When a horse is sold privately or at public auction, any stakes engagements shall be transferred automatically to its new owner; except when the horse is transferred to a person whose registration is suspended, or who is otherwise unqualified to race or enter the horse, then such nomination shall be void as of the date of such transfer.

(10)(D) Closings:

- (1) Entries and nominations to stakes races shall close at the time designated by the Club in previously published conditions for such races. No entry, nomination or declaration shall be accepted after such closing time, except in the event of an emergency or if an overnight race fails to fill, the racing secretary may, with the approval of a steward, extend such closing time.
- (2) Except in the case of selected stakes races, a Late Entry may be payable to enter into said race.

(10)(E) Number of Starters in a Race:

- (1) The maximum number of starters in any race shall be limited to the number of starting positions afforded by the Club's starting gate and its extensions. The number of starters may be further limited by the number of horses which, in the opinion of the board of Stewards, after consultation with the horsemen's group and the jockeys' association, can be afforded a safe, fair and equal start.

(10)(F) Split or Divided Races:

- (1) In the event a race is cancelled or declared off, the Club may split any overnight race for which post positions have not been drawn.

(10)(G) Post Positions:

- (1) Post positions for all races shall be determined by lot and shall be publicly drawn in the presence of a Steward or Steward designee.

(10)(H) Restrictions on Horses Running:

- (1) Yearlings shall not run in any race.
- (2) No horse shall, run more than one race in one day.

(11) REGISTRATION OF HORSES

(11)(A) Rules for Registration of Horses and Names:

- (1) A register of horses shall be kept at the Registry Office, and shall contain the age, sex, pedigree, and colour of the horses and any distinguishing marks. Horses foaled in Saint Lucia will be registered in accordance with the Rules for registration of horses.
- (2) No horse shall be registered in the name of or transferred to a person who is not a registered owner in accordance with the Rules and Regulations of Racing.

(11)(B) Registration of Foreign Horses:

- (1) Horses foaled and registered in any country in which there is a recognised racing authority (stud book authority) shall only be accepted for registration by the Registry Office in accordance with the Rules for Registration of Horses.
- (2) Horses foaled in a country in which there is no racing authority (stud book authority) recognised by the Club shall not be eligible for registration in Saint Lucia.

(11)(C) Names of Horses:

- (1) Names can only be claimed for a horse by application at the Registry Office and where there is no other horse of the same name. The name shall be registered and the ruling in this respect shall be final.
- (2) The Club will request the renaming of a horse imported into Saint Lucia should said horse carry a name already registered in this jurisdiction.
- (3) If the same name is simultaneously claimed for two or more horses, the order of priority shall be determined by the earliest date and time received at the Registry Office.
- (4) No horse shall run un-named.
- (5) A horse's name shall not be changed: -
 - (a) After the horse has started;
 - (b) After the horse is three years old; or
 - (c) In the case of an imported horse whose name has been registered by another recognised Racing Authority (stud book authority) except where written permission has been given by that Club.
- (6) Names once claimed may be corrected without payment of a fee due to a misspelling only, if such correction is done not later than thirty (30) days after the date on which the written approval was issued.
- (7) Name may be claimed without charge for any horse, if the name is claimed by 31st March in the year it becomes a two-year-old, after that date a penalty fee of EC\$200.00 will be payable.
- (8) It is required that all names be claimed in writing for specific foals giving colour, sex, sire, dam and date of birth.

- (9) All names are subject to approval. The decisions of the Club to accept or reject any name shall be final in all cases.

(11)(D) Names Not Eligible:

- (1) Names currently in use.
- (2) Names of Classic Winners and Champion Horses at home and abroad so long as they have gone to Stud; or those appearing in the International List of Protected Names; the List of Protected names in Saint Lucia, or such lists from Turf Authorities as recognised by this Club.
- (3) Names consisting of more than eighteen (18) letters; spaces will be counted as letters and there will be no punctuation.
- (4) Names of living persons unless their written permission to use their name is filed with the Club.
- (5) Names similar in spelling or pronunciation to names already in use.
- (6) Names which are offensive or suggestive or which have a vulgar or obscene meaning.
- (7) Names considered in poor taste; or names that may be offensive to religious, political or ethnic groups.
- (8) Names which start with a sign other than a letter.

(11)(E) Registration of Name:

- (1) Concerning names registered and not protected, the following criteria will form the basis upon which a suitable period during which registered names will not be reused:
 - (a) in the case of stallions, 15 years after death or 15 years after the last recorded year in which they covered mares or at 35 years of age (whichever is the soonest).
 - (b) in the case of broodmares, 10 years after their death or 10 years after the last recorded year in which they were covered or produced a foal, or at 25 years of age.
 - (c) in the case of all other horses, 5 years after their death, or at 20 years of age (whichever is the soonest).

(12) WEIGHTS

(12)(A) Allowances:

- (1) Weight allowance must be claimed at time of entry and shall not be waived after the posting of entries, except by consent of the Stewards.

(2) Claim of weight allowance to which a horse is not entitled shall not disqualify it unless protest is made in writing and lodged with the Stewards at least one hour before post time for that race.

(3) All allowances are optional and may be waived at the time of entry by the Trainer or the Trainer's designee with the permission of the Stewards.

(12)(B) Penalties:

(1) Weight penalties are obligatory.

(2) Horses incurring weight penalties for a race shall not be entitled to any weight allowance for that race.

(13) EQUINE VETERINARY PRACTICES, HEALTH AND MEDICATION

Purpose: To describe requirements and procedures used to ensure the health and welfare of racehorses and to safeguard the interests of the public and the participants in racing.

(13)(A) Veterinarians under Authority of Official Veterinarian:

Veterinarians registered and practicing at any location under the jurisdiction of the Club are under the authority of the Official Veterinarian and the Stewards. The Official Veterinarian shall recommend the discipline that may be imposed upon a Veterinarian who violates the Rules and Regulations of Racing.

(13)(B) Appropriate Role of Veterinarians:

The following limitations apply to drug treatments of horses that are engaged in activities, including training, related to competing in pari-mutuel racing in Saint Lucia:

- (1) No drug may be administered except in the context of a valid Veterinarian-client patient relationship between an attending Veterinarian, the Trainer and the Horse. No drug may be administered without a Veterinarian having examined the Horse and provided the treatment recommendation. The Veterinarian, Trainer and Horse relationship requires the following:
 - (a) the Veterinarian, with the consent of the Trainer has accepted responsibility for making medical judgments about the health of the Horse
 - (b) the Veterinarian has sufficient knowledge of the Horse to make a preliminary diagnosis of its medical condition
 - (c) the Veterinarian has performed an examination of the Horse and is acquainted with its keeping and care

- (d) Every treatment must be fully justifiable by the medical condition of the horse receiving it.
 - (e) the Veterinarian is available to evaluate and oversee treatment outcomes, or has made appropriate arrangements for continuing care and treatment
 - (f) the relationship is maintained by Veterinary visits as needed
 - (g) the Veterinary judgments of the Veterinarian are independent and are not dictated by the Trainer of the Horse
- (2) No prescription drug may be administered except as prescribed by an attending Veterinarian.
- (3) The Trainer and Veterinarian are both responsible in ensuring compliance with these limitations on drug treatments of Horses, except the medical judgment to recommend a drug treatment or to prescribe a drug, is the responsibility of the Veterinarian; the decision to proceed with a drug treatment that has been so recommended is the responsibility of the Trainer.

(13)(C) Treatment Restrictions:

- (1) Only registered Trainers or their designees shall be permitted to authorise veterinary medical treatment of Horses under their care, custody and control.
- (2) This subsection does not apply to the administration of the following substances except in approved quantitative levels present in post-race samples or as they may interfere with post-race testing:
- (a) a recognised non-injectable nutritional supplement or other substance approved under the Rules of Racing
 - (b) a non-injectable substance on the direction or by prescription of a registered Veterinarian
 - (c) a non-injectable non-prescription medication or substance
- (3) No person shall possess a hypodermic needle, syringe capable of accepting a needle or injectable of any kind on Club grounds, unless otherwise approved by the Club. If a person has a medical condition which makes it necessary to have a syringe that person may, in writing, request permission from a registered physician explaining why it is necessary to possess a syringe. Should approval to carry a syringe be granted in writing, the approved person must comply with any conditions and restrictions that are set by the Club.
- (4) Practicing Veterinarians shall not have contact with an entered horse within 24 hours before the scheduled post time of the race in which the horse is scheduled to compete unless approved by the Official Veterinarian. Any unauthorised contact may result in the horse being scratched from the race in which it was scheduled to compete and may result in further disciplinary action by the Stewards.

(13)(D) Veterinarians' Reports:

- (1) Every Veterinarian who treats a racehorse at any location under the jurisdiction of the Club must fill out a Medication Report Form outlining any and all treatments performed.
- (2) The Medication Report Form shall be signed by the practicing Veterinarian.
- (3) A timely and accurate filing of a Medication Report Form that is consistent with the analytical results of a positive test may be used as a mitigating factor in determining the nature and extent, if any, of a rules violation.

(14) PROHIBITED PRACTICES

For the purposes of these Regulations and avoidance of doubt, a 'Clear Day' is defined as a 24 hour period from 12.01 am to 12 midnight and which excludes both the day of treatment or medication of a Horse and the day that it next races. For example, a medication given on Monday to a horse racing on the following Saturday would be described as four clear days from racing. That is, the clear days are Tuesday, Wednesday, Thursday and Friday.

(14)(A) Possession of Medications

No person may possess or use a drug, substance or medication on the Club grounds for which:

- (a) A recognised analytical method has not been developed to detect and confirm the administration of such substance.
- (b) The use of which may endanger the health and welfare of the horse or endanger the safety of the rider.
- (c) The use of which may adversely affect the integrity of racing.
- (d) No generally accepted use in equine care exists.

(14)(B) Extracorporeal Shock Wave Therapy

The use of Extracorporeal Shock Wave Therapy (ESWT) or Radial Pulse Wave Therapy (RPWT) shall not be permitted unless the following conditions are met:

- (1) Equipment must be registered with and approved by the Club before such machine is brought to or possessed on the Club's grounds and shall be limited to Veterinarians registered to practice by the Club and must be reported within twenty four (24) hours prior to treatment on the prescribed form to the Official Veterinarian.
- (2) Any treated Horse shall not be permitted to race for a minimum of ten (10) days following treatment.

- (3) Any Horse treated with ESWT or RPWT shall be added to a list of ineligible horses. This list shall be kept in the race office and accessible to the Jockeys and/or their agents during normal business hours and be made available to other regulatory jurisdictions.
- (4) A Horse that receives any such treatment without full compliance with this section and similar rules in any other jurisdiction in which the Horse was treated shall be placed on the Veterinarian's List.
- (5) Any person participating in the use of ESWT and RPWT or the possession of ESWT or RPWT machines in violation of this Regulation, shall be considered to have committed a Prohibited Practice and is subject to a Penalty.

(14)(C) Nasogastric Tubing

The use of a nasogastric tube (a tube longer than six inches) for the administration of any substance within twenty four (24) hours prior to the post time of the race in which the horse is entered, is prohibited without the prior permission of the Official Veterinarian or his/her designee.

(14)(D) Intra-articular Injections

A person shall not administer, attempt or cause to be administered, or use any medication by way of intra-articular (joint) injection to any Horse entered for a race within eight (8) clear days of the race in which the Horse is declared to run.

(14)(E) Physical Treatments

- (1) A person shall not attempt to use, or use an atomiser, face mask or other device for the administration of a Prohibited Substance to a Horse nominated for a race or event within one (1) Clear Day of the commencement of the race or event.
- (2) The use of physical treatments such as acupuncture, ultrasound therapy, laser therapies, chiropractic manipulations, magnetic and electrical devices including but not limited to; magnetic field therapy, vibratory massage systems and transcutaneous electrical nerve stimulation (TENS) and hyperbaric oxygen therapies are prohibited within one (1) Clear Day of the commencement of the race or event.

(14)(F) Ice Treatments

It is not permissible to stand a Horse in buckets of ice or iced water, nor is it permissible to use a bag, ice boots or bandages filled with ice to any part of the lower leg after 12.01 am on the day of a race in which a horse is declared to run. The use of such treatments is permitted after a race.

(15) PROHIBITED METHODS

(15)(A) Manipulation of Blood and Blood Components:

The following are prohibited at all times:

- (1) The withdrawal, manipulation and re-infusion or administration to a Horse of any quantity of autologous, allogenic homologous) or heterologous blood or red blood cell products of any origin into the circulatory system with the exception of those used for life-saving purposes or as veterinary regenerative therapies for the treatment of musculoskeletal disease or injury.
- (2) Artificially enhancing the uptake, transport or delivery of oxygen to a Horse, including, but not limited to perfluorochemicals, eafproxiral (RSR13) and modified haemoglobin products (e.g. haemoglobin-based blood substitutes, microencapsulated haemoglobin products), excluding supplemental oxygen and the use of licensed veterinary treatments in situations of acute, life-threatening anaemia.
- (3) Any form of intravascular manipulation of the blood or blood components by physical or chemical means and the administration of a blood transfusion to a Horse or allowing or causing a blood transfusion to be given for the purposes of enhancing its performance.

(15)(B) Chemical and Physical Manipulation:

Tampering, or attempting to tamper, in order to alter the integrity and validity of samples is prohibited. These methods include but are not limited to urine substitution or adulteration (e.g. proteases).

(15)(C) Gene Doping:

The following, with the potential to enhance athletic performance in the Horse, are prohibited:

- (1) The transfer of polymers of nucleic acids or nucleic acid analogues.
- (2) The use of normal or genetically modified hematopoietic cells.

(16) MEDICATIONS AND PROHIBITED SUBSTANCES

Upon a finding of a violation of these medication and prohibited substances under the Rules and Regulations, the Club shall impose penalties and disciplinary measures consistent with the recommendations contained therein. Penalties for all medication and drug violations shall

be investigated and reviewed on a case by case basis. Extenuating factors include, but are not limited to:

- (1) The past record of the Trainer, Veterinarian and Owner in drug cases.
 - (2) The potential of the drug(s) to influence a Horse's racing performance.
 - (3) The legal availability of the drug.
 - (4) Whether there is reason to believe the responsible party knew of the administration of the drug or intentionally administered the drug.
 - (5) The steps taken by the Trainer to safeguard the Horse.
 - (6) The probability of environmental contamination or inadvertent exposure due to human drug use.
 - (7) The purse of the race.
 - (8) Whether the drug found was one for which the horse was receiving a treatment as determined by the Medication Report Form.
 - (9) Whether there was any suspicious betting pattern in the race.
 - (10) Whether the registered Trainer was acting on the advice of a registered Veterinarian.
- (2) As a result of the investigation, there may be mitigating circumstances for which a lesser or no penalty is appropriate for the registrant and aggravating factors, which may increase the penalty beyond the minimum.

(16)(A) Prohibited Substances:

- (1) The following substances, including other substances with a similar chemical structure or similar biological effect, are prohibited at all times and can be the subject of out of competition testing:
 - (a) anabolic androgenic steroids and other anabolic agents, including but not limited to selective androgen receptor modulators (SARMs)
 - (b) selective opiate receptor modulators (SORMS)
 - (c) selective oestrogen receptor modulators (SERMS) and other anti-estrogenic substances
 - (d) beta-2 agonists, unless the substance is prescribed by a veterinarian as a bronchodilator at the appropriate dose
 - (e) erythropoiesis-stimulating agents, including but not limited to erythropoietin (EPO), epoetin alfa, epoetin beta, darbepoetin alfa, methoxy polyethylene glycol-epoetin beta, peginesatide and hypoxia inducible factor (HIF)-1 stabilisers
 - (f) oxygen carriers, including but not limited to perfluorochemicals, efaproxiral and modified haemoglobin products
 - (g) any agents that directly or indirectly affect or manipulate gene expression
 - (h) growth hormones and growth hormone releasing factors

- (i) insulins, insulin-like growth factor-1 (IGF-1), and other growth factors
- (j) synthetic proteins and peptides and synthetic analogues of endogenous proteins and peptides not registered for medical or veterinary use
- (k) aromatase inhibitors
- (l) agents modifying myostatin function, including but not limited to myostatin inhibitors
- (m) venoms or any species or derivatives thereof
- (n) hormone and metabolic modulators including but not limited to AMPK activators such as AICAR (5aminoimidazole-4-carboxamide-1-β-D-ribofuranoside) and peroxisome proliferator activated receptor δ (PPARδ) agonists such as GW1516
- (o) any substance which has not been approved for veterinary use in Horses or is not generally recognised by veterinary regulatory authorities as a valid veterinary therapeutic treatment
- (p) metabolites, artefacts and isomers of any of the substances specified in paragraph 16(A)(1)

(2) The following substances, including other substances with a similar chemical structure or similar biological effect, are prohibited on raceday:

- (a) substances capable at any time of causing an action or effect, or both an action and effect, within one or more of the following mammalian body systems:
 - i. the nervous system
 - ii. the cardiovascular system
 - iii. the respiratory system
 - iv. the digestive system
 - v. the urinary system
 - vi. the reproductive system
 - vii. the musculoskeletal system
 - viii. the blood system
 - ix. the immune system except for licensed vaccines against infectious agents
 - x. the endocrine system
- (b) endocrine secretions and their synthetic counterparts
- (c) masking agents
- (d) oxygen carrying agents that directly or indirectly affect or manipulate gene expression

(3) Threshold substances

The concentration specified in relation to each of the following substances is the minimum concentration that, in accordance with rule 16(1), must be present before a sample is regarded as testing positive for the substance.

Substance name	Threshold
Arsenic	• 0.3 microgram total arsenic per millilitre in urine
Boldenone	• 0.015 microgram free and conjugated boldenone per millilitre in urine from male horses (other than geldings)
Cobalt	• Cobalt at a mass concentration of 100 micrograms per litre in urine or 25 micrograms per litre in plasma
Total carbon dioxide	• 36 millimoles available carbon dioxide per litre in plasma
Dimethyl sulfoxide	• 15 micrograms dimethyl sulfoxide per millilitre in urine, or • 1 microgram dimethyl sulfoxide per millilitre in plasma
Estranediol	Male horses (other than geldings) • 0.045 microgram free and glucuroconjugated 5 α -estrane-3 β , 17 α -diol per millilitre in urine when, at the screening stage, the free and glucuroconjugated 5 α -estrane-3 β , 17 α -diol exceeds the free and glucuroconjugated 5,10 estrene-3 β ,17 α -diol in the urine
Hydrocortisone	• 1 microgram hydrocortisone per millilitre in urine
Methoxytyramine	• 4 micrograms free and conjugated 3-methoxytyramine per millilitre in urine
Salicylic acid	• 750 micrograms salicylic per millilitre in urine • 6.5 micrograms salicylic acid per millilitre in plasma
Testosterone	• 0.02 microgram free and conjugated testosterone per millilitre in urine from geldings • 100 picograms free testosterone per millilitre in plasma from geldings, fillies and mares (unless in foal) • 0.055 microgram free and conjugated testosterone per millilitre in urine from fillies and mares (unless in foal)
Theobromine	• 2 micrograms theobromine per millilitre in urine • 0.3 micrograms theobromine per millilitre in plasma
Prednisolone	• 0.01 microgram free prednisolone per millilitre in urine

Feed Contaminants – International Residue Limits in Urine #

(a)	Caffeine	50 ng/ml
(b)	Theophylline	250 ng/ml
(c)	Atropine	60 ng/ml
(d)	Scopolamine	60 ng/ml
(e)	Morphine (total) *	30 ng/ml
(f)	Bufotenine	10 μ g/ml

(g)	Hordenine	80 µg/ml
(h)	Theobromine	2 µg/ml

These refer to the free and conjugated concentrations unless indicated otherwise.

* Conjugated substances like morphine glucuronides can be difficult to hydrolyse.

N.B.: The conjugated substance is the substance that can be liberated from conjugates. Each threshold, including those for the same substance in urine and plasma, can be applied independently.

(4) Alkalinising Substances

The use of agents that elevate the Horse's TCO₂ or base excess level above those existing naturally in the untreated Horse at normal physiological concentrations is prohibited. The following levels also apply to blood gas analysis:

- (a) the regulatory threshold for TCO₂ is 37.0 millimoles per litre of plasma/serum or a base excess level of 10.0 millimoles
- (b) the decision level to be used for the regulation of TCO₂ is 37.0 millimoles per litre of plasma/serum plus the measurement uncertainty of the laboratory analysing the sample, or a base excess level of 10.4 millimoles per litre of plasma or serum

(5) Levothyroxine sodium and pergolide are prohibited substances which must not be present in a Horse's system on raceday. In accordance with paragraph 13(B)(1) the administration of these substances to a Horse in training must be justified with the expectation that the Horse would have undergone dynamic endocrine tests showing good evidence for their use.

(16)(B) Penalties:

A Horse shall be disqualified whenever the analysis of an official sample taken on race day demonstrates a positive finding for a prohibited substance as defined by the Rules and Regulations of Racing. The Trainer of the Horse shall be penalised except when he has discharged his responsibilities as described hereunder beyond reproach. In case of the demonstration of the presence of a substance found in a Horse tested out of competition, a Horse shall as well be ineligible to race until a minimum of one month has elapsed after the positive finding and can only then be entered in a race after an official negative doping test.

- (1) The registered Trainer, Owner, or any other registered party involved in a positive laboratory finding shall be notified in writing of the hearing and any resulting action. In addition, their presence may be required at any and all hearings relative to the case.
- (2) Any Veterinarian found to be involved in the administration of any drug which has no reason to be in a Horse's system, shall be referred to the police department for consideration of further disciplinary action and/or have their registration revoked. This is in addition to any penalties issued by the Club.

- (3) Any person who the Club believes may have committed acts in violation of criminal statutes may be referred to the appropriate law enforcement agency. Administrative action taken by the Club in no way prohibits a prosecution for criminal acts committed, nor does a potential criminal prosecution stall administrative action by the Club.
- (4) Procedures shall be established to ensure that a registered Trainer is not able to benefit financially during the period for which the individual has been suspended. This includes, but is not limited to, ensuring that Horses are not transferred to registered family members.

(16)(C) Medication Restrictions:

- (1) A finding by the official chemist of a prohibited substance in a test specimen of a Horse is prima facie evidence that the prohibited substance was administered to the Horse and, in the case of a post-race test, was present in the Horse's body while it was participating in a race.
- (2) Except as otherwise provided by this chapter, a person may not administer or cause to be administered by any means to a Horse a prohibited drug, medication, chemical or other substance, including any restricted medication pursuant to this chapter during the twenty four (24) hour period before post time for the race in which the Horse is entered.
- (3) No bisphosphonate is to be administered to a Horse
 - (a) under the age of three years and six months as determined by its recorded date of birth
 - (b) on the day of the race or on any of the thirty (30) days before the day of the race in which the Horse is declared to run

(16)(D) Approved Therapeutic Medication:

The following list of substances have been identified as having accepted therapeutic use in the Horse and as such, the Official Primary Laboratory for the purpose of identifying a sample as positive, will be guided by the screening limits as listed next to the name of the therapeutic substance.

Substance	Screening Limit
Acepromazine ^a	10 ng/mL of urine
Albuterol	1 ng/mL of urine
Betamethasone	10 pg/mL of plasma or serum
Bromhexine ^b	200 ng/mL of urine
Butorphanol	1 ng/mL of urine
Carprofen	100 ng/mL of urine
Cetirizine	6 ng/mL of plasma or serum
Dantrolene ^c	0.1 ng/mL of plasma or serum
Detomidine ^d	1 ng/mL of urine or LOD of detomidine in plasma or serum
Dexamethasone	5 pg/mL of plasma or serum
Diclofenac	5 ng/mL of plasma or serum
DMSO	10 mcg/mL of plasma or serum
Firocoxib	20 ng/mL of plasma or serum
Flunixin	20 ng/mL of plasma or serum
Furosemide	50 ng/mL in urine or 0.1 ng/mL of plasma or serum
Glycopyrrolate	3 pg/mL of plasma or serum
Guaifenesin	12 ng/mL of plasma or serum
Isoflupredone	100 pg/mL of plasma or serum
Ketoprofen	2 ng/mL of plasma or serum
Lidocaine ^e	20 pg/mL of plasma or serum
Meloxicam	10 ng/mL of urine
Mepivacaine ^f	10 ng/mL of urine or mepivacaine at LOD in plasma or serum
Methocarbamol	1 ng/mL of plasma or serum
Methylprednisolone	100 pg/mL of plasma or serum
N-Butylscopolammonium	25 ng/mL of urine
Omeprazole	1 ng/mL of urine
Phenylbutazone	100ng/mL of plasma or serum

Prednisolone		1 ng/mL of plasma or serum	
Romifidine		1 ng/mL of urine	
Salbutamol		0.5 ng/mL of urine	
Triamcinolone acetonide		100 pg/mL of plasma or serum	
Xylazine		0.01 ng/mL of plasma or serum	

- (a) Controlled by 2-(1 hydroxyethyl) promazine sulfoxide
- (b) Controlled by ambroxal
- (c) Controlled by 5-hydroxydantrolene
- (d) Controlled by 3'-hydroxydetomidine
- (e) Controlled by 3'-hydroxylidocaine
- (f) Controlled by 3'-hydroxymepivacaine

(16)(E) Medical Labelling:

- (1) No person, excluding registered Veterinarians, shall have in or upon Club grounds which that person occupies or has the right to occupy, or in that person's personal property or effects or vehicle in that person's care, custody or control, a drug, medication, chemical, foreign substance or other substance that is prohibited in a Horse on a race day unless the product is labelled in accordance with this subsection.
- (2) All allowable medications must have a prescription label which is securely attached to the medication container and clearly ascribed to show the following:
 - (a) name, address, and telephone number of the pharmacy or Veterinarian dispensing the medication
 - (b) prescription number when dispensed by a pharmacy
 - (c) date prescription filled
 - (d) name of the prescribing Veterinarian
 - (e) name of the Horse for whom the medication is prescribed or dispensed
 - (f) name of the Trainer or Owner of the horse for whom the product was dispensed
 - (g) dose, dosage, route of administration, and duration of treatment of the prescribed product (instructions for use)

- (h) name, active ingredient, quantity prescribed, expiration date (if applicable), beyond use date (if applicable), and batch number (if applicable)
 - (i) cautionary statements (if any), and if applicable, withdrawal time
- (3) The use of an expired medication is considered a violation of this rule.
- (4) Any medication that has a label that is missing, illegible, tampered with or altered, or in any other way does not comply with this section shall be considered a violation of these rules.
- (5) Any registrant that voluntarily surrenders any non-compliant medication shall not be considered to be in violation of the medication rules described in this section and/or a surrender shall not be deemed voluntary after a registrant has been advised or it is apparent that an investigatory search has commenced.

(16)(F) Bleeder List:

- (1) The Official Veterinarian shall maintain a Bleeder List of all horses which have demonstrated external evidence of exercise induced pulmonary haemorrhage. Copies of the certification shall be issued to the owner of the horse or the owner's designee upon request. A copy of the bleeder certificate shall be placed on the Horse's file with the Club.
- (2) Every confirmed bleeder, regardless of age, shall be placed on the Bleeder List and be ineligible to race for the following time periods:
- (a) first incident – 21 clear days
 - (b) second incident within 365-day period – 90 clear days
 - (c) third incident within 365-day period – 180 clear days
 - (d) fourth incident within 365-day period – barred for racing lifetime
- (3) A Horse may be removed from the Bleeder List only upon the direction of the Official Veterinarian, who shall certify in writing to the Club the recommendation for removal. Such certification must be applied for and issued before the Horse takes entry for a particular race day.
- (4) If a Horse displays blood at one nostril, the Trainer, Rider or any Person in charge of such a Horse shall without delay report such an occurrence to the Official Veterinarian.
- (5) No Horse which has, in the opinion of the Stewards or Official Veterinarian, suffered an attack of bleeding may be entered to Race again until it has completed an official extended workout, free of raceday prohibited substances as outlined in paragraph 16, to the satisfaction of the Official Veterinarian. After such workout, the Official Veterinarian shall conduct an endoscopic examination and the Horse will be subject to testing to confirm no evidence of prohibited substances prior to removal from the Bleeder List. All applications for removal must be accompanied by a fee of Two hundred dollars (\$200.00) plus VAT.

(6) A horse which has been placed on a Bleeder List in another jurisdiction may be placed on the Bleeder List in this jurisdiction provided that the other jurisdiction's criteria for the identification of bleeders are satisfactory to the Club.

(7) For the purpose of paragraph 16(F), 'Bleeding' is defined as the appearance of blood in both nostrils, irrespective of the quantity, unless in the opinion of the Official Veterinarian, such bleeding was caused by external trauma.

(17) OUT OF COMPETITION TESTING

(17)(A) Out-of-Competition Testing Authorised

The Club may, at a reasonable time, take blood, urine or other biologic samples from a Horse to enhance the ability of the Club to enforce its medication and anti-doping rules, (paragraph 16(A)(1)). The Club shall own such samples. A race day prohibition or restriction of a substance is not applicable to an out-of-competition test unless there is an attempt to race the horse in a manner that violates such rule.

(17)(B) Horses Eligible to be Tested:

Any Horse that is registered by the Club.

(17)(C) Selection of Horses to be Tested:

- (1) Horses shall be selected for sampling by the Official Veterinarian, Steward or a designee of any of the foregoing.
- (2) Horses may be selected to be tested at random, for cause, or as otherwise determined in the discretion of the Club or Stewards.

(17)(D) Cooperation with the Club

- (1) Registrants are required to cooperate and comply fully with the provisions of this rule.
- (2) No other person shall knowingly interfere with or obstruct a sampling.

(17)(E) General Procedure for Collecting Samples:

- (1) Samples shall be taken under the supervision and direction of a person who is employed or designated by the Club. All blood samples shall be collected by the Official Veterinarian or by a Veterinary Technician who is acting under appropriate supervision of the Official Veterinarian.

- (2) Upon request of a representative of the Club, the Trainer, Owner, or their specified designee shall provide the location of their Horses eligible for out-of-competition testing.
- (3) The Trainer, Owner, or their specified designee shall cooperate with the person who takes samples. This cooperation shall include without limitation:
 - (a) assisting in the immediate location and identification of the Horse
 - (b) making the Horse available as soon as practical upon arrival of the person who is responsible for collecting the samples
 - (c) providing a stall or other safe location to collect the samples;
 - (d) assisting the person who is collecting samples in properly procuring the samples
 - (e) witnessing the taking of samples including sealing of sample collection containers

(17)(F) Additional Procedures:

- (1) The person who takes samples shall provide identification and disclose the purpose of the sampling to the Trainer or designated attendant of the Horse.
- (2) A written protocol for the collection of samples shall be made generally available.
- (3) The chain of custody record for the sample (including a split sample where appropriate) shall be maintained and made available to the trainer, owner, or their designee when a complaint results from an out-of-competition test.

(17)(G) Analysis of Collected Samples:

- (1) The Club may have out-of-competition samples tested to produce information that may enhance its ability to enforce its medication and anti-doping rules.
- (2) Split sample rules and procedures for post-race testing shall apply to out of competition testing.
- (3) Any remaining sample may be used for research and investigation.

(17)(H) Penalties for Non-Cooperation:

- (1) Wilful failure to make a Horse available for sampling or other wilfully deceptive acts or interference in the sampling process shall carry a minimum penalty of a one-year registration suspension in addition to any other authorised penalties.

- (2) A selected Horse that is not made available for out-of-competition sampling shall be placed on the Steward's List. The Horse shall remain on the Steward's List for a minimum of 180 days unless the Owner can establish extraordinary mitigating circumstances.

(18) TESTING

(18)(A) Reporting to the Test Barn:

- (1) The official winning Horse and any other Horse ordered by the Club and/or the Stewards shall be taken directly to the test barn to have a blood and/or urine sample taken at the direction of the Official Veterinarian.
- (2) Random or extra testing may be required at any time on any Horse on Club grounds.
- (3) A track official shall monitor access to the test barn area during and immediately following each racing performance. All persons who wish to enter the test barn area must be a minimum of 18-years-old, be currently registered by the Club, display their identification badge and have a legitimate reason for being in the test barn area.

(18)(B) Sample Collection:

- (1) Sample collection shall be done in accordance with the guidelines and instructions provided by the Official Veterinarian and approved by the Club.
- (2) The official veterinarian shall determine a minimum sample requirement for the primary testing laboratory.
 - (a) if the specimen obtained from a Horse is less than the minimum sample requirement, the entire specimen shall be sent to the primary testing laboratory
 - (b) if a specimen obtained is greater than the minimum sample requirement but less than twice that amount, the portion of the sample that is greater than the minimum sample requirement shall be secured as the split sample
 - (c) if a specimen obtained is greater than twice the minimum sample requirement, a portion of the sample approximately equal to the amount provided for the primary testing laboratory shall be secured as the split sample
 - (d) split samples collected for simultaneous determination of TCO₂ levels shall be collected and shipped in accordance with 18(C)
 - (e) blood samples must be collected at a consistent time, preferably not later than one-hour post-race

(18)(C) Alkalinising Substances:

Pre-race Sampling, Post-race Testing:

- (1) Blood samples for TCO₂ and base excess testing should be collected within one-hour pre-race. The samples must be handled in a consistent manner and cannot be frozen.
- (2) Storage of Split Samples shall not apply to blood samples drawn for TCO₂ analysis.
- (3) Split sample analyses of TCO₂ must be run in parallel with the official sample at the official laboratory in order to avoid delays in testing that result in lower TCO₂ values as a result of sample degradation.
- (4) Blood samples must be processed and tested using standardised, reproducible, validated procedures.

Pre-race Sampling, Pre-race Testing:

- (1) The Club shall adopt standard operating procedures to secure pre-race samples and in undertaking pre-race testing.
- (2) Any Owner, Trainer or other registered delegate of the Owner or Trainer who refuses or fails to permit any Horse to be tested when a demand for testing has been made by an authorised Club designee shall have the applicable horse scratched.

(18)(D) Storage and Shipment of Split Samples:

- (1) Split samples obtained in accordance with the Rules and Regulations of Racing shall be secured and made available for further testing in accordance with the following procedures:
 - (a) A split sample shall be secured in the test barn under the same manner as the portion of the specimen acquired for shipment to a primary laboratory until such time as specimens are packed and secured for shipment to the primary laboratory. Split samples shall then be transferred to a freezer at a secure location approved by the Club.
 - (b) A freezer for storage of split samples shall be equipped with two hasps or other devices to provide for use of two independent locks. One lock shall be the property of the Club and one lock shall be the property of a representative of the group representing a majority of the horsemen at a race meeting. The locks shall be closed and locked so as to prevent access to the freezer at all times except as specifically provided by these rules.
 - (c) A freezer for storage of split samples shall be opened only for depositing or removing split samples, for inventory, or for checking the condition of samples.

- (d) When a freezer used for storage of split samples is opened, it shall be attended by both a representative of the Club and the Owner, Trainer or designee. A log shall be maintained that shall be used each time a split sample freezer is opened to specify each person in attendance, the purpose for opening the freezer, identification of split samples deposited or removed, the date and time the freezer was opened, and the time the freezer was closed and to verify that both locks were secured prior to and after opening of the freezer.
 - (e) Any evidence of a malfunction of a split sample freezer or samples that are not in a frozen condition during storage shall be documented in the log and immediately reported to the Official Veterinarian or a designated Club representative.
- (2) Provisions for split sample testing for TCO₂ analysis shall be arranged by the Trainer or designee at the time of sampling. The Trainer shall be responsible for the cost of split sample testing. The Trainer or designee shall make arrangements for payment prior to or at the time of sampling. Split sample analysis of TCO₂ must be run in parallel with the official sample at the official laboratory.
 - (3) A Trainer or Owner of a Horse having been notified that a written report from a primary laboratory states that a prohibited substance has been found in a specimen obtained pursuant to these Rules and Regulations of Racing may request that a split sample corresponding to the portion of the specimen tested by the primary laboratory be sent to another laboratory approved by the Club. The request must be made in writing and delivered to the Club not later than three (3) business days after the Trainer of the Horse receives written notice of the findings of the primary laboratory. Any split sample so requested must be shipped within an additional seventy two (72) hours.
 - (4) The Owner or Trainer requesting testing of a split sample shall be responsible for the cost of shipping and testing. Failure of the Owner, Trainer or designee to appear at the time and place designated by the Official Veterinarian shall constitute a waiver of all rights to split sample testing. Prior to shipment, the Club shall confirm the split sample laboratory's willingness to simultaneously provide the testing requested, the laboratory's willingness to send results to both the person requesting the testing and the Club, and arrangements for payment satisfactory to the split sample laboratory. If a reference laboratory will accept split samples, that laboratory must be included among the laboratories approved for split sample testing.
 - (5) Prior to opening the split sample freezer, the Club shall provide a split sample chain of custody verification form that shall provide a place for recording the following information and such other information as the official Veterinarian and or the Club may require. The form shall be fully completed during the retrieval, packaging, and shipment of the split sample. The split sample chain of custody form requirements is:
 - (a) the date and time the sample is removed from the split sample freezer
 - (b) the sample number
 - (c) the address where the split sample is to be sent
 - (d) the name of the carrier and the address where the sample is to be taken for shipment

- (e) verification of retrieval of the split sample from the freezer
 - (f) verification of each specific step of the split sample packaging in accordance with the recommended procedure
 - (g) verification of the address of the split sample laboratory on the split sample package
 - (h) verification of the condition of the split sample package immediately prior to transfer of custody to the carrier
 - (i) the date and time custody of the sample is transferred to the carrier
- (6) A split sample shall be removed from the split sample freezer by a Club representative in the presence of a representative of the horsemen.
- (7) The Owner, Trainer or designee shall pack the split sample for shipment in the presence of the representative of the Club, in accordance with the packaging procedures recommended by the Club. A form shall be signed by both the horsemen and the Club representative to confirm the packaging of the split sample. The exterior of the package shall be secured and identified with initialled tape, evidence tape or other means to prevent tampering with the package.
- (8) The package containing the split sample shall be transported in a manner prescribed by the Club to the location where custody is transferred to the delivery carrier charged with delivery of the package to the Club approved laboratory selected by the Owner or Trainer.
- (9) The Owner, Trainer or designee and the Club representative shall inspect the package containing the split sample immediately prior to transfer to the delivery carrier to verify that the package is intact and has not been tampered with.
- (10) The split sample chain of custody verification form shall be completed and signed by the representatives of the Club and the Owner or Trainer. A Club representative shall keep the original and provide a copy for the Owner or Trainer.

(18)(E) Frozen Samples:

- (1) The Club has the authority to direct the official laboratory to retain and preserve by freezing samples for future analysis. Positive Tests arising from this analysis are subject to penalties in effect on the date of the race. The fact that purse money may have been distributed prior to the issuance of a laboratory report from the future analysis of a frozen sample shall not be deemed a finding that no drug substance prohibited by these rules has been administered.

(18)(F) Laboratory Minimum Standards:

- (1) Laboratories conducting either primary or split post-race sample analysis must meet at least the following minimum standards:
- (a) a testing laboratory must have, or have access to LC/MS instrumentation for screening and/or confirmation purposes

- (b) a testing laboratory must be able to meet minimum standards of detection, which is defined as the specific concentration at which a laboratory is expected to detect the presence of a particular drug and/or metabolite or by the adoption of a regulatory screening limit.
- (c) conform with the Guide for establishing the presence of prohibited substances ISO 17025

(19) REGISTRATION

(19)(A) Imported Horses:

- (1) No application for registration will be accepted for any horse which is bred in or imported from any country in which there is no Turf Authority or Stud Book recognised by this Club.
- (2) No application for registration will be accepted for any horse bred and/or imported from outside the West Indies, until such horse has been imported into Saint Lucia.
- (3) The requirements to register a horse Imported into Saint Lucia are:
 - (a) The Original Stud Book/Export Certificates issued by the Stud Book Authority of the country in which the horse was foaled.
 - (b) A Veterinary Officer's Certificate of identification after inspection on arrival in the country by a Veterinarian registered by the Club, on the prescribed form.
 - (c) Certificate from Stud Book Authority indicating the horse has been blood-typed or DNA typed. If not blood-typed/DNA typed abroad, such a test is to be done locally by the Official Veterinarian and cost to be paid by the Owner.
 - (d) Horse must be implanted with an approved Microchip and if it fails to have one a Microchip will be implanted by the official Veterinarian at the Owner's cost.
 - (e) Two sets of four (4) colour photographs of the horse (Postcard size – 3 1/2 x 5) taken as follows: -
 - i) Head/Face iii) Left side of body
 - ii) Right side of body iv) Hind Quarters
 - (f) Owners of horses must, prior to being eligible to race, produce a Certificate of its detailed racing performances; duly certified by the Turf Authority in the Country from which the horse has been exported.

The issue of a Certificate of Registration is dependent on compliance with each of the requirements as stated above.

(g) Fees and Penalties

- (1) A registration fee to be determined as follows: -

- a. If paid within three months of arrival - \$300.00, if blood-typed/DNA abroad - \$600.00 inclusive of blood-type/DNA locally.
- b. If paid after three months of arrival and before the expiration of six months - \$500.00, if blood-typed/DNA abroad, \$800.00 inclusive of blood/DNA test locally.
- c. If paid after six months and up to the first anniversary of the arrival of the horse in the country - \$1000.00, if blood-typed/DNA aboard; \$1,300.00 inclusive of blood test/DNA locally.
- d. An imported horse shall not be registered after it has been in the country more than one year; unless with special permission of the Club.

(19)(B) Vaccination:

(1) Horses imported from outside of Saint Lucia:

- (a) No application for registration of any horse born outside of Saint Lucia will be accepted by the Club, unless the horse was vaccinated against Equine Influenza, in the country from which imported within thirty (30) days prior to the date of export.
- (b) No application for registration of any horse born outside of Saint Lucia, will be accepted by the Club unless evidence is provided that such a horse was vaccinated against Equine Rhinopneumonitis Strains EHV 1 and 4 plus, as well as Tetanus, within four (4) months prior to being imported into Saint Lucia.
- (c) Further, such horse shall receive booster injections for Equine Influenza and Equine Rhinopneumonitis every four (4) months; and Tetanus once annually, or within such time as the Club directs.
- (d) No horse born outside of Saint Lucia will be allowed to enter Club grounds unless it has been vaccinated against Equine Influenza in the country from which imported within thirty (30) days prior to the date of export or such time as the Club in an emergency shall decide.

(2) Entry to Racecourse Property:

- (a) No horse will be allowed to enter Club grounds unless it has received inoculations in accordance with the above provision, or such time as the Club, in an emergency, shall decide. None of these inoculations shall have been given within the previous ten (10) days including the day of entry.
- (b) Having entered any racecourse paddock, horses shall receive booster inoculations at intervals not more than four (4) months apart; and every Trainer is required to submit to the Club a certificate issued by the attending Veterinarian, certifying that the booster was given within seventy-two (72) hours of the administration of said booster inoculation. Failure to do so the horse is liable to be ejected from the said paddock.

(20) SCHEDULE OF FEES

**ROYAL SAINT LUCIA TURF CLUB FEES FOR SERVICES RENDERED
PURSUANT TO Rules and Regulations of Racing. Effective date.....**

A) ANNUAL LICENCE FEES	AMT	VAT	TOTAL
EC\$		EC\$	EC\$
Groom -New / Renewal	20	-	20
Exercise Lad -New / Renewal	20	-	20
Stable Lad -New / Renewal	20	-	20
Jockey -New / Renewal	100	-	100
Apprentice Jockey -New / Renewal	50	-	50
Trainers - (New)	800	-	800
Renewal	500	-	500
Asst. Trainers - New	500	-	500
Renewal	300	-	300
Farrier New / Renewal	100	-	100
B) REGISTRATION OF:			
Change of Ownership	40	5	45
Contingencies On Sales (Limited to 2 years)	50	6.25	56.25
1 Year Lease	50	6.25	56.25
Registration of 1st Time Owner	200	25	225
Registered Owner (Renewal)	50	6.25	56.25
Registration of Initial Syndicate & Agreement	300	37.5	337.5
Syndicate Agreement Renewal	150	18.75	168.75
Initial Registration of Companies	800	100	900
Annual Renewal	200	25	225
Company Authorised Agent (Annually)	100	12.5	112.5
Microchip	150	150	150
DNA	200	25	225
(a) RUSH DNA	-	-	557
Reg. Of Horse Name after March 31 st			
(In Year it becomes 2.y.o) (Penalty)	100	-	100
To change Horse name / Correction	200	25	225
Reg. Of Agreement between single Owners	50	6.25	56.25
Replacement Lost ID Badges	100	-	100

Authorised Agent	70	8.75	78.75
Assumed Name 1 Year	80	10	90
Life	300	37.5	337.5
Colours 1 Year	20	2.5	22.5
3 Years	50.00	6.25	56.25
Life	250	31.25	281.25
C) CERTIFICATES:			
Racing performance certificate- (Computerised)	100	12.5	112.5
App. For export certificate	200	25	225
D) OTHER GENERAL:			
Appeals against decision of Stewards	2000	-	2000
Tabulated Pedigree – (Five Generation)	40	5	45
Failure to report castration	500	-	500
E) SALE OF PUBLICATIONS:			
Rules of Racing	30	3.75	33.75
Rules for Reg. & Classification of horses	20	2.5	22.5
F) IMPORTED HORSES:			
If paid within 3 months of arrival	300	37.5	337.5
If paid after 3 months but before the expiration of 6 months of arrival	500	62.5	562.5
If paid after 6 months and up to the first anniversary of the arrival of the horse in the country	1000	125	1125
G) MISCELLANEOUS:			
Agreement between Owner & Jockey	50	6.25	56.25
Agreement between Trainer & Jockey	50	6.25	56.25
Agreement (Training) between Trainer & Owner	500	62.5	562.5
Certified copy of registration certificates	100	12.5	112.5

(21) WEIGHT FOR AGE SCALE

SCALE OF WEIGHT FOR AGE FOR SAINT LUCIA

800m-1300m

	Region*	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
2 Y.O	N.H.			48	49	50	51						
3 Y.O	N.H.	52.5	53	53.5	54	54.5	55	55.5	56	56.5	57	57.5	58
	S.H.	55.5	56	56.5	57	57.5	58	52.5	53	53.5	54	54.5	55
4 Y.O	N.H.	59	59	59	59	59	59	59	59	59	59	59	59
	S.H.	59	59	59	59	59	59	58.5	58.5	59	59	59	59
5.Y.O+	All	59	59	59	59	59	59	59	59	59	59	59	59

1400m-1600m

	Region*	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
3 Y.O	N.H.	51.5	52	52.5	53	53.5	54	54.5	55	55.5	56	56.5	57
	S.H.	54.5	55	55.5	56	56.5	57	51.5	52	52.5	53	53.5	54
4 Y.O	N.H.	57.5	58	58.5	59	59	59	59	59	59.5	60	60	60
	S.H.	59	59	59.5	60	60	60	57.5	58	58.5	59	59	59
5.Y.O+	All	60	60	60	60	60	60	60	60	60	60	60	60

1700m-2000m

	Region*	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
3 Y.O	N.H.	51.5	52	52.5	53	53.5	54.5	55	55.5	56	56.5	57	58
	S.H.	55	55.5	56	56.5	57	58	51.5	52	52.5	53	53.5	54.5
4 Y.O	N.H.	58.5	58.5	59	59.5	59.5	60	60	60	60	60.5	60.5	61
	S.H.	60	60	60	60.5	60.5	61	58.5	58.5	59	59.5	59.5	59.5
5.Y.O+	All	61	61	61	61	61	61	61	61	61	61	61	61

2100m-2400m

	Region*	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	COT	NOV	DEC
3 Y.O	N.H.	50.5	51	51.5	52	53	54	54.5	55	55.5	56	57	58
	S.H.	54.5	55	55.5	56	57	58	50.5	51	51.5	52	53	54
4 Y.O	N.H.	58	58	58.5	59	59.5	60	60	60	60	60	60.5	61
	S.H.	60	60	60	60	60.5	61	58	58	58.5	59	59.5	60
5.Y.O+	All	61	61	61	61	61	61	61	61	61	61	61	61

* **N.H.** denotes weights to be carried by horses from the Northern Hemisphere
S.H. denotes weights to be carried by horses from the Southern Hemisphere