

## RD4394

### Minnesota Racing Commission

#### STATEMENT OF NEED AND REASONABLENESS

#### **Possible Amendment to Rules Governing Horse Racing, Minnesota Rules, Parts 7869 Definitions; 7871 Televised Racing Days; 7879 Stewards; 7883 TB/QH Horse Races; 7884 Harness Races; 7897 Prohibited Acts**

#### INTRODUCTION

The Minnesota Racing Commission (“MRC”) is proposing the following amendments to rules governing Horse Racing as briefly summarized below:

**Part 7869.0100 subp. 32.** The industry requested this rule change to exclude cloned horses from horse racing. Minnesota Statutes Chapter 240 already defines “horse racing” so this change will clarify the definition of “horse” under MRC rules to exclude cloned horses.

**Part 7869.0100, subp. 32b.** A definition of “lapped on” is being proposed in order to clarify rules relating to interference and pylons for harness racing.

**Part 7869.0100, subp. 57.** The definition of “simulcast” is being repealed because it is in statute.

**Part 7869.0200, subp. 1.** This proposed change updates and adds a cross reference in the rule. United States Trotting Association (USTA) Rule 10 regarding claiming races is now USTA Rule 11. USTA Rule 18.25 defines permissible sulkies and is being incorporated by reference.

**Part 7869.0200, subp. 2-3.** This addition is required per the Revisor’s Office to incorporate certain industry model rules by reference. Subpart 3 clarifies the process by which MRC will adopt changes to the Association of Racing Commissioners International (ARCI) model rules.

**Part 7871.0010.** These proposed changes simplify and streamline the process for approval of pari-mutuel pools.

**Part 7879.0200, subp. 1.** This proposed change extends the stewards’ authority to 90 days beyond the race meet in order to address matters that arose during the course of the meet. The rule currently only applies to licensed county fair racing.

**Part 7879.0200, subp. 2.** This proposed change conforms the rule to the existing practice of stewards making recommendations on qualifications of Class C license applicants to the Commission through executive the director who has been delegated authority under Minnesota Statutes, section 240.04, subdivision 4 to act on applications.

**Part 7879.0200, subp. 3.** This proposed change conforms the criteria for stewards when making recommendations on licensure to those set forth in statute and rule. Existing criteria in the rule are vague and difficult to apply.

**Part 7883.0100, subp. 1.** Adds language that was inadvertently omitted in the final rule as previously published. Clarifies that horses owned or under the control of individuals whose licenses have been denied or revoked, as well as those whose licenses have been suspended, are ineligible to race.

**Part 7883.0100, subp. 2**--Non-substantive edit for clarification.

**Part 7883.0100, subp. 6**--The proposed change makes clear that a person whose license is revoked or denied may not enter a horse in a race.

**Part 7883.0100, subp. 7**--The proposed change addresses concerns that allowing a trainer to enter four horses in a race can compromise the integrity of both the entry process and the running of the race. The industry and interested parties agreed that limiting trainer entries to three per race was reasonable.

**Part 7883.0100, subp. 11** -- Conforms the process for drawing entries to current practice.

**Part 7883.0100, subp. 16** -- Conforms Quarter horse workout requirements to those found in Iowa, Oklahoma and Texas, which are states from which many Quarter horses come to race at Canterbury Park. The change also reflects differences between the Quarter horse and Thoroughbred breeds in terms of pre-race training needs and regimens. Clarifies Thoroughbred workout requirements to conform to other jurisdictions.

**Part 7883.0140, subp. 15**--Clarifies the procedure for protesting a claim and the basis for avoidance of a claim in the event of a medication violation involving the claimed horse. Provides for who is responsible for the horse's expenses when a claim is voided and specifies when a claim may not be voided.

**Part 7883.0140, subp. 22**--This rule change was suggested to accommodate owners of horses who may be restricted from racing in other states by the current rule even though there may be no more races available for them at the Minnesota racetrack, or in other special circumstances as approved by the stewards.

**Part 7884.0230** -- Current Minnesota rules on sulkies are obsolete. The proposed change incorporates USTA rules on sulkies by reference. This serves to keep our sulky requirements current and consistent with those in other jurisdictions.

**Part 7884.0260, subp. 10** -- Conforms our rule to industry uniform rules which provide that disqualifications due to fouls or driving violations are at the discretion of the stewards, whose decisions are final.

**Part 7884.0260, subp. 11**--The proposed rule is intended to clarify the driving rules relating specifically to pylons and to make the bases for disqualification more objective.

**Part 7890.0110, subp. 9-10** — Updates the existing medication rules consistent with the new provisions on incorporation by reference in Part 7869.0200.

**Part 7897.0120, subp. 1**--Conforms the scope of “persons” subject to enforcement action to the statutory section on prohibited acts, which covers both licensees and other persons.

**Part 7897.0120, subp. 3**--Expands reciprocity of rulings to persons who have been denied a license in another jurisdiction. If the MRC can revoke or suspend a licensee under reciprocity rules (where the licensee has a property interest in the license), then it should be clear in rule that it has the power to deny a license, the granting of which is a privilege. Further, the authority to deny a license to an applicant previously denied in another state or to exclude such person under 240.27 is already in statute. Also clarifies that reciprocity applies to gaming authorities as well as racing authorities in other jurisdictions.

**Part 7897.0130, subp. 3**--The proposed rule clarifies and simplifies the factors used to determine whether a violation is “serious” and adds criteria that are consistent with Chapter 240, e.g. public health, safety and welfare and the integrity of racing. The change would also make these same criteria applicable to determining the *amount* of fines.

**Part 7897.0130, subp. 4**--The proposed rule adds ARCI Class 1 foreign substance violations to the list of per se serious violations. Class 1 substances are prohibited (as opposed to therapeutic) substances that have no generally accepted medical use in a race horse and whose pharmacologic potential for altering the performance of a race horse is very high.

**Part 7897.0130, subp. 5**-- The proposed changes are intended to bring our fine schedule into line with the ARCI uniform penalty guidelines, which are being adopted in this proposed rule package. The current fine schedule is outdated and inadequate to function as a deterrent to serious and repeat offenders or to offset commission costs of enforcement actions.

**Part 7897.0130, subp. 6**--The proposal would allow for additional penalties and sanctions for licensees who are delinquent in payment of fines to the State of Minnesota.

**Part Rule 7897.0150, subp. 2**--The proposed rule conforms the stewards’ penalty authority to the statute, codifies the current practice of using the ARCI Uniform penalty guidelines for medication violations, clarifies the meaning of “aggravating” and “mitigating” factors in arriving at appropriate penalties, and articulates the goals to be considered in determining such penalties.

## **ALTERNATIVE FORMAT**

Upon request, this Statement of Need and Reasonableness can be made available in an alternative format, such as large print, Braille, or audio. To make a request, contact Patricia Sifferle at the Minnesota Racing Commission, 15201 Zurich Street, Suite 212, Columbus, MN 55025; phone 651-925-3956, fax 651-925-3954; or email [patricia.m.sifferle@state.mn.us](mailto:patricia.m.sifferle@state.mn.us). TTY users may call the Racing Commission at 800-627-3529.

## **STATUTORY AUTHORITY**

The Racing Commission's statutory authority to adopt the rules is set forth in Minnesota Statutes section 240.23, which provides as follows:

The Commission has the authority, in addition to all other rulemaking authority granted elsewhere in this chapter to promulgate rules governing: a) the conduct of horse races held at licensed racetracks in Minnesota, including but not limited to the rules of racing, standards of entry, operation of claiming races, filing and handling of objections, carrying of weights, and declaration of official results, b) wire and wireless communications between the premises of a licensed racetrack and any place outside the premises, c) information on horse races which is sold on the premises of a licensed racetrack, d) liability insurance which it may require of all racetrack licensees, e) the auditing of the books and records of a licensee by an auditor employed or appointed by the Commission, f) emergency action plans maintained by licensed racetracks and their periodic review, g) safety, security, and sanitation of stabling facilities at licensed racetracks, h) entry fees and other funds received by a licensee in the course of conducting racing which the Commission determines must be placed in an escrow account, i) affirmative action in employment and contracting by licensed racetracks, and j) procedures for the sampling and testing of any horse that is eligible to race in Minnesota for substances or practices that are prohibited by law or rule; and (k) any other aspect of horse racing or pari-mutuel betting which in its opinion affects the integrity of racing or the public health, welfare, or safety.

This provision was enacted in 1983 and only amended once since January 1, 1996. Items b and j above were added effective May 25, 2015. *Laws of Minnesota 2015*, Chapter 77, art. 4 § 20. However, the MRC believes this was a non-substantive amendment because it already had catch-all authority under item k to promulgate rules governing any aspect of horse racing or pari-mutuel betting which in its opinion affect the integrity of racing or the public health, welfare or safety. In any case, the MRC did promulgate new rules relating to item j above within 18 month of enactment of this amendment. R-4380, governing horse medication and testing, was adopted on March 18, 2016.

## REGULATORY ANALYSIS

**(1) A description of the classes of persons who probably will be affected by the proposed rule, including classes that will bear the costs of the proposed rule and classes that will benefit from the proposed rule.**

The people most affected by these proposed rule changes are racetracks, horse owners and trainers, and other persons who participate in horse racing. All stakeholders will benefit from the updating, simplification and clarification of existing rules and the elimination of obsolete rules. Horsepersons, especially trainers and owners, will benefit from having some key Unites States Trotting Association (USTA) and Association of Racing Commissioners International (ARCI) rules incorporated by reference since they typically race in multiple jurisdictions and uniform rules help assure compliance.

New owners who “claim” horses will have increased protections (right to void the claim) in the event the claimed horse tests positive for a banned substance. People who claim horses will also benefit from being allowed to race at another facility under certain circumstances, rather than having to wait a full 60 days or until the end of the race meet under the current rule.

The integrity of racing will benefit from the proposal that no trainer shall enter more than three horses in an overnight race. Harness racing will also benefit from clear rules on which horses may be disqualified for severe driving infractions.

The increased fine authority for rule violations could potentially result in increased costs to horse trainers, jockeys and others who violate the rules. However, the commission hopes increased penalties will deter would-be violators and there will be fewer fines issued. Moreover, fine authority has not been updated to stay in line with that in other racing jurisdictions.

Horse trainers will benefit from the use of the ARCI International Uniform Classification Guidelines of Foreign Substances to impose penalties for medication violations. These guidelines are an integral part of the National Uniform Medication Penalty System which is in place in most racing states. This will provide a consistent clear guideline for use of foreign substances and resulting penalties. The proposed rule also provides that the stewards can consider mitigating or aggravating factors when assessing penalties.

**(2) the probable costs to the agency and to any other agency of the implementation and enforcement of the proposed rule and any anticipated effect on state revenues**

There is little or no anticipated change in costs to the Commission or to any other state or local agency due to these proposed amendments. The increased fine authority could potentially result in more revenue to the special revenue fund dedicated to racehorse retirement, but the hope is that the potentially higher fines will deter would-be rule violators and fewer fines will actually be issued.

**(3) a determination of whether there are less costly methods or less intrusive methods for achieving the purpose of the proposed rule**

The commission believes the proposed changes will not be intrusive, as they mainly seek to update and clarify existing rules and make them consistent with other jurisdictions, industry practices or uniform model rules. The cost to implement them will be minimal. The commission has not identified any less costly or less intrusive methods for achieving the purposes of the proposed rules.

**(4) a description of any alternative methods for achieving the purpose of the proposed rule that were seriously considered by the agency and the reasons why they were rejected in favor of the proposed rule.**

Industry participants and stakeholders presented many of the proposed rule changes. Others are proposed in order to update, clarify or simplify existing rules. Many of the proposed rules have been used by the commission as guidelines or reflect current practices in the industry. However, to the extent these guidelines and practices affect the rights and duties of licensees, the commission believes they should be adopted in rules rather than implemented as racetrack "house rules" or commission guidelines.

**(5) the probable costs of complying with the proposed rule, including the portion of the total costs that will be borne by identifiable categories of affected parties, such as separate classes of governmental units, businesses, or individuals**

Persons who violate the rules would be subject to higher fines. The minimum fine for a "serious violation" would go from \$500 to \$1,000 and the maximum fine would go from \$5,000 to \$50,000 for repeat serious offenders. The maximum fine for other non-serious violations would go from \$499 to \$999. These fine levels are consistent with the ARCI Recommended Penalties and Model Rule.

There are no other anticipated costs to governmental units, businesses or individuals. Most of these proposals seek to clarify or simplify existing rules, conform the rules to industry practice, or

conform rules to national trade association rules for the sake of keeping them up-to-date and consistent with practice in other racing jurisdictions.

**(6) the probable costs or consequences of not adopting the proposed rule, including those costs or consequences borne by identifiable categories of affected parties, such as separate classes of government units, businesses, or individuals**

The consequences of not adopting the proposed rules would be that some of Minnesota's horseracing rules would be out of step with model rules that are being adopted in other jurisdictions.

**(7) an assessment of any differences between the proposed rule and existing federal regulations and a specific analysis of the need for and reasonableness of each difference**

There are no current federal regulations regarding these proposed rule changes. Horse racing is regulated by the various individual state racing commissions. However, there is a growing initiative to regulate racing through national legislation. The current bill in Congress has attracted bipartisan support. Many of the proposed rules address perceived shortcomings in the regulation of racing by the various states, including the absence of uniform medication rules and penalties for their violation. Several of the proposed rules are aimed at achieving uniformity across states and adoption of ARCI Model Rules.

**(8) an assessment of the cumulative effect of the rule with other federal and state regulations related to the specific purpose of the rule.**

The proposed rules cover areas that are not addressed by federal law or other Minnesota laws or rules. The rules are designed to complement Minnesota Statutes, Chapter 240 without duplicating requirements therein. Another goal is to make our rules consistent with those in other states for the benefit of horsemen who routinely race in other states as well as in Minnesota, thus reducing the cumulative effect of our rules.

## **PERFORMANCE-BASED RULES**

These rules are proposed to support the health and safety of the horse and the integrity of racing consistent with the MRC mission. They were developed with every effort to emphasize superior achievement in meeting the agency's regulatory objectives and maximum flexibility for the regulated party and the agency in meeting those goals. We consulted with staff, commissioners, interested industry members and regulators from other states. We also reviewed model rules and rules in effect in other states.

## **ADDITIONAL NOTICE**

These proposed amendments were thoroughly discussed by the Minnesota Racing Commission's Racing Committee, a panel comprised of three commissioners (one veterinarian and two attorneys) on January 20, 2016. The Racing Committee unanimously voted to recommend these amendments to the Full Commission. On January 21, 2016 the full Minnesota Racing Commission met and accepted the Racing Committee's recommendation and voted to publish a Request for Comments in the State Register. All rules discussion was clearly included on all agendas duly prepared and mailed or e-mailed 7 days prior to these meetings. Agendas were also posted on the Commission's website. Minutes from the full commission meetings are available on the Commission's website at [www.mrc.state.mn.us](http://www.mrc.state.mn.us).

The Minnesota Racing Commission began work on the rules proposals in November of 2015 after receiving recommendations from racing Stewards, Judges, the Commission Veterinarian and the Racing Committee. The Commission's Rulemaking Docket will be updated as necessary to reflect the status of these rules.

Our Notice Plan includes:

1. Publishing the Request for Comments in the February 16, 2016 edition of the State Register.
2. Posting the Request for Comments and the language of the proposed rules on the Office of Administrative Hearings rulemaking e-comments website.
3. E-mailing the Request for Comments to everyone registered to be on the Commission's rulemaking list under Minnesota Statutes, section 14.14, subdivision 1a.
4. E-mailing the Request for Comments Class A & B licensees as well as horsemen's organizations that are affected by horse racing in Minnesota, including the Minnesota Thoroughbred Association, the Horsemen's Benevolent and Protective Association, Minnesota Harness Racing, Inc., the Minnesota Quarter Horse Racing Association, the Jockey's Guild, and the United States Trotting Association.
5. E-mailing the Request for Comments to organizations in Minnesota identified as having an interest in animal health including the Minnesota Board of Animal Health, the Minnesota Humane Society, the Minnesota Veterinary Medical Association, and the University Of Minnesota College Of Veterinary Medicine.
6. Our Notice Plan also includes giving notice required by statute. We will mail the proposed rules and Notice of Intent to Adopt (dual notice) to everyone who has registered to be on the Commission's rulemaking list under Minnesota Statutes, section 14.14, subdivision 1a. We will also give notice to the Legislature per Minnesota Statutes, section 14.116. The Proposed Rules and the Notice of Intent to Adopt will also be published in the State Register.
7. We will post the Notice of Intent to Adopt Rules (dual notice) and the text of the proposed rules on the Office of Administrative Hearings rulemaking e-comments website, with a link on our website.
8. The Commission will provide a link to the rules and Notice of Intent to Adopt Rules (dual notice) to Class A & B licensees, horsemen's organizations, and animal health organizations in Minnesota as noted in paragraphs 3-5 above.

#### **CONSULT WITH MMB ON LOCAL GOVERNMENT IMPACT**

As required by Minnesota Statutes, section 14.131, the Commission will consult with Minnesota Management and Budget (MMB). We will do this by sending MMB copies of the documents that we send to the Governor's Office for review and approval on the same day we send them to the Governor's office. We will do this before the Commission publishes the Notice of Intent to Adopt. The documents will include: the Governor's Office Proposed Rule and SONAR Form; the proposed rules; and the SONAR. The MRC will submit a copy of the cover correspondence and any response received from Minnesota Management and Budget to OAH at the hearing or with the documents it submits for ALJ review.

#### **DETERMINATION ABOUT RULES REQUIRING LOCAL IMPLEMENTATION**

As required by Minnesota Statutes, section 14.128, subdivision 1, the agency has considered whether these proposed rules will require a local government to adopt or amend any ordinance or other regulation in order to comply with these rules. The Commission has determined that they will not, because all activity that these amendments affect occurs on licensed racetrack grounds, not out in the local community. There are times where we may have to contact local law enforcement or county/city

attorney offices, but that is in the normal course of fulfilling our duties and responsibilities when events warrant. It is not anticipated that these amendments will either increase or decrease those contacts.

## **COST OF COMPLYING FOR SMALL BUSINESS OR CITY**

### **Agency Determination of Cost**

As required by Minnesota Statutes, section 14.127, the Racing Commission has considered whether the cost of complying with the proposed rules in the first year after the rules take effect will exceed \$25,000 for any small business or small city. The Racing Commission has determined it is theoretically possible that the cost of complying with the proposed rules could exceed \$25,000 for a small business in the unlikely event that a single horse trainer is assessed multiple fines for serious violations. The Racing Commission has determined that the cost of complying with the proposed rules in the first year after the rules take effect will not exceed \$25,000 for any small city.

### **LIST OF WITNESSES**

If these rules go to a public hearing, the Racing Commission anticipates having the following witnesses testify in support of the need for and reasonableness of the rules:

1. Thomas DiPasquale, MRC Executive Director
2. Dr. Lynn Hovda, Chief Commission Veterinarian, Minnesota Racing Commission
3. Dr. Camille McArdle, MRC, Chair MRC Racing Committee
4. Mr. James Lane, MRC Vice Chair

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## **RULE BY RULE ANALYSIS**

### **Part 7869.0100 DEFINITIONS**

#### **Subp. 32. Horse.**

*The industry requested this amendment to make it clear that cloned horses and their offspring are excluded from horse racing. Minnesota Statutes, section 240.01, subd. 8 defines horse racing as "any form of horse racing in which horses carry a rider or pull a sulky." By excluding cloned horses from the definition of "horse" it excludes them from the definition of horse racing in the statute. In addition, registration of cloned Standardbred, Thoroughbred and Quarter horses is prohibited by all three breed registries (USTA, The Jockey Club, and the AQHA).*

#### **Subp. 32b. Lapped On.**

*This new definition is being proposed because the term is used in the new proposed part 7884.0260, subp. 11. A lapped on horse is one that is positioned with any part of its body at least even with the offending horse's hindquarters at the finish. This is a term commonly understood among those who participate in harness racing.*

### **Subp. 57 Simulcast.**

*This definition is being repealed because the term “simulcasting” is more precisely defined in Minnesota Statutes, section 240.01, subd. 20.*

## **Part 7869.0200. INCORPORATION BY REFERENCE.**

### **Subp. 1. United States Trotting Association.**

*This change updates a cross reference in the existing rule and adds a new cross reference. The previously incorporated United States Trotting Association (USTA) Rule 10 regarding claiming races is now USTA Rule 11. Minnesota’s current rule governing sulkies is out of date in that it does not reflect changes in materials and design. We are proposing to incorporate the leading industry trade rule, USTA Rule 18.25, defining permissible sulkies. See Exhibits 1 and 2.*

### **Subp. 2. Association of Racing Commissioners International.**

*The proposed rule now incorporates by reference three uniform guidelines promulgated by the ARCI: (1) the Endogenous, Dietary or Environmental Substances Schedule; (2) the Controlled Therapeutic Medication Schedule for Horses; and (3) the Uniform Classification Guidelines for Foreign Substances and Recommended Penalties. These uniform guidelines are intended to assist stewards, hearing officers and racing commissioners in evaluating the seriousness of violations of medication and other prohibited substance rules. They provide a ranking of drugs based on their pharmacology, their ability to influence the outcome of a race, whether or not they have legitimate therapeutic purposes in a racehorse or other evidence that they may be used improperly. See Exhibits 3-5.*

### **Subp. 3. Alteration or amendment.**

*This would allow the commission to review and approve changes to the model rules and schedules that are incorporated by reference. The commission would have the ability to opt out of any future changes to the model rules or schedules. The MRC’s Executive Director and Chief Veterinarian both serve on national committees that develop these model rules.*

## **Part 7871.0010. APPLICATION FOR PARI-MUTUEL POOLS.**

### **Subpart 1. Submission of pari-mutuel requests.**

*These changes simplify and streamline the process for approval of pari-mutuel pools for simulcast races. Licensed racetracks would no longer need to submit a copy of administrative rules from all states that host simulcast races. This is unnecessary because these rules are readily available to the commission online and have been largely uniform among racing states. Furthermore, racetracks would no longer be required to submit a detailed statement of how the request for pari-mutuel pools meets each specific criteria listed in subpart 2. Because the commission closely regulates the racetracks, the commission already has most of this information as part of the tracks’ license applications and routine submissions that the tracks*

are required make to the commission elsewhere in rule. It is sufficient that this subpart requires the racetracks to submit “any other documentation the commission considers necessary to ensure a complete understanding of the request.”

## **Part 7879.0200. AUTHORITY AND DUTIES OF STEWARDS.**

### **Subp. 1. General authority of stewards.**

*The stewards have general authority to supervise and regulate all aspects of horse racing. The proposed amendment would extend the authority of the stewards to 90 days after the conclusion of the race meeting. This would allow the stewards enough time to address any matters that arose during the race meeting, including holding disciplinary hearings and issuing rulings. This 90-day extension of the stewards’ authority currently applies only to licensed county fair racing but it is needed more for racing at Minnesota’s principal licensed racetracks – Canterbury Park and Running Aces.*

### **Subp. 2. Specific duties and responsibilities of stewards.**

*The stewards review applicants for class C licenses and make recommendations regarding their qualifications to the commission. Typically the stewards direct their recommendations to the commission via the executive director. This proposal clarifies that the stewards should make recommendations regarding license applicants to the Commission through the executive director, who has delegated authority to approve or deny a license in most cases.*

### **Subp. 3. Criteria and bases for stewards’ decisions.**

*The existing criteria for the stewards’ review of applicants’ qualifications are vague and difficult to consistently apply in practice. Licensing criteria are set forth in detail in Minnesota Statutes, section 240.08 and Minn. R. 7877. Therefore, this proposal deletes the existing relatively subjective criteria and references the licensing criteria found in statute and rule, as well as any other relevant factors which may affect the public interest or the integrity of racing. This is consistent with other criteria currently in statute. (See Minnesota Statutes, section 240.03, empowering the commission to take all necessary steps to ensure the integrity of racing and to ensure it is conducted in the public interest and Minnesota Statutes, section 240.08, subdivision 5, permitting the commission to revoke a license for a violation of law or rule which adversely affects the integrity of racing or the public health, safety or welfare.)*

## **Part 7883.0100. ENTRIES AND SUBSTRIPTIONS.**

### **Subp. 1. Ownership.**

*This change would merely add language that was inadvertently omitted in the final rule as previously published. It clarifies that individuals whose licenses have been denied or revoked, in addition to those whose licenses have been suspended, may not enter a horse in a race. Such persons are not entitled to participate in racing until restored to good standing. See Minnesota*

*Statutes, section 240.27, permitting the commission to exclude an individual whose license has been suspended, revoked or denied.*

**Subp. 2. Horse must be registered and eligible.**

*This is a non-substantive change that cleans up references and deletes extraneous words.*

**Subp. 6. Prohibited entries.**

*Item D. This item prohibits an unlicensed person from entering a horse in a race. The proposed change makes clear that this includes a person whose license has been revoked or denied, in addition to a person whose license is under suspension.*

**Subp. 7. Coupled entries.**

*Item A. This item currently allows a trainer to enter up to four horses in a single race. The proposed change addresses the concern that allowing a trainer to enter four horses in a race can compromise the integrity of both the entry process and the running of the race. The industry and interested parties agree that limiting trainer entries to three per race is reasonable and necessary. The entry process can be abused by a trainer entering four horses in order to fill a race that might not otherwise have enough entries to be held, and then scratch one or more horses prior to the actual race. This change reduces that possibility. With respect to the running of the race, the change seeks to minimize the risk of collusion among participants.*

**Subp. 11. Drawing of entries.**

*Item B. The proposed change would conform the rule to current practice. Any licensee, and not necessarily an owner or trainer, may be present to witness the drawing of entries and could be selected to draw the entry sheets and post position numbers. A pill container is typically used instead of an entry box.*

**Subp. 16. Workout requirements.**

*Item A. Thoroughbred horses that have not started for 46 days or more are now required to have completed one timed workout within 45 days of the race. The proposed change would make this requirement applicable only to Thoroughbred horses because workout regimes needed to prepare Thoroughbreds to race are different from those of Quarter horses. The change from 45 to 46 days makes the rule consistent with those in other jurisdictions which typically require workouts if the horse has not started in "more than 45 days."*

*Item B. A new item B is proposed to conform Quarter horse workout requirements to those found in Iowa, Oklahoma and Texas -- states from which many Quarter horses come to race at Canterbury Park. A Quarter horse that has not started for a period of 61 days (rather than 45 days as stated previously for all horses) would be required to have completed one timed workout within 60 days of the race.*

## **Part 7883.0140 CLAIMING RACES.**

### **Subp. 15. Protest of Claim.**

*This subpart would be divided into separate items and expanded to clarify the procedure for protesting a claim, returning a claimed horse, and voidance of a claim in the event of a medication violation. Instead of waiting for a stewards' ruling, a claim could be voided within 72 hours if the initial forensic testing of the claimed horse showed a medication violation. A claim could not be voided if, after coming under the custody of the claimant's trainer, the horse has already run for the claimant or has died. The proposal would specify that the claimant is responsible for the horse's expenses from the time the horse is transferred to the claimant until the horse is returned to the prior owner following voidance of the claim. This proposed rule addresses deficiencies and ambiguities in the existing rule with respect to both the process that governs a protest and the rights of the parties to the claim. It is based on rules in place in other racing jurisdictions and is supported by the commission's stewards.*

### **Subp. 22. Claimed horse shall race at track claimed.**

*Most racing jurisdictions have a rule similar to this one requiring claimed horses to remain racing at the track at which they were claimed. This proposed change, suggested by the industry, would allow a claimed horse to leave the track as soon as the last scheduled overnight race for its breed has been drawn, as opposed to having to wait either 60 days or until the end of the entire race meet. This remedies a problem inherent in the mixed racing meet typically operated by Canterbury Park. Quarter horses are normally finished racing for the season one or more weeks earlier than Thoroughbreds. The change would allow Quarter horses who are claimed late in the meet to leave the track as soon as the last race for Quarter horses has been drawn, instead of having to wait until the end of the meet. In addition, upon request of the racing secretary, the stewards could approve a horse leaving to race at another racetrack in individual cases. Many horses are claimed by owners with the intention of racing them in other states whose racing meets commence toward the end of or following the race meets in Minnesota. The proposed rule allows for some flexibility freedom of movement while still ensuring there are enough horses available at Minnesota tracks to protect the quality of racing in Minnesota.*

## **Part 7884.0230 RACING EQUIPMENT**

### **Subpart 1. Sulkies.**

*Our current requirements for sulkies are obsolete. The proposed change incorporates USTA rules on sulkies by reference. This will serve to keep our requirements current and consistent with those in other jurisdictions. The USTA rules on sulkies are attached as exhibit 2.*

## **Part 7884.0260 DRIVING RULES**

### **Subp. 10 Stewards to determine extent of violation.**

*Harness racing stewards must make immediate decisions concerning driving violations to determine the official order of finish. This is somewhat analogous to a baseball umpire calling balls and strikes; the game cannot stop for the players to make protests or appeals. This change would make it clear that the stewards have discretion as to placings and disqualifications, and their decisions are final. This would conform our rules to industry uniform rules which give racing stewards the ultimate authority to determine placings and disqualifications due to fouls or driving violations.*

**Subp. 11. Pylon rule for horses racing without interference.**

*This new subpart was developed at the suggestion of, and in consultation with, harness racing stewards who have worked at Minnesota's only harness track, Running Aces. The model rule was also consulted. The proposed language would lay out specific instances when a steward would disqualify a horse for going inside the pylons which mark the inside border of the racetrack. "Disqualification" is defined in part 7869.0100, subp. 22 as, "an order of the stewards or commission which revises the order of finish in a race."*

*Item A provides that any horse gaining an unfair advantage by going inside, over, or in-between one or more pylons in order to pass a competitor may be disqualified at the discretion of the stewards. The rule does not require disqualification because there are some instances where a driver clips a pylon unintentionally and it clearly does not affect the outcome of the race.*

*Item B provides that any horse going inside two pylons will be disqualified and placed behind any lapped on horse in the official order of finish. The term "lapped on" is commonly understood in harness racing to mean that any part of a trailing horse is at least even with the offending horse's hindquarters at the finish. A definition of "lapped on" is also being added as part of this rule package so there is no ambiguity.*

*Item C provides that any horse going inside three or more consecutive pylons will be disqualified and placed last. It would be difficult for a harness driver to unintentionally go inside three consecutive pylons, and this would nearly always impact the order of finish. This rule is necessary to deter unfair driving conduct and ensure a fair race.*

**Part 7890.0110 MEDICATIONS AND PRACTICES PROHIBITED**

**Subp. 9. Endogenous, dietary, and environmental substances.**

*This is a non-substantive change to comply with the new incorporation by reference language in Part 7869.0200.*

**Subp. 10. Medications with regulatory limits.**

*This is a non-substantive change to comply with the new incorporation by reference language in Part 7869.0200.*

## **Part 7897.0120 DISCIPLINARY SANCTIONS**

### **Subp. 1. Licenses.**

*This subpart currently provides for discipline only for “licensees” who engage in the prohibited acts enumerated in part 7897.0100. However, most of these prohibited acts apply to “persons,” whether licensed or unlicensed, while on the grounds of a licensed racetrack and thus subject to commission jurisdiction. An example of this authority is found in Minn. R. 7879.0200, subp. 1(A), which grants stewards “authority over all horses and all persons, licensed or unlicensed, on association grounds during a race meeting as to all matters related to racing.” This proposal would give the commission authority to impose sanctions or restrictions against licensees and other persons as it reasonably deems necessary to carry out its duties under Minn. Stat. Sec. 240.03, which empowers the commission to “take all necessary steps to ensure the integrity of racing in Minnesota.” Note that “person” is defined in Minnesota Statutes, section 240.01, subd. 15 as, “an individual, firm, association, partnership, corporation, trustee, or legal representative, and any licensee, participant, or patron.” The title of this subpart would be changed from “Licenses” to “Sanctions.”*

### **Subp. 3. Reciprocity of rulings.**

*Commission rules require applicants and licensees to be in good standing in each jurisdiction where they hold or have held a racing license. Minn. R. 7877.0120, subp. 2. All racing jurisdictions have similar reciprocity rules in place to prevent unsuitable participants from being licensed or to participate in racing while under suspension in another state.*

*The proposed change also expands the scope of the rule to include class C license applicants, e.g. gaming vendors or card dealers, whose licenses are not in good standing in other states but who fall under the jurisdiction of gaming authorities rather than racing authorities in those states.*

*The commission and stewards currently have authority to suspend or revoke a license of a person whose license has been suspended or revoked in another racing jurisdiction. This proposal would expand reciprocity to license denials as well. If the MRC can revoke or suspend a licensee under reciprocity rules (where the licensee has a property interest in the license), then it should be clear in rule that it also may deny a license, the granting of which is a privilege. Minnesota Statutes, section 240.05, subdivision 3 provides, “It is the intent of the legislature that authority granted by law to the commission to issue licenses not be construed as requiring the commission to issue any license.” The commission already has the authority under Minn. Stat. Sec. 240.27 to exclude a person from a racetrack if their license has been suspended, revoked or denied in another state. In addition, this proposal would make it clear that the commission may designate an individual to issue license denials, suspensions or revocations on its behalf. This authority has been delegated to the executive director.*

## **Part 7897.0130 SCHEDULE OF FINES**

### **Subp. 3. Assignment of categories.**

*The proposed rule clarifies and simplifies the factors used to determine whether a violation is "serious" under subpart 2 of this rule part and adds criteria that are consistent with Minn. Stat. Sec. 240.22, which requires the commission to establish a schedule of civil fines based on the culpability, frequency and severity of the violator's actions. The word "particular" is being added for clarity because the commission and stewards often fine for more than one violation in a single order; each particular violation must be categorized as a "serious violation" or not. This subpart is also being amended to provide that the same criteria used for determining whether a violation is serious must also be considered by the stewards when determining the amount of the fine for any violation -- whether serious or not.*

### **Subp. 4. Serious Violations.**

*This subpart lists specific violations which are deemed per se serious violations. These are violations that are inimical to the public interest and the integrity of racing. The proposal adds Class 1 foreign (or prohibited) substance violations to this list. The list of Class I foreign substances is maintained current by a cross-section of industry experts which includes veterinarians, lab directors, regulators and others with technical expertise. It is approved by two scientific review panels, the Racing and Medication and Testing Consortium (RMTC) and ACRI. Class 1 foreign substances are those that have no generally accepted medical use in a race horse and their pharmacologic potential for altering the performance of a race horse is very high. All DEA schedule 1 substances are included in this class because they are potent stimulant or depressant substances with psychotropic and often habituating effects. Many DEA schedule II substances are also included, such as opiates, synthetic opioids and psychoactive drugs, and amphetamines.*

*The fines called for under ARCI recommended penalties, which are now being incorporated by reference, are much more severe than those allowed under our current rules for serious violations. Thus we are proposing Class I foreign substance violations be per se serious violations and treated as the serious threat they are to the welfare of horses and participants as well as the integrity of racing.*

### **Subp. 5. Amount of fines.**

*The fines listed in this subpart are outdated, having not been revised in decades. The current fine schedule is inadequate to function as a deterrent to serious or repeat offenders or to offset commission costs of enforcement actions.*

*The proposed rule would raise the maximum fines for all serious violations so they are closer to the minimum fines called for in the ARCI guidelines for Class I foreign substance violations. The ARCI guidelines call for a minimum fine of \$10,000 or 10% of the total purse for a first-time violation -- or up to \$25,000 or 25% of the total purse if aggravating factors are present. Our*

*proposed rule would limit the maximum available fine for any first-time serious violation to \$10,000, and it could be as little as \$1000 if mitigating factors are present.*

*Similarly, the proposed rule would limit the fine for a second serious violation to \$25,000 even though the ARCI guidelines call for a fine of up to \$50,000 or 50% of purse money if aggravating factors are present. Likewise for a third serious violation which, in many states including Minnesota, would likely result in license denial or revocation. The MRC believes our proposed penalty schedule provides more certainty and represents an increase large enough to deter serious violators and offset the commission's costs of enforcement. (It should be noted that under Minnesota Statutes, section 240.22, for fines over \$5,000, the commission may recover the costs associated with the required contested case hearing if the commission is the prevailing party.) The commission does not believe the higher potential penalties provided in the ARCI guidelines are reasonable or necessary at this time. Therefore, the proposed rule adopts the ARCI guidelines except as limited by this subpart.*

#### **Subpart 6. Timetable for paying fines.**

*The current rule only allows for suspension of a license if a fine is not paid within 72 hours as required. Many licensees have no incentive to pay fines issued at the end of the racing season or when their licenses are close to expiring. In addition, non-payment of a fine is not always serious enough to warrant license suspension. This change would allow flexibility for additional penalties or lesser sanctions for licensees who are delinquent in payment of fines. In addition, the proposal would require the commission to designate an employee responsible for collecting fines and notifying the stewards or executive director of delinquent fines. It is hoped that this will result in more timely payment of fines.*

### **Part Rule 7897.0150 DISCIPLINARY AND APPEAL PROCEDURES**

#### **Subp. 2. Penalties imposed by stewards.**

*The current rule allows the stewards to impose a fine of up to \$2000. This conflicts with a more recent amendment to the stewards' authority in Minn. Stat. Sec. 240.16, which allows the stewards to issue a fine of up to \$5,000. The proposal would make the rule consistent with the statute. The new language would also codify the current practice, which is that the stewards recommend and refer some matters to the commission to issue penalties in excess of the stewards' authority. The commission has such broad authority under Minnesota Statutes, section 240.22.*

*The new item B would codify the current practice of using the ARCI Uniform guidelines for medication violations to impose penalties and discipline consistent with those guidelines. This uniform penalty schedule has been adopted in a majority of racing jurisdictions as a means of disciplining similarly situated violators more uniformly. Uniformity provides a foundation for fair and impartial treatment of horse persons as they move their operations from state to state and it serves to limit the discretion of the stewards, who themselves move from state to state to officiate under varying regulatory regimes.*

*The ARCI Uniform Recommended Penalties allow for deviation upward and downward for aggravating and mitigating factors. The proposed item C would define aggravating and mitigating factors and would provide that the stewards may consider such circumstances when determining penalties, but only if those circumstances are demonstrated by credible and persuasive evidence. Mere speculation as to aggravating or mitigating circumstances would not be considered.*

*The new item D would provide general guidelines for stewards' penalties that are consistent with their purpose and the overall mission of the Racing Commission as set forth in Minnesota Statutes, Chapter 240 and implementing rules.*

## **EXHIBITS**

- A. United States Trotting Association Rule 11.
- B. United States Trotting Association Rule 18.25.
- C. ARCI Endogenous, Dietary or Environmental Substances Schedule.
- D. ARCI Controlled Therapeutic Medication Schedule for Horses.
- E. ARCI Uniform Classification Guidelines for Foreign Substances and Recommended Penalties.

## **CONCLUSION**

Based on the forgoing, the proposed rules are both reasonable and necessary to protect the integrity of racing in Minnesota.



DATE: January 4, 2017

Thomas DiPasquale  
Executive Director  
Minnesota Racing Commission

# EXHIBIT A

credited to either horses or drivers. Any money awarded or paid on such races shall not be credited to the horses or drivers as official earnings and shall not affect the eligibility of participating horses to any subsequent event.

### **RULE 11.—CLAIMING RACES.**

#### **Section**

- 11.01 Persons Eligible to Claim
- 11.02 Prohibitions
- 11.03 Claiming Procedures
  - (a) Claimant's Credit
  - (b) Claiming Procedure and Determination of Claiming Price
  - (c) Claiming Price on Program
  - (d) Execution of Claim
    - 1. Claim Box
    - 2. Opening of Claim Box
    - 3. Multiple Claims on Same Horses
    - 4. Delivery of Claimed Horse
    - 5. Refusal to Deliver Claimed Horse
    - 6. Vesting of Title to Claimed Horse
    - 7. Affidavit by Claimant
    - 8. Penalty for Thirty Days
    - 9. Return of Claimed Horse to Previous Owner or Stable
    - 10. Scratched Horse
    - 11. Blood Sample Procedure if Horse is Claimed
- 11.04 Payment of Claiming Money
- 11.05 Claiming Conditions
- 11.06 Minimum Price
- 11.07 Determination of Claiming Price
- 11.08 Fraudulent Entry into Claiming Race
- 11.09 Fraudulent Claim
- 11.10 Post Race Urinalysis Test

§ 11.01 **Persons Eligible to Claim.**—Any current active member of the USTA and/or other individual properly licensed to claim by the state racing authority having primary jurisdiction over the race meeting, may make a claim for any horse subject to claim at such meeting. An authorized agent may claim for a person qualified to claim in his or her own right, but only for the account of that person for whom he or she is agent.

§ 11.02 **Prohibitions.**—

- (a) No person shall claim his own horse, nor shall he claim a horse trained or driven by him.
- (b) No person shall claim more than one horse in a race.
- (c) No qualified owner or his authorized agent shall claim a horse for another person.
- (d) No owner shall cause his or her horse to be claimed directly or indirectly

for his or her own account.

(e) No person shall offer, or enter into an agreement, to claim or not to claim, or attempt to prevent another person from claiming any horse in a claiming race.

(f) No person shall enter a horse against which there is a mortgage, bill of sale, or lien of any kind, unless the written consent of the holder thereof shall be filed with the track member conducting such claiming race.

(g) Where a horse drawn to start in a claiming race has been declared to start in a subsequent claiming race, a successful claimant, if any, of the horse in the first race shall have the option of scratching the horse from the subsequent race.

(h) Any mare which has been bred shall not be declared into a claiming race for at least 30 days following the last breeding of the mare, and thereafter such a mare may only be declared into a claiming race after a veterinarian has pronounced the mare not to be in foal. Any mare pronounced in foal shall not be declared into a claiming race. Where a mare is claimed out of a claiming race and subsequently proves to be in foal from a breeding which occurred prior to the race from which she was claimed, the claim may be voided by the judges at the option of the claimant provided the mare is subjected to a pregnancy examination within 18 days of the date of the claim, and is found to be pregnant as a result of that pregnancy examination. A claimant seeking to void the claim must file a petition to void said claim with the judges within 10 days after this pregnancy examination and shall thereafter be heard by the judges after due notice of the hearing to the parties concerned.

(i) No donor mare may be entered into a claiming race between the date of an embryo/ovum transplant and the date of the resulting foal's birth.

§ 11.03 Claiming Procedure.—

(a) **Claimant's Credit.**—The claimant must have to his credit with the track member giving the race an amount equivalent to the specified claiming price plus the requisite fees for the transfer of ownership.

(b) **Claiming Procedure and Determination of Claiming Price.**—The trainer or authorized agent entering a horse in a claiming race warrants that he/she has authorization from the registered owner(s) to enter said horse in a claiming race for the designated amount. In the event of a claim the owner(s) or authorized agent shall submit a signed registration certificate or in the case of a paperless certificate the signed application for transfer form to the judges prior to receiving proceeds from the claim. The presiding judge shall immediately forward to the USTA the signed registration certificate or application for transfer form to the Registrar for transfer.

(c) **Claiming Price On Program.**—The basic claiming price for which each horse is entered shall be printed on the program, but all claims shall be for the adjusted price after the prescribed allowances made for sex and/or age have been added to the basic price.

(d) **Execution of Claim.**—

1. **Claim Box.**—All claims shall be in writing, sealed and deposited at least 15 minutes before the time originally scheduled for the race to begin, in a locked box provided for this purpose by the track member.
2. **Opening of Claim Box.**—The claim box shall be opened and the claim, if any, examined by the judges.
3. **Multiple Claims on Same Horses.**—Should more than one claim be filed for the same horse, the owner shall be determined by lot by the

- judges.
4. **Delivery of Claimed Horse.**—A horse claimed shall be delivered immediately by the original owner or his trainer to the successful claimant upon authorization of the presiding judge. The horse's halter must accompany the horse. Altering or removing the horse's shoes will be considered a violation of this rule.
  5. **Refusal to Deliver Claimed Horse.**—Any person who refuses to deliver a horse legally claimed out of a claiming race shall be suspended together with the horse until delivery is made.
  6. **Vesting of Title to Claimed Horse.**—Every horse claimed shall race in all heats of the event in the interest and for the account of the owner who declared it in the event, but title to the claimed horse shall be vested in the successful claimant from the time the word "go" is given in the first heat, and said successful claimant shall become the owner of the horse, whether it be alive or dead or sound or unsound, or injured during the race or after it, provided however that the final vesting of title to a claimed horse is subject to the conditions and provisions of Rule 10.11.
  7. **Affidavit by Claimant.**—The judges shall require any person making a claim for a horse to make affidavit that he is claiming said horse for his own account or as authorized agent and not for any other person. Any person making such affidavit willfully and falsely shall be subject to punishment as hereinafter provided.
  8. **Penalty for Thirty Days.**—If a horse is claimed no right, title or interest therein shall be sold or transferred except in a claiming race for a period of 30 days following the date of claiming.
  9. **Return of Claimed Horse to Previous Owner or Stable.**—No horse claimed out of a claiming race shall be eligible to start in any race in the name or interest of the prior owner for 30 days nor shall such horse remain in the same stable or under the care or management of the prior owner or trainer, or anyone connected therewith unless reclaimed out of another claiming race.
  10. **Scratched Horse.**—The successful claimant of a horse programmed to start may, at his option, acquire ownership of a claimed horse even though such claimed horse was scratched and did not start in the claiming race from which it was scratched. The successful claimant must exercise his option by 9:00 a.m. of the day following the claiming race to which the horse was programmed and scratched. Programmed to start shall be defined as appearing in the printed official racing program. No horse may be claimed from a claiming race unless the race is contested.
  11. **Blood Sample Procedure if Horse is Claimed.**—In the event a horse is claimed a blood sample shall be taken by a licensed veterinarian and the sample identified as being from a claimed horse shall be forwarded within 24 hours to an approved laboratory to be tested for equine infectious anemia. Pending the receipt of a negative test for equine infectious anemia the monies paid for the claimed horse shall be held by the track member. In the event of a positive test for equine infectious anemia the ownership of the claimed horse shall revert to the owner from whom the horse was claimed and the claiming monies shall be returned to the person or persons who claimed the horse. The cost

of the test is to be borne by the claimant and the test may be waived by the claimant at his discretion by so indicating on the claiming slip.

§ 11.04 **Payment of Claiming Money.**—Subject to the conditions of Rule 10.11 the track member shall pay the claiming price to the owner at the time the registration certificate or application of transfer is delivered for presentation to the successful claimant.

§ 11.05 **Claiming Conditions.**—Except for the lowest claiming price offered at each meeting, conditions and allowances in claiming races may be based only on age and sex, lifetime earnings, and number of races won lifetime. Said races may be restricted to specific breeding, foaling locale and/or residency of ownership. Whenever possible claiming races shall be written to separate horses five-years-old and up from younger horses and to separate males from females. If sexes are mixed, mares shall be given a price allowance provided however that there shall be no price allowance given to a spayed mare racing in a claiming race.

§ 11.06 **Minimum Price.**—No claiming race shall be offered permitting claims for less than the minimum purse offered at that time during the same racing week.

§ 11.07 **Determination of Claiming Price.**—Except as provided in Rule 10.9(c) no horse owner shall be prohibited from determining the price for which his horse shall be entered.

§ 11.08 **Fraudulent Entry into a Claiming Race.**—If the judges determine that the entry of any horse to a claiming race is fraudulent on the part of the declarer they may void the claim and at the option of the claimant order the horse returned to the person declaring it in.

§ 11.09 **Fraudulent Claim.**—If the judges determine that any claim of a horse is fraudulent on the part of the person making the claim they may void the claim and may at the option of the person declaring it in return the horse to the person declaring it in.

§ 11.10 **Post Race Urinalysis Test.**—A post race urinalysis test shall be taken from any horse claimed out of a claiming race. The original trainer of the horse shall be responsible for the claimed horse until the post-race urine sample is collected. The successful claimant shall have the right to void the claim should the forensic analysis be positive for any prohibited substance. Where a horse is claimed and within 30 days thereafter it is determined by forensic analysis that the claimed horse had tested positive for a prohibited substance in the race prior to the race from which it was claimed the successful claimant shall also have the right to have the claim voided.

## **RULE 12.—NOMINATIONS—ADDED MONEY EVENTS—PURSE MONEY DISTRIBUTION.**

### **Section**

12.01 Making a Nomination

12.02 Receipt of Nomination and Sustaining Payments for Early Closing Events, Late Closing Events, Stakes and Futurities

12.03 Postage Meter

12.04 Failure to Make Payment

12.05 Event Sponsor Membership

# EXHIBIT B

between and among drivers while on the racetrack during the time when colors are required is prohibited. Any violation of this rule may be punished by a fine, suspension or combination thereof.

§ 18.23 **Pylon Violations.**—If at a racetrack which does not have a continuous solid inside hub rail, a horse or part of the horse's sulky leaves the course by going inside the hub rail or other demarcation which constitutes the inside limits of the course the offending horse shall be placed back one or more positions where in the opinion of the judges the action gave the horse an unfair advantage over other horses in the race, or the action helped the horse improve its position in the race. In addition when an act of interference causes a horse or part of the horse's sulky to cross the inside limits of the course and the horse is placed by the judges the offending horse shall be placed behind the horse with which it interfered.

§ 18.24 **Provisions for Fine, Suspension of Driver.**—Any violation of any sections of Rule 18 above unless otherwise provided may be punished by a fine or suspension, or both, or by expulsion, except that penalties for interference shall be in days suspended.

§ 18.25 **Sulky Performance Standards/Approval.**—

(a) Approval of Racing Sulkies

1. All styles, types and models of racing sulkies must pass all performance and testing standards as established under these guidelines in order to be approved for use in any race. Such testing shall include static load testing, dynamic load testing and track testing.

(b) General Provisions

1. The sulky shall not create either by design or manufacture any interference or hazard to any driver or horse in a race.
2. All components of the sulky shall be attached to one another in such a way that they remain attached during normal use and testing.
3. No bent shaft style sulky shall be approved for use.

(c) Shafts

1. Each sulky shall be equipped with two shafts that are attached independent of one another to the horse. Each shaft may have one vertical bend. No vertical bend beyond 12" from the hitching point is permitted.
2. Inside to inside measurement shall be within a range of 42" to 50" at the front of the arch. (Also see—§ 18.25(e)(1))
3. All shafts will be equipped with quick-hitch fixtures or attachable by conventional tie-downs. All quick-hitches shall have safety straps.

(d) Arch

1. The style of arch must be no narrower than 47" or wider than 56" in distance measuring from the inside of each side of the arch at the axle nuts.
2. The front of the arch to the center line of the harness where a horse is hitched shall be no greater than 76" as measured along the shaft.
3. The distance from the front of the arch to the back of the seat shall be no greater than 19".
4. The distance from the ground to the bottom of the arch shall be between 28" and 35" measured with the wheels attached.
5. The arch shall be parallel to the ground and located a minimum of 1"

higher than the tire at all points.

(e) Fork

1. Inside measurement between the inside fork assemblies shall be no less 4" but no more than 8" greater than the inside measurement between the shafts as measured at the front of the arch. (Fork measurements taken from the inside of each side of the arch at the axle nuts).
2. There shall be a fork assembly on both sides of each wheel. (Also See—Subsection (c) 2.)

(f) Stirrups

1. Each sulky shall be equipped with two stirrups or foot supports. *(Effective 05/01/2016)*
2. Each stirrup or foot support shall not be more than 8" wide. *(Effective 05/01/2016)*
3. The stirrups or foot supports shall be attached to the inside of each shaft no closer than 30" from stirrup or foot support to stirrup or foot support. (Also See—Subsection (c) 2.) *(Effective 05/01/2016)*

(g) Seat/Seat Plate

1. The measurement from the ground to the heel of the stirrup or foot support and ground to seat plate shall have a spread of no more than 6" as measured with the bike hitched at 54". *(Effective 05/01/2016)*
2. The seat plate shall be no lower than 1" below the arch.
3. The seat shall be securely attached to the seat bracket in a fixed position.
4. The back of the seat shall be no higher than 6". No high back seats shall be permitted.
5. All seats shall have adequate padding to provide comfort for the driver.

(h) Wheels/Tires

1. Each sulky shall contain two wheels.
2. The wheels shall be 26" to 28" with tire attached.
3. All wheels shall be covered by wheel disc covers constructed in such a manner so that they are light weight and durable.
4. Wheel discs shall be either solid one-color or colorless.

(i) Mud Fenders

1. Mud fenders shall provide coverage from the top of the fork brace that attaches to the shaft of the sulky to a point 18" beyond the back of the arch as measured along the fender.

The mud fenders shall be easily attached to the sulky in such a manner as to make them totally secure to the sulky.

For sulky models approved on or after January 1, 2007, if the design of the sulky precludes a customary/universal mud fender from being used it shall be the responsibility of the sulky manufacturer to provide such mud fenders for any or all sulky models produced by the manufacturer.

(j) Attachment to the Horse

1. The sulky must be attached to either side of the horse by an approved method with each shaft hooked separately on each side as described in Section (c) (3).

2. The forward ends of the sulky shaft shall not project beyond the shoulder of the horse.
3. The shafts shall not be higher than the withers of the horse.

(k) Sulky Committee

1. The President shall appoint a sulky committee which shall have the authority to establish guidelines and recommendations for the design, performance and certification of racing sulkies.
2. The sulky committee shall have the authority to authorize variances from these standards and may approve for use any sulky which does not qualify under the above sections if in their opinion the sulky does not pose a safety hazard, does not impair the horse or driver and does not undermine the competitiveness of the horse and/or driver.

§ 18.26 **Riding Violations.**—A rider who does any of the following things shall be in violation of the riding rules:

- (a) Jostle, strike or interfere with another horse or rider.
- (b) Cross sharply in front of a horse or field of horses or otherwise ride in a reckless manner.
- (c) Swerve in or out or pull up quickly.
- (d) Crowd another horse or rider.
- (e) Cause confusion or interference among trailing horses.
- (f) Carry a horse out.
- (g) Commit any act that shall impede another horse or rider.
- (h) Change course in the stretch so as to interfere with another horse or rider.
- (i) Ride in a careless or reckless manner. *(Effective 05/01/2015)*

§ 18.27 **Placing, Disqualification of Horses.**—The offending horse may be disqualified, if in the opinion of the judges, the foul altered the finish of the race, regardless of whether the foul was accidental, willful or the result of careless riding. *(Effective 05/01/2015)*

§ 18.28 **Race Weigh-In/Weigh-Out of Rider and Equipment.**—The race-track shall provide a scale used to weigh-in and weigh-out all riders.

(a) Following the race, all riders must immediately proceed to the scales and dismount. A rider shall be permitted to dismount under the direct supervision of a track official in the winner's circle for the purpose of being interviewed.

(b) The saddle and all other equipment used or worn by the horse, excluding the bridle, shall be weighed immediately following the race along with the rider. Unless otherwise authorized by the judges, no person shall assist in the removal or possession of the saddle and other equipment other than the rider until the weigh-out procedure is completed.

(c) Any rider and their clothing (including gloves, safety vest, helmet, whip, goggles and saddle with fittings, as well as saddle pad, weighted saddle pad, corrective or sheepskin pad) that weighs in under 140 lbs. or refuses to be weighed will be disqualified from the race.

(d) No race shall be made "official" until all riders have dismounted and weighed-out. *(Effective 05/01/2015)*

§ 18.29 **Other Provisions.**—All provisions of Rule 18 shall apply where applicable to Racing Under Saddle races. *(Effective 05/01/2015)*

# EXHIBIT C

**ARCI Endogenous, Dietary, or Environmental Substances Schedule - Version 3.0**  
**Updated July 2015**

Substance	Threshold	Reason for Threshold
Arsenic	0.3 micrograms/milliliter total arsenic in urine	Feed Contaminant
Caffeine	100 nanograms/milliliter of serum or plasma	Feed Contaminant
Cobalt <sup>1</sup>	25 ppb in blood plasma or serum	Endogenous Substance and Feed Contaminant
Estradiol	0.045 micrograms/milliliter, free + conjugated 5 $\alpha$ -estrane-3 $\beta$ , 17 $\alpha$ -diol, in the urine of male horses other than geldings	Endogenous Substance
Gamma Aminobutyric Acid (GABA)	110 nanograms/milliliter of plasma or serum	Endogenous Substance
Hydrocortisone	1 microgram/milliliter of urine	Endogenous Substance
Methoxytyramine	4 micrograms/milliliter, free + conjugated in urine	Endogenous Substance
Salicylate Salicylic Acid	750 micrograms/milliliter of urine or 6.5 micrograms/milliliter of serum or plasma	Feed Contaminant
Theobromine	2 micrograms/milliliter of urine or 0.3 micrograms/milliliter serum or plasma	Feed Contaminant

<sup>1</sup> Penalties for cobalt vary depending on the concentration. Please see Uniform Classification Guidelines for Foreign Substances for recommended penalty for concentrations of 25 parts per billion or greater of blood plasma or serum and for concentrations of 50 parts per billion of blood plasma or serum.

**ARCI Endogenous, Dietary, or Environmental Substances Schedule - Version 3.0**  
**Updated July 2015**

Recent Document Revisions

Date	Version	Substance	Description of Change
July 2015	3.0	Salicylate Salicylic Acid	Corrected typographical error in measurement to "6.5 micrograms/ <b>milliliter</b> of serum or plasma"
July 2015	3.0	Gamma Aminobutyric Acid (GABA)	Added to List
April 2015	2.0	Cobalt	Added to List
December 2013	1.0	Arsenic, Caffeine, Estradiol, Hydrocortisone, Methoxytyramine, Salicylate and Salicylic Acid, Theobromine	Document Created

# EXHIBIT D

## ARCI Controlled Therapeutic Medication Schedule for Horses - Version 3.1

Revised – September 10, 2016.

Controlled Therapeutic Medication	Threshold	Withdrawal Guideline	Dosing Specifications	Reference Notes	Note
<b>Acepromazine</b>	10 nanograms per milliliter as 2-(1-hydroxyethyl) promazine sulfoxide (HEPS) in urine	48 hours	Single intravenous dose of acepromazine at 0.05 milligrams per kilogram	University of California at Davis project	Applicable analyte is metabolite HEPS
<b>Albuterol</b>	1 nanogram per milliliter of urine	72 hours	720 micrograms total dose intra-nasal only <sup>1</sup> . Based upon dosing up to 4 times per day	European Horseracing Scientific Liaison Committee Data	See Endnote
<b>Betamethasone</b>	10 picograms per milliliter of plasma or serum	7 days	Intra-articular administration of 9 milligrams of Betamethasone Sodium Phosphate and Betamethasone Acetate Injectable Suspension, USP (American Regent product #0517-0720-01) <sup>2</sup>	RMTC study	Intra-articular dosing only - applicable analyte is betamethasone in plasma or serum
<b>Butorphanol</b>	300 nanograms per milliliter of total butorphanol in urine or 2 nanograms of free butorphanol per milliliter per milliliter of plasma or serum	48 hours	Single intravenous dose of butorphanol as Torbugesic® (butorphanol tartrate) at 0.1 milligrams per kilogram	<i>Journal of Veterinary Pharmacology and Therapeutics</i> doi: 10.1111/j.1365-2885.2012.01385.x	Applicable analytes are total butorphanol (drug and conjugates) in urine and butorphanol in plasma (the drug itself, not any conjugate)

<sup>1</sup> Administration of albuterol by any means other than intra-nasally has a high likelihood in resulting in a positive finding. This specifically includes oral administration. Trainers and veterinarians are cautioned against using oral albuterol

<sup>2</sup> Intramuscular administration of betamethasone acetate will result in plasma or serum concentrations that will exceed the Regulatory Threshold for weeks or even months, making the horse ineligible to race for an extended period.

Controlled Therapeutic Medication	Threshold	Withdrawal Guideline	Dosing Specifications	Reference Notes	Note
<b>Cetirizine</b>	6 nanograms per milliliter of plasma or serum	48 hours	0.4 milligrams per kilogram twice daily for 5 doses	Kentucky Equine Drug Research Council/University of California at Davis study	Do not administer ivermectin within 48 hours of a race if the horse has been administered cetirizine.
<b>Cimetidine</b>	400 nanograms per milliliter of plasma or serum	24 hours	20 milligrams per kilogram twice daily for 7 doses	Kentucky Equine Drug Research Council/University of California at Davis study	
<b>Clenbuterol</b>	140 picograms per milliliter of urine or Level of Detection in plasma or serum	14 days	Oral administration of clenbuterol as Ventipulmin® syrup (Boehringer-Ingelheim Vetmedica Inc., NADA 140-973) at 0.8 mcg/kg twice a day	University of California at Davis; Boehringer-Ingelheim Vetmedica, Inc.	Applicable analyte is clenbuterol
<b>Dantrolene</b>	100 picograms per milliliter of 5-hydroxydantrolene in plasma or serum	48 hours	Oral administration of 500 milligrams of dantrolene as paste (compounding pharmacy) or capsule formulation (Proctor and Gamble)	<i>Journal of Veterinary Pharmacology and Therapeutics</i> 34, 238–246	
<b>Detomidine</b>	2 nanograms per milliliter of carboxydetomidine in urine or 1 nanogram per milliliter of detomidine in blood.	48 hours	5 mg IV (once)	<i>KY EDRC, UC Davis/UF Study.</i>	Dormosedan™ used in study.

Controlled Therapeutic Medication	Threshold	Withdrawal Guideline	Dosing Specifications	Reference Notes	Note
<b>Dexamethasone</b>	5 picograms per milliliter of plasma or serum	72 hours	Intramuscular and intravenous administration of dexamethasone sodium phosphate or oral administration of dexamethasone at 0.05 milligrams per kilogram regardless of route	RMTC study	Applicable analyte is dexamethasone in plasma or serum
<b>Diclofenac</b>	5 nanograms per milliliter of plasma or serum	48 hours	Five inch ribbon topical application of 1% diclofenac liposomal cream formulation. (Surpass Topical Anti-Inflammatory Cream, IDEXX Pharmaceuticals)	<i>Veterinary Therapeutics</i> 6: 57-66 (2005)	Applicable analyte is diclofenac in plasma or serum
<b>Dimethyl sulfoxide (DMSO)</b>	10 micrograms per milliliter of plasma or serum	48 hours	Intravenous	ARCI model rule	Applicable analyte is DMSO in plasma or serum
<b>Firocoxib</b>	20 nanograms per milliliter of plasma or serum	14 days	Oral administration of firocoxib as EQUIOXX oral paste at a daily dose of 0.1 milligram per kilogram for four days	RMTC study	Applicable analyte is firocoxib in plasma or serum

Controlled Therapeutic Medication	Threshold	Withdrawal Guideline	Dosing Specifications	Reference Notes	Note
<b>Furosemide</b>	100 nanogram per milliliter of plasma or serum	4 hours	Single Intravenous dose of furosemide up to 500 milligram <sup>3</sup>	ARCI model rule	Must also have urine specific gravity < 1.010 for a violation.
<b>Glycopyrrolate</b>	3 picograms per milliliter plasma or serum	48 hours	Single intravenous dose of 1 milligram of glycopyrrolate as Glycopyrrolate Injection, USP (American Regent product # 0517-4601-25)	RMTC study; <i>Journal of Veterinary Pharmacology and Therapeutics</i> doi: 10.1111/j.1365-2885.2011.01272.x	Applicable analyte is glycopyrrolate in plasma or serum
<b>Guaifenesin</b>	12 nanograms per milliliter of plasma or serum	48 hours	2 grams twice daily for 5 doses	Kentucky Equine Drug Research Council/University of California at Davis study	
<b>Isoflupredone</b>	100 picograms per milliliter of plasma or serum	7 days	10 milligrams total dose subcutaneous or 20 milligrams total dose in one articular space	RMTC Study	
<b>Lidocaine</b>	20 picograms per milliliter of total 30H-lidocaine in plasma or serum	72 hours	200 milligrams of lidocaine as its hydrochloride salt administered subcutaneously	European Horseracing Scientific Liaison Committee data; Iowa State University study.	Applies to total major hydroxylated metabolite (i.e., includes conjugates)

<sup>3</sup> ARCI-011-020(F)(2)(d) and ARCI-025-020(F)(2)(d) state that the dose of Furosemide “shall not exceed 500 milligrams nor be less than 150 milligrams”.

Controlled Therapeutic Medication	Threshold	Withdrawal Guideline	Dosing Specifications	Reference Notes	Note
<b>Mepivacaine</b>	10 nanograms total hydroxymepivacaine per milliliter of urine or above Level of Detection of mepivacaine in plasma or serum	72 hours	Single 0.07 milligrams per kilogram subcutaneous dose of mepivacaine	European Horseracing Scientific Liaison Committee data	
<b>Methocarbamol</b>	1 nanogram per milliliter of plasma or serum	48 hours	Single intravenous dose of 15 milligrams per kilogram methocarbamol as Robaxin® or 5 grams orally	<i>Journal of Veterinary Pharmacology and Therapeutics</i> doi: 10.1111/jvp.12068	Applicable analyte is methocarbamol in plasma or serum
<b>Methylprednisolone</b>	100 picograms per milliliter of plasma or serum	See Dosing Specifications	Total dose of methylprednisolone acetate suspension in one articular space. <sup>4</sup> The recommended withdrawal for methylprednisolone acetate is a minimum of 21 days at a 100 milligram dose	<i>Journal of Veterinary Pharmacology and Therapeutics</i> volume 37, Issue 2, pages 125–132, April 2014	Applicable analyte is methylprednisolone
<b>Omeprazole</b>	10 nanograms per milliliter of plasma or serum	24 hours	1 tube (2.2 grams) once daily for 4 doses	Kentucky Equine Drug Research Council/University of California at Davis study	GastroGuard™ used in the study

<sup>4</sup> Intramuscular administration of methylprednisolone acetate will result in plasma or serum concentrations that will exceed the Regulatory Threshold for weeks or even months, making the horse ineligible to race for an extended period. Please see Dosing Specifications for recommended withdrawal time.

Controlled Therapeutic Medication	Threshold	Withdrawal Guideline	Dosing Specifications	Reference Notes	Note
<b>Prednisolone</b>	1 nanogram per milliliter of plasma or serum	48 hours	1 milligram per kilogram orally		Applicable analyte is prednisolone in plasma or serum
<b>Procaine penicillin</b> <i>(administration must be reported to Commission)</i>	25 nanograms per milliliter of plasma or serum	Following entry to race	Intramuscular	RMTC – reference notes online	Mandatory surveillance of horse at owner's expense 6 hours before racing
<b>Ranitidine</b>	40 nanograms per milliliter of plasma or serum	24 hours	8 milligrams per kilogram twice daily for 7 doses	Kentucky Equine Drug Research Council/University of California at Davis study	
<b>Triamcinolone acetonide</b>	100 picograms per milliliter of plasma or serum	7 days	Total dose of 9 milligram in one articular space <sup>5</sup>	<i>Equine Veterinary Journal</i> , 10.1111/evj.12059 (2013)	Applicable analyte is triamcinolone acetonide in plasma or serum
<b>Xylazine</b>	200 picograms per milliliter of plasma or serum	48 hours	200 milligrams intravenously	University of California at Davis study	Applicable analyte is xylazine.

<sup>5</sup> Intramuscular administration of triamcinolone acetonide will result in plasma or serum concentrations that will exceed the Regulatory Threshold for weeks or even months, making the horse ineligible to race for an extended period.

## Non-Steroidal Anti-Inflammatory Drug (NSAID) Rules for Horses<sup>††</sup>

Controlled Therapeutic Medication	Threshold (Primary)	Withdrawal Guideline	Dosing Specifications	Reference Notes	Threshold (Secondary)
<b>Flunixin</b>	20 nanogram per milliliter of plasma or serum	32 hours	Single intravenous dose of flunixin as Banamine <sup>®</sup> (flunixin meglumine) at 1.1 milligram per kilogram	University of California at Davis/RMTC study	<b><u>Secondary anti-stacking threshold:</u></b> 3.0 nanograms per milliliter of plasma or serum (Administration 48 hours prior)
<b>Ketoprofen</b>	2 nanograms per milliliter of plasma or serum	24 hours	Single intravenous dose of ketoprofen as Ketofen <sup>®</sup> at 2.2 milligrams per kilogram	HFL Sport Sciences/ Kentucky Equine Drug and Research Council/RMTC study	<b><u>Secondary anti-stacking threshold: 1 nanogram per milliliter of plasma or serum (Administration 48 hours prior)</u></b>
<b>Phenylbutazone</b>	2 micrograms per milliliter of plasma or serum	24 hours	Single intravenous dose of phenylbutazone at 4.0 milligrams per kilogram	ARCI model rule	<b><u>Secondary anti-stacking threshold:</u></b> 0.3 micrograms per milliliter of plasma or serum (Administration 48-hours prior)

<sup>††</sup> Samples collected may contain one of the NSAIDs in this chart at a concentration up to the Primary Threshold. Samples may also contain another of the NSAIDs in this chart up at a concentration up to the Secondary Threshold. No more than 2 of the NSAIDs in this chart may be present in any sample.

# EXHIBIT E

Association of Racing Commissioners International, Inc.  
Drug Testing Standards and Practices Program  
Model Rules Guidelines



**Uniform Classification Guidelines for Foreign Substances  
and  
Recommended Penalties and Model Rule**



**Association of Racing Commissioners International, Inc.**  
**Uniform Classification Guidelines for Foreign Substances**

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# Preamble to the Uniform Classification Guidelines of Foreign Substances

The Preamble to the Uniform Classification Guidelines was approved by the RCI Drug Testing and Quality Assurance Program Committee (now the Drug Testing Standards and Practices Program Committee) on August 26, 1991. Minor revisions to the Preamble were made by the Drug Classification subcommittee (now the Veterinary Pharmacologists Subcommittee) on September 3, 1991.

"The Uniform Classification Guidelines printed on the following pages are intended to assist stewards, hearing officers and racing commissioners in evaluating the seriousness of alleged violations of medication and prohibited substance rules in racing jurisdictions. Practicing equine veterinarians, state veterinarians, and equine pharmacologists are available and should be consulted to explain the pharmacological effects of the drugs listed in each class prior to any decisions with respect to penalties to be imposed. The ranking of drugs is based on their pharmacology, their ability to influence the outcome of a race, whether or not they have legitimate therapeutic uses in the racing horse, or other evidence that they may be used improperly. These classes of drugs are intended only as guidelines and should be employed only to assist persons adjudicating facts and opinions in understanding the seriousness of the alleged offenses. The facts of each case are always different and there may be mitigating circumstances which should always be considered. These drug classifications will be reviewed frequently and new drugs will be added when appropriate."

## Notes Regarding Classification Guidelines

- Where the use of a drug is specifically permitted by a jurisdiction, then the jurisdiction's rule supersedes these penalty guidelines.
- Regulators should be aware that a laboratory report may identify a drug only by the name of its metabolite. The metabolite might not be listed here, but the parent compound may be.
- These classes of drugs are intended only as guidelines and should be employed only to assist persons adjudicating facts and opinions in understanding the seriousness of the alleged offenses.
- The facts of each case are different and there may be mitigating circumstances that should be considered.
- These drug classifications will be reviewed periodically. New drugs will be added or some drugs may be reclassified when appropriate.
- **Found substances or drugs not included in these guidelines should be treated as Class 1 violations warranting a Class A penalty unless otherwise advised by consultation with Racing Commissioners International (RCI) and/or the Racing Medication and Testing Consortium (RMTTC).**

# Classification Criteria

The RCI Drug Classification Scheme is based on 1) pharmacology, 2) drug use patterns, and 3) the appropriateness of a drug for use in the racing horse. Categorization is decided using the following general guidelines:

- **Pharmacology.** Drugs that are known to be potent stimulants or depressants are placed in higher classes, while those that have (or would be expected to have) little effect on the outcome of a race are placed in lower classes.
- **Drug Use Patterns.** Some consideration is given to placement of drugs based on practical experience with their use and the nature of positive tests. For example, procaine positives have in the past been associated primarily with the administration of procaine penicillin, and this has been taken into consideration in the placement of procaine into Class 3 instead of Class 2 with other injectable local anesthetics.
- **Appropriateness of Drug Use.** Drugs that clearly are intended for use in equine therapeutics are placed in lower classes. Drugs that clearly are not intended for use in the horse are placed in higher classes, particularly if they might affect the outcome of a race. Drugs that are recognized as legitimately useful in equine therapeutics but could affect the outcome of a race are placed in the middle or higher classes.

The list includes most drugs that have been reported as detected by racing authority laboratories in the United States, Canada, the United Kingdom and other Association of Official Racing Chemists (AORC) laboratories, but does not include those which would seem to have no effect on the performance of the horse or drug detectability. For example, it does not include antibiotics, sulfonamides, vitamins, anthelmintics, or pangamic acid, all of which have been reported.

The list contains many drugs that have never been reported as detected. Usually, these are representatives of chemical classes that have the potential for producing an effect, and in many cases, for which at least one drug in that chemical class has been reported.

Most drugs have numerous effects, and each was judged on an individual basis. There are instances where there is a rather fine distinction between drugs in one category and those in the next. This is a reflection of a nearly continuous spectrum of effects from the most innocuous drug on the list to the drug that is the most offensive.

# Classification Definitions

- **Class 1:** Stimulant and depressant drugs that have the highest potential to affect performance and that have no generally accepted medical use in the racing horse. Many of these agents are Drug Enforcement Agency (DEA) schedule II substances. These include the following drugs and their metabolites: Opiates, opium derivatives, synthetic opioids and psychoactive drugs, amphetamines and amphetamine-like drugs as well as related drugs, including but not limited to apomorphine, nikethamide, mazindol, pemoline, and pentylenetetrazol. Though not used as therapeutic agents, all DEA Schedule 1 agents are included in Class 1 because they are potent stimulant or depressant substances with psychotropic and often habituating actions.
- **Class 2:** Drugs that have a high potential to affect performance, but less of a potential than drugs in Class 1. These drugs are 1) not generally accepted as therapeutic agents in racing horses, or 2) they are therapeutic agents that have a high potential for abuse. Drugs in this class include: psychotropic drugs, certain nervous system and cardiovascular system stimulants, depressants, and neuromuscular blocking agents. Injectable local anesthetics are included in this class because of their high potential for abuse as nerve blocking agents.
- **Class 3:** Drugs that may or may not have generally accepted medical use in the racing horse, but the pharmacology of which suggests less potential to affect performance than drugs in Class 2. Drugs in this class include bronchodilators, anabolic steroids and other drugs with primary effects on the autonomic nervous system, procaine, antihistamines with sedative properties and the high-ceiling diuretics.
- **Class 4:** This class includes therapeutic medications that would be expected to have less potential to affect performance than those in Class 3. Drugs in this class includes less potent diuretics; corticosteroids; antihistamines and skeletal muscle relaxants without prominent central nervous system (CNS) effects; expectorants and mucolytics; hemostatics; cardiac glycosides and anti-arrhythmics; topical anesthetics; antidiarrheals and mild analgesics. This class also includes the non-steroidal anti-inflammatory drugs (NSAIDs), at concentrations greater than established limits.
- **Class 5:** This class includes those therapeutic medications for which concentration limits have been established by the racing jurisdictions as well as certain miscellaneous agents and other medications as determined by the regulatory bodies. Included specifically are agents that have very localized actions only, such as anti-ulcer drugs, and certain anti-allergic drugs. The anticoagulant drugs are also included.

- **Prohibited Practices:**

- A) The possession and/or use of a drug, substance or medication, specified below, on the premises of a facility under the jurisdiction of the regulatory body for which a recognized analytical method has not been developed to detect and confirm the administration of such substance; or the use of which may endanger the health and welfare of the horse or endanger the safety of the rider or driver; or the use of which may adversely affect the integrity of racing:
  - 1) Erythropoietin
  - 2) Darbepoietin
  - 3) Oxyglobin
  - 4) Hemopure
- B) The possession and/or use of a drug, substance, or medication on the premises of a facility under the jurisdiction of the regulatory body that has not been approved by the United States Food and Drug Administration (FDA) for use in the United States.
- C) The practice, administration, or application of a treatment, procedure, therapy or method identified below, which is performed on the premises of a facility under jurisdiction of a regulatory body and which may endanger the health and welfare of the horse or endanger the safety of the rider or driver, or the use of which may adversely affect the integrity of racing:

# Drug Classification Scheme

- **Class 1:** Opiates, opium derivatives, synthetic opioids, psychoactive drugs, amphetamines, and all DEA Schedule I substances (see <http://www.deadiversion.usdoj.gov/schedules/#list>), and many DEA Schedule II drugs. Also found in this class are drugs that are potent stimulants of the CNS. Drugs in this class have no generally accepted medical use in the racing horse and their pharmacologic potential for altering the performance of a racing horse is very high.
  
- **Class 2:** Drugs placed in this category have a high potential for affecting the outcome of a race. Most are not generally accepted as therapeutic agents in the racing horse. Many are products intended to alter consciousness or the psychic state of humans, and have no approved or indicated use in the horse. Some, such as injectable local anesthetics, have legitimate use in equine medicine, but should not be found in a racing horse. The following groups of drugs are placed in this class:
  - A. Opiate partial agonists, or agonist-antagonists.
  - B. Non-opiate psychotropic drugs. These drugs may have stimulant, depressant, analgesic or neuroleptic effects.
  - C. Miscellaneous drugs, which might have a stimulant effect on the CNS.
  - D. Drugs with prominent CNS depressant action.
  - E. Anti-depressant and antipsychotic drugs, with or without prominent CNS stimulatory or depressant effects.
  - F. Muscle blocking drugs - those that have a direct neuromuscular blocking action.
  - G. Local anesthetics that have a reasonable potential for use as nerve-blocking agents (except procaine).
  - H. Snake venoms and other biologic substances that may be used as nerve-blocking agents.
  
- **Class 3:** Drugs placed in this class may or may not have an accepted therapeutic use in the horse. Many are drugs that affect the cardiovascular, pulmonary and autonomic nervous systems. They all have the potential of affecting the performance of a racing horse. The following groups of drugs are placed in this class:
  - A. Drugs affecting the autonomic nervous system that do not have prominent CNS effects, but which do have prominent cardiovascular or respiratory system effects. Bronchodilators are included in this class.
  - B. A local anesthetic that has nerve-blocking potential but also has a high potential for producing urine residue levels from a method of use not related to the anesthetic effect of the drug (procaine).
  - C. Miscellaneous drugs with mild sedative action, such as the sleep-inducing antihistamines.
  - D. Primary vasodilating/hypotensive agents.
  - E. Potent diuretics affecting renal function and body fluid composition.
  - F. Anabolic and/or androgenic steroids and other drugs.

- **Class 4:** Drugs in this category comprise primarily therapeutic medications routinely used in racehorses. These may influence performance, but generally have a more limited ability to do so. Groups of drugs assigned to this category include the following:
  - A. Non-opiate drugs that have a mild central antipyretic effect.
  - B. Drugs affecting the autonomic nervous system that do not have prominent CNS, cardiovascular, or respiratory effects:
    1. Drugs used solely as topical vasoconstrictors or decongestants.
    2. Drugs used as gastrointestinal antispasmodics.
    3. Drugs used to void the urinary bladder.
    4. Drugs with a major effect on CNS vasculature or smooth muscle of visceral organs.
  - C. Antihistamines that do not have a significant CNS depressant effect. This does not include the H2 blocking agents, which are in Class 5.
  - D. Mineralocorticoid drugs.
  - E. Skeletal muscle relaxants.
  - F. Anti-inflammatory drugs. These drugs may reduce pain as a consequence of their anti-inflammatory action.
    1. Non-steroidal anti-inflammatory drugs (NSAIDs). (Aspirin-like drugs).
    2. Corticosteroids (glucocorticoids).
    3. Miscellaneous anti-inflammatory agents.
  - G. Less potent diuretics.
  - H. Cardiac glycosides and antiarrhythmic agents.
    1. Cardiac glycosides.
    2. Antiarrhythmic agents (exclusive of lidocaine, bretylium, and propranolol).
    3. Miscellaneous cardiotoxic drugs.
  - I. Topical Anesthetics - agents not available in injectable formulations.
  - J. Antidiarrheal drugs.
  - K. Miscellaneous drugs:
    1. Expectorants with little or no other pharmacologic action.
    2. Stomachics.
    3. Mucolytic agents.
  
- **Class 5:** Drugs in this category are therapeutic medications for which concentration limits have been established by the racing jurisdictions as well as certain miscellaneous agents. Included specifically are agents that have very localized actions only, such as anti-ulcer drugs, and certain antiallergic drugs. The anticoagulant drugs are also included.

# Alphabetical Substance List

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
2-Aminoheptane	Tuamine	4	B
3,4-methylenedioxypropylprovalerone	MDPV, "bath salts"	1	A
3-Methoxytyramine	3-MT	2	A
Acebutolol	Sectral	3	B
Accecarbromal		2	A
Acenocoumarol		5	C
Acepromazine	Atrovet, Notensil, PromAce®	3	B
Acetaminophen (Paracetamol)	Tylenol, Tempra, etc.	4	C
Acetanilid		4	B
Acetazolamide	Diamox, Vetamox	4	B
Acetophenazine	Tindal	2	A
Acetophenetidin (Phenacetin)		4	B
Acetylsalicylic acid (Aspirin)		4	C
Alclomethasone	Aclovate	4	C
Adinazolam		2	A
Adrenochrome monosemicarbazone salicylate		4	B
Albuterol (Salbutamol)	Proventil, Ventolin	3	B
Alclofenac		2	A
Alcuronium	Alloferin	2	A
Aldosterone	Aldocortin, Electrocortin	4	B
Alfentanil	Alfenta	1	A
Almotriptan	Axert	3	A
Alphaprodine	Nisentil	2	A
Alpidem	Anaxyl	2	A
Alprazolam	Xanax	2	A
Alprenolol		3	A
Althesin	Saffan	2	A
Ambenonium	Mytelase, Myeuran	3	B
Ambroxol	Ambril, etc.	4	C
Amcinonide	Cyclocort	4	C
Amiloride	Moduretic; Midamor	4	B
Aminocaproic acid	Amicar, Caprocid	4	C
Amiodarone		4	B
Aminophylline	Aminophyllin, etc.	3	B
Aminopyrine		4	B
Aminorex	Aminoxafen, Aminoxaphen, Apiquel, McN-742, Menocil	1	A
Amisometradine	Rolictron	4	B

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Amisulpride	Solian	2	A
Amitraz	Mitaban	3	A
Amitriptyline	Elavil, Amitril, Endep	2	A
Amlodipine	Ammivin, Norvasc	3	B
Amobarbital	Amytal	2	A
Amoxapine	Asendin	2	A
Amperozide		2	A
Amphetamine		1	A
Amrinone		4	B
Amyl nitrite		3	A
Anileridine	Leritine	1	A
Anilopam	Anisine	2	A
Anisindione		5	C
Anisotropine	Valpin	4	B
Antipyrine		4	B
Apazone (Azapropazone)	Rheumox	4	B
Apomorphine		1	A
Apridine		4	B
Aprobarbital	Alurate	2	A
Arecoline		3	A
Arformoterol		3	A
Articaine	Septocaine; Ultracaine, etc.	2	A
Atenolol	Tenormin	3	B
Atomoxetine	Strattera	2	A
Atracurium	Tracrium	2	A
Atropine		3	B
Azacylonol	Frenque	2	A
Azaperone	Stresnil, Suicalm, Fentaz (with Fentanyl)	2	A
Baclofen	Liorsesal	4	B
Barbital	Veronal	2	A
Barbiturates		2	A
Beclomethasone	Propaderm	4	C
Bemegride	Megimide, Mikedimide	2	A
Benazepril	Lotrel, Lotensin	3	B
Bendroflumethiazide	Naturetin	4	B
Benoxaprofen		2	A
Benoxinate	Dorsacaine	4	C
Benperidol	Anquil	2	A
Bentazepam	Tiadipona	2	A

## Alphabetical Substance List (Cont)

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Benzactizine	Deprol, Bronchodiletten	2	A
Benzocaine		4	B
Benzocetamine		2	A
Benzodiazepines		2	A
Benzonatate	Tessalon, Tessalon Perles, Zonatuss	2	A
Benzphetamine	Didrex	2	A
Benzthiazide		4	B
Benztropine	Cogentin	2	A
Benzylpiperazine (BZP)		1	A
Bepidil	Bepadin	4	B
Betamethasone	Betasone, etc.	4	C
Betaxolol	Kerlone	3	B
Bethanechol	Urecholine, Duvoid	4	C
Bethanidine	Esbatal	3	A
Biperiden	Akineton	3	A
Biriperone		2	A
Bisoprolol	Zebeta, Bisobloc, etc.	3	B
Bitolterol	Effectin	3	A
Bolasterone		3	A
Boldenone	Equipoise	3	B
Boldione		3	A
Bretylum	Bretylol	3	B
Brimonidine	Alphagan	2	A
Bromazepam	Lexotan, Lectopam	2	A
Bromfenac	Duract	3	A
Bromhexine	Oletor, etc.	4	B
Bromisovalum	Diffucord, etc.	2	A
Bromocriptine	Parlodel	2	A
Bromodiphenhydramine		3	B
Bromperidol	Bromidol	2	A
Brompheniramine	Dimetane, Disomer	4	B
Brotizolam	Brotocol	2	A
Budesonide	Pulmacort, Rhinocort	4	C
Bufexamac		3	A
Bumetanide	Bumex	3	B
Bupivacaine	Marcaine	2	A
Buprenorphine	Temgesic	2	A
Bupropion	Wellbutrin	2	A
Buspirone	Buspar	2	A
Butabarbital (Secbutobarbitone)	Butacaps, Butasol, etc.	2	A
Butacaine	Butyn	4	B
Butalbital (Talbutal)	Fiorinal	2	A
Butamben (butyl aminobenzoate)	Butesin	4	C
Butanilcaine	Hostacain	2	A

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Butaperazine	Repoise	2	A
Butoctamide	Listomin	2	A
Butorphanol	Stadol, Torbugesic	3	B
Butoxycaine	Stadacain	4	B
N-Butylscopolamine		3	B
Caffeine		2	B
Calusterone	Methosorb	3	B
Camazepam	Paxor	2	A
Camphor		4	C
Candesartan	Atcand	3	B
Captodiamide	Covatine	2	A
Captopril	Capolen	3	B
Carazolol	Carbacel, Conducton	3	A
Carbachol	Lentin, Doryl	3	B
Carbamezapine	Tegretol	3	B
Carbazochrome		4	C
Carbidopa + levodopa	Sinemet	2	A
Carbinoxamine	Clistin	3	B
Carbromol	Mifudorm	2	A
Carfentanil		1	A
Carisoprodol	Rela, Soma	2	B
Carphenazine	Proketazine	2	A
Carpipramine	Prazinil	2	A
Carprofen	Rimadyl	4	B
Carteolol	Cartrol	3	B
Carticaine (see articaïne)	Septocaine; Ultracaine, etc.	2	A
Carvedilol	Coreg	3	B
Cathinone	khat, kat, qat, quat, chat, catha, Abyssinian tea, African tea	1	A
Celecoxib	Celebrex	3	B
Cetirizine	Zyrtec	4	C
Chloral betaine	Beta-Chlor	2	A
Chloral hydrate	Nactec, Oridrate, etc.	2	A
Chloraldehyde (chloral)		2	A
Chloralose (Alpha-Chloralose)		2	A
Chlordiazepoxide	Librium	2	A
Chlorhexidol		2	A
Chlormerodrin	Neohydrin	4	B
Chlormezanone	Trancopal	2	A
Chloroform		2	A
Chlorophenesin	Maolate	4	C
Chloroprocaine	Nesacaine	2	A
Chloroquine	Avloclor	4	C
Chlorothiazide	Diuril	4	B

## Alphabetical Substance List (Cont)

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Chlorpheniramine	Chlortrienton, etc.	4	B
Chlorprothazine	Newiplege	2	A
Chlorpromazine	Thorazine, Largactil	2	A
Chlorprothixene	Taractan	2	A
Chlorthalidone	Hydroton	4	B
Chlorzoxazone	Paraflex	4	B
Ciclesonide		4	B
Cilostazol	Pletal	5	C
Cimetrol		3	A
Cimetidine	Tagamet	5	D
Cinchocaine	Nupercaine	4	C
Citalopram	Celex	2	A
Clanobutin		4	B
Clemastine	Tavist	3	B
Clenbuterol	Ventipulmin	3	B
Clibucaine	Batrax	4	C
Clidinium	Quarezan, Clindex, etc.	3	B
Clobazam	Urbanyl	2	A
Clobetasol	Temovate	4	C
Clocapramine		2	A
Clocortolone	Cloderm	4	C
Clofenamide		4	B
Clomethiazole (Chlormethiazole)		2	A
Clomipramine	Anafranil	2	A
Clonazepam	Klonopin	2	A
Clonidine	Catapres	3	B
Clorazepate	Tranxene	2	A
Clormecaine	Placacid	4	C
Clostebol		3	B
Clothiapine	Entermin	2	A
Clotiazepam	Treacalmo, Rize	2	A
Cloxazolam	Enadel, Sepazon, Tolestan	2	A
Clozapine	Clozaril, Leponex	2	A
Cobalt		3	B <sup>1</sup>
a-Cobratoxin		1	A
Cocaine <sup>2</sup>		1	B <sup>2</sup>
Codeine		1	A
Colchicine		4	B
Conorphone		2	A

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Corticaine	Ultracain	2	A
Cortisone	Cortone, etc.	4	C
Cromolyn	Intel	5	C
Crotetamide		2	A
Cyamemazine	Tercian	2	A
Cyclandelate	Cyclospasmol	3	A
Cyclizine	Merazine	4	B
Cyclobarbitol	Phanodorm	2	A
Cyclobenzaprine	Flexeril	4	B
Cyclomethylcaine	Surfacaine	4	C
Cyclothiazide	Anhydron, Renazide	4	B
Cycrimine	Pagitane	3	B
Cyproheptadine	Periactin	4	C
Danazol	Danocrine	3	B
Dantrolene	Dantrium	4	C
Darbepoetin	Aranesp	2	A
Decamethonium	Syncurine	2	A
Dehydrochloromethyltestosterone		3	B
Dembroxol (Dembrexine)	Sputolysin	4	C
Demoxepam		2	A
Deoxycorticosterone	Percortin, DOCA, Descotone, Dorcostrin	4	C
Deracoxib	Deremaxx	3	B
Dermorphin		1	A
Desipramine	Norpromine, Pertofrane	2	A
Desonite	Des Owen	4	C
Desoximetasone	Topicort	4	C
Desoxymethyltestosterone		3	B
Detomidine	Dormosedan	3	B
Dexamethasone	Azium, etc.	4	C
Dextromethorphan		4	B
Dextromoramide	Palfium, Narcolo	1	A
Dextropropoxyphene	Darvon	3	B
Dezocine	Dalgan	2	A
Diamorphine		1	A
Diazepam	Valium	2	B
Diazoxide	Proglycem	3	B
Dibucaine	Nupercainal, Cinchocaine	4	C
Dichloralphenazone	Febenol, Isocom	2	A

<sup>1</sup> For cobalt concentrations of less than 25 parts per billion (ppb) of blood serum or plasma no penalty is recommended. For concentrations of 25 ppb or greater but less than 50 ppb of blood plasma or serum the recommended penalty is a written warning, the placement of the horse on the Veterinarians List with removal from list only after a blood test confirms that the concentration is below 25 ppb of blood plasma or serum. Testing shall be paid by the owner(s) of the horse. Concentrations of 50 ppb or greater in blood plasma or serum have a recommended "B" penalty.

<sup>2</sup> Penalty class "A" recommended if regulators can prove an intentional administration.

## Alphabetical Substance List (Cont)

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Dichlorphenamide	Daramide	4	C
Diclofenac	Voltaren, Voltarol	4	C
Dicumarol	Dicumarol	5	C
Diethylpropion	Tepanil, etc.	2	A
Diethylthiambutene	Themalon	2	A
Diflorasone	Florone, Maxiflor	4	C
Diflucortolone	Flu-Cortinest, etc.	4	C
Diflunisal		3	B
Digitoxin	Crystodigin	4	B
Digoxin	Lanoxin	4	B
Dihydrocodeine	Parcodin	2	A
Dihydroergotamine		4	B
Dilorazepam	Briantum	2	A
Diltiazem	Cardizem	4	B
Dimeflin		3	A
Dimethisoquin	Quotane	4	B
Dimethylsulfoxide (DMSO)	Domoso	4	C
Dimethylsulphone (MSM)		5	C
Diphenadione		5	C
Diphenhydramine	Benadryl	3	B
Diphenoxylate	Difenoxin, Lomotil	4	B
Diprenorphine	M50/50	2	A
Dipyridamole	Persantine	3	B
Dipyrrone	Novin, Methampryone	4	C
Disopyramide	Norpac	4	B
Divalproex	Depakote	3	A
Dixyrazine	Esucos	2	A
Dobutamine	Dobutrex	3	B
Dopamine	Intropin	2	A
Donepezil	Aricept	1	A
Doxacurium	Nuromax	2	A
Doxapram	Dopram	2	A
Doxazosin		3	A
Doxefazepam	Doxans	2	A
Doxepin	Adapin, Sinequan	2	A
Doxylamine	Decapryn	3	B
Dromostanolone	Drolban	3	B
Droperidol	Inapsine, Droleptan, Innovar-Vet (with Fentanyl)	2	A
Duloxetine		2	A
Dyclonine	Dyclone	4	C
Dyphylline		3	B
Edrophonium	Tensilon	3	B
Eletripan	Relpax	3	A

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Eltenac		4	C
Enalapril (metabolite enalaprilat)	Vasotec	3	B
Enciprazine		2	A
Endorphins		1	A
Enkephalins		1	A
Ephedrine		2	A
Epibatidine		2	A
Epinephrine		2	A
Ergoloid mesylates (dihydroergocornine mesylate, dihydroergocristine mesylate, and dihydroergocryptine mesylate)		2	A
Ergonovine	Ergotrate	4	C
Ergotamine	Gynergen, Cafegot, etc.	4	B
Erthryl tetranitrate	Cardilate	3	A
Erythropoietin (EPO)	Epogen, Procrit, etc.	2	A
Esmolol	Brevibloc	3	B
Esomeprazole	Nexium	5	D
Estazolam	Domnamid, Eurodin, Nuctalon	2	A
Etamiphylline		3	B
Etanercept	Enbrel	4	B
Ethacrynic acid	Edecrin	3	B
Ethamivan		2	A
Ethanol		2	A
Ethchlorvynol	Placidyl	2	A
Ethinamate	Valmid	2	A
Ethoheptazine	Zactane	4	B
Ethopropazine	Parsidol	2	A
Ethosuximide	Zarontin	3	A
Ethotoin	Peganone	4	B
Ethoxzolamide	Cardrase, Ethamide	4	C
Ethylaminobenzoate (Benzocaine)	Semets, etc.	4	C
Ethylestrenol	Maxibolin, Organon	3	B
Ethylisobutrazine	Diquel	2	A
Ethylmorphine	Dionin	1	A
Ethylnorepinephrine	Bronkephrine	3	A
Etidocaine	Duranest	2	A
Etifoxin	Stresam	2	A
Etizolam	Depas, Pasaden	2	A
Etodolac	Lodine	3	B
Etodroxizine	Indunox	2	A
Etomidate		2	A
Etorphine HCl	M99	1	A
Famotidine	Gaster, etc.	5	D

## Alphabetical Substance List (Cont)

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Felbamate	Felbatol	3	A
Felodipine	Plendil	4	B
Fenarbamate	Tymium	2	A
Fenbufen	Cincopal	3	B
Fenclozic acid	Myalex	2	A
Fenfluramine	Pondimin	2	A
Fenoldopam	Corlopan	3	B
Fenopropfen	Nalfon	3	B
Fenoterol	Berotec	3	B
Fenspiride	Respiride, Respan, etc	3	B
Fentanyl	Sublimaze	1	A
Fentiazac		3	B
Fexofenadine	Allegra	4	C
Firocoxib		4	C
Flecainide	Idalon	4	B
Floctafenine	Idalon, Idarac	4	B
Fluanisone	Sedalande	2	A
Flucinolone	Synalar, etc.	4	C
Fludiazepam	Erispan	2	A
Fludrocortisone	Alforone, etc.	4	C
Flufenamic acid		3	B
Flumethasone	Flucort, etc.	4	C
Flumethiazide	Ademol	4	B
Flunarizine	Sibelium	4	B
Flunisolide	Bronilide, etc.	4	C
Flunitrazepam	Rohypnol, Narcozep, Darkene, Hypnodorm	2	A
Flunixin	Banamine	4	C*
Fluocinolone	Synalar	4	C
Fluocinonide	Licon, Lidex	4	C
Flupromazine	Psyquil, Siquil	2	A
Fluoresone	Caducid	2	A
Fluorometholone	FML	4	B
Fluoroprednisolone	Predef-2X	4	C
Fluoxetine	Prozac	2	A
Fluoxymesterone	Halotestin	3	B
Flupenthixol	Depixol, Fluanxol	2	A
Fluphenazine	Prolixin, Permitil, Anatensol, etc.	2	A
Flupirtine	Katadolone	3	A
Fluprednisolone	Alphadrol	4	C
Flurandrenolide	Cordran	4	C
Flurazepam	Dalmane	2	A
Flurbiprofen	Froben	3	B
Fluspirilene	Imap, Redeptin	2	A

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Fluticasone	Flixonase, Flutide	4	C
Flutoprazepam	Restas	2	A
Fluvoxamine	Dumirox, Faverin, etc.	2	A
Formebolone		3	B
Formoterol	Altram	3	B
Fosinopril	Monopril	3	A
Fosphenytoin	Cerebyx	3	B
Furazabol		3	B
Furosemide	Lasix	N/A	
Gabapentin	Neurontin	3	B
Galantamine	Reminyl	2	A
Gallamine	Flaxedil	2	A
Gamma Aminobutyric Acid (GABA)	Carolina Gold	3	B
Gepirone		2	A
Gestrinone		3	A
Glutethimide	Doriden	2	A
Glycopyrrolate	Robinul	3	B
Guaifenesin (glycerol guaiacolate)	Gecolate	4	C
Guanadrel	Hylorel	3	A
Guanethidine	Ismelin	3	A
Guanabenz	Wytensin	3	B
Halazepam	Paxipam	2	A
Halcinonide	Halog	4	C
Halobetasol	Ultravate	4	C
Haloperidol	Haldol	2	A
Haloxazolam	Somelin	2	A
Hemoglobin glutamers	Oxyglobin Hemopure	2	A
Heptaminol	Corofundol	3	B
Heroin		1	A
Hexafluorenum	Myalexen	2	A
Hexobarbital	Evipal	2	A
Hexocyclium	Tral	4	B
Hexylcaine	Cyclaine	4	C
Homatropine	Homapin	3	B
Homophenazine	Pelvichthol	2	A
Hydralazine	Apresoline	3	B
Hydrochlorothiazide	Hydrodiuril	4	B
Hydrocodone (dihydrocodienone)	Hycodan	1	A
Hydrocortisone (Cortisol)	Cortef, etc.	4	C
Hydroflumethiazide	Saluron	4	B
Hydromorphone	Dilaudid	1	A
Hydroxyamphetamine	Paradrine	1	A
4-Hydroxytestosterone		3	B
Hydroxyzine	Atarax	2	B
Ibomal	Noctal	2	A

## Alphabetical Substance List (Cont)

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Ibuprofen	Motrin, Advil, Nurpin, etc.	4	C
Ibutilide	Corvert	3	B
Iloprost	Ventavis	3	A
Imipramine	Imavate, Presamine, Tofranil	2	A
Indomethacin	Indocin	3	B
Infliximab	Remicade	4	B
Ipratropium		3	B
Irbesarten	Avapro	3	A
Isapirone		2	A
Isocarboxazid	Marplan	2	A
Isoetharine	Bronkosol	3	B
Isoflupredone	Predef	4	C
Isomethadone		2	A
Isometheptene	Octin, Octon	4	B
Isopropamide	Darbid	4	B
Isoproterenol	Isoprel	2	A
Isosorbide dinitrate	Isordil	3	B
Isoxicam	Maxicam	2	A
Isoxsuprine	Vasodilan	4	C
Isradipine	DynaCirc	4	B
Kebuzone		3	B
Ketamine	Ketalar, Ketaset, Vetalar	2	B
Ketazolam	Anxon, Lafram, Solatran, Loftran	2	A
Ketoprofen	Orudis	4	C*
Ketorolac	Toradol	3	A
Labetalol	Normodyne	3	B
Lamotrigine	Lamictal	3	A
Lansoprazole		5	D
Lenperone	Elanone-V	2	A
Letosteine	Viscotiol, Visiotal	4	C
Levamisole		2	B
Levobunolol	Betagan	3	B
Levomethorphan		2	A
Levorphanol	Levo-Dremoran	1	A
Lidocaine	Xylocaine	2	B
Lisinopril	Prinivil, Zestril	3	A
Lithium	Lithizine, Duralith, etc.	2	A
Lobeline		2	A
Lofentanil		1	A
Loflazepate, Ethyl	Victan	2	A
Loperamide	Imodium	2	A
Loprazolam	Dormonort, Havlane	2	A
Loratidine	Claritin	4	B

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Lorazepam	Ativan	2	A
Lormetazepam	Noctamid	2	A
Losartan	Hyzaar	3	B
Loxapine	Laxitane	2	A
Mabuterol		3	A
Maprotiline	Ludiomil	2	A
Mazindol	Sanorex	1	A
Mebutamate	Axiten, Dormate, Capla	2	A
Mecamylamine	Inversine	3	B
Meclizine	Antivert, Bonine	4	B
Meclofenamic acid	Arquel	4	C
Meclofenoxate	Lucidril, etc.	2	A
Medazepam	Nobrium, etc.	2	A
Medetomidine	Domitor	3	B
Medrysone	Medriusar, etc.	4	C
Mefenamic acid	Ponstel	3	B
Meloxicam	Mobic	4	B
Melperone	Eunerpan	2	A
Memantine	Namenda	2	A
Meparfynol	Oblivon	2	A
Mepazine	Pacatal	2	A
Mepenzolate	Cantil	3	A
Meperidine	Demerol	1	A
Mephesisin	Tolserol	4	B
Mephexalone	Control, etc.	2	A
Mephentermine	Wyamine	1	A
Mephentoin	Mesantoin	2	A
Mephobarbital (Methylphenobarbital)	Mebaral	2	A
Mepivacaine	Carbocaine	2	B
Meprobamate	Equanil, Miltown	2	A
Meralluride	Mercuhydrin	4	B
Merbaphen	Novasural	4	B
Mercaptomerin	Thiomerin	4	B
Mercumalilin	Cumertilin	4	B
Mersalyl	Salyrgan	4	B
Mesalamine	Asacol	5	C
Mesoridazine	Serentil	2	A
Mestanolone		3	B
Mesterolone		3	B
Metaclazepam	Talis	2	A
Metaproterenol	Alupent, Metaprel	3	B
Metaraminol	Aramine	1	A
Metaxalone	Skelaxin	4	B
Metazocine		2	A

## Alphabetical Substance List (Cont)

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Metenolone		3	B
Methacholine		3	A
Methadone	Dolophine	1	A
Methamphetamine	Desoxyn	1	A <sup>3</sup>
Methandienone		3	B
Methandriol	Probolic	3	B
Methandrostenolone	Dianabol	3	A
Methantheline	Banthine	3	B
Methapyrilene	Histadyl, etc.	4	B
Methaqualone	Quaalude	1	A
Metharbital	Gemonil	2	A
Methasterone		3	A
Methazolamide	Naptazane	4	C
Methcathinone		1	A
Methdilazine	Tacaryl	4	B
Methixene	Trest	3	A
Methocarbamol	Robaxin	4	C
Methohexital	Brevital	2	A
Methotrexate	Folex, Nexate, etc.	4	B
Methotrimeprazine	Levoprome, Neurocil, etc.	2	A
Methoxamine	Vasoxyl	3	A
Methoxyphenamine	Orthoxide	3	A
Methscopolamine	Pamine	4	B
Methsuximide	Celontin	3	A
Methylatropine		3	B
Methylchlorthiazide	Enduron	4	B
Methyldienolone		3	B
Methyldopa	Aldomet	3	A
Methylhexanamine (Methylhexaneamine)	Geranamine	1	A
Methylergonovine	Methergine	4	C
Methylnortestosterone		3	B
Methylphenidate	Ritalin	1	A
Methylprednisolone	Medrol	4	C
Methyltestosterone	Metandren	3	A
Methyl-1-testosterone		3	A
Methypylon	Noludar	2	A
Methysergide	Sansert	4	B
Metamide		4	B
Metoclopramide	Reglan	4	C
Metocurine	Metubine	2	A
Metolazone		3	B

<sup>3</sup> Recommended Penalty B if testing can prove presence of only levo-methamphetamine is present in sample.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Metomidate	Hypnodil	2	A
Metopon (methyldihydromorphinone)		1	A
Metoprolol	Lopressor	3	B
Mexazolam	Melex	2	A
Mexilitine	Mexilil	4	B
Mibefradil	Posicor	3	B
Mibolerone		3	B
Midazolam	Versed	2	A
Midodrine	Pro-Amiline	3	B
Milrinone		4	B
Minoxidil	Loniten	3	B
Mirtazepine	Remeron	2	A
Misoprostel	Cytotec	5	C
Mivacurium	Mivacron	2	A
Modafinil	Provigil	2	A
Moexipril (metabolite, moexiprilat)	Uniretic	3	B
Molindone	Moban	2	A
Mometasone	Elocon	4	C
Montelukast	Singulair	4	C
Moperone	Luvatren	2	A
Morphine <sup>4</sup>		1	B <sup>4</sup>
Mosaprimine		2	A
Muscarine		3	A
myo-inositol trispyrophosphate (ITPP)		1	A
Nabumetone	Anthraxan, Relafen, Reliflex	3	A
Nadol	Corgard	3	B
Naepaine	Amylsine	4	C
Nalbuphine	Nubain	2	A
Nalorphine	Nalline, Lethidrone	2	A
Naloxone	Narcan	3	A
Naltrexone	Revia	3	A
Nandrolone	Nandrolin, Laurabolin, Durabolin	3	B
Naphazoline	Privine	4	B
Naproxen	Equiproxen, Naprosyn	4	C
Naratriptan	Amerge	3	B
Nebivolol		3	A
Nedocromil	Tilade	5	C
Nefazodone	Serzone	2	A
Nefopam		3	A

<sup>4</sup> Penalty class "A" recommended if regulators can prove an intentional administration.

## Alphabetical Substance List (Cont)

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Neostigmine	Prostigmine	3	B
Nicardipine	Cardine	4	B
Nifedipine	Procardia	4	B
Niflumic acid	Nifluril	3	B
Nikethamide	Coramine	1	A
Nimesulide		3	B
Nimetazepam	Erimin	2	A
Nimodipine	Nemotop	4	B
Nitrazepam	Mogadon	2	A
Nitroglycerin		3	B
Nizatidine	Axid	5	C
19-Norandrostenediol		3	B
19-Norandrostenedione		3	B
Norbolethone		3	B
Norclostebol		3	B
Nordiazepam	Calmday, Nordaz, etc.	2	A
Norepinephrine		2	A
Norethandrolone		3	A
Nortestosterone		4	C
Nortriptyline	Aventyl, Pamelor	2	A
Nylidrine	Arlidin	3	A
Olanzapine	Zyprexa	2	A
Olmesartan	Benicar	3	A
Olsalazine	Dipentum	4	B
Omeprazole	Prilosec, Losec	5	D
Orphenadrine	Norlflex	4	B
Oxabolone		3	B
Oxandrolone	Anavar	3	B
Oxaprozin	Daypro, Deflam	4	C
Oxazepam	Serax	2	A
Oxazolam	Serenal	2	A
Oxcarbazepine	Trileptal	3	A
Oxilofrine (hydroxyephedrine)		2	A
Oxprenolol	Trasicor	3	B
Oxycodone	Percodan	1	A
Oxymesterone		3	B
Oxymetazoline	Afrin	4	B
Oxymetholone	Adroyd, Anadrol	3	B
Oxymorphone	Numorphan	1	A
Oxyperitine	Forit, Integrin	2	A
Oxyphenbutazone	Tandearil	4	C
Oxyphenyclimine	Daricon	4	B
Oxyphenonium	Antrenyl	4	B
Paliperidone		2	A
Pancuronium	Pavulon	2	A

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Pantoprazole	Protonix	5	D
Papaverine	Pavagen, etc.	3	A
Paraldehyde	Paral	2	A
Paramethadione	Paradione	3	A
Paramethasone	Haldrone	4	C
Pargyline	Eutonyl	3	A
Paroxetine	Paxil, Seroxat	2	A
Pemoline	Cylert	1	A
Penbutolol	Levitol	3	B
Penfluridol	Cyperon	2	A
Pentaerythritol tetranitrate	Duotrate	3	A
Pentazocine	Talwin	3	B
Pentobarbital	Nembutal	2	A
Pentoxyfylline	Trental, Vazofirin	4	C
Pentylene tetrazol	Metrazol, Nioric	1	A
Perazine	Taxilan	2	A
Perfluorodecolin		2	A
Perfluorodecahydronaphthalene		2	A
Perfluorooctylbromide		2	A
Perfluorotripropylamine		2	A
Perfluorocarbons		2	A
Pergolide	Permax	3	B
Periciazine	Alodept, etc.	2	A
Perindopril	Biprel	3	A
Perlazine	Hypnodin	2	A
Perphenazine	Trilafon	2	A
Phenacemide	Phenurone	4	B
Phenaglycodol	Acalo, Alcamid, etc.	2	A
Phenazocine	Narphen	1	A
Phencyclidine (PCP)	Sernylan	1	A
Phendimetrazine	Bontril, etc.	1	A
Phenelzine	Nardelzine, Nardil	2	A
Phenindione	Hedulim	5	C
Phenmetrazine	Preludin	1	A
Phenobarbital	Luminal	2	A
Phenoxybenzamine	Dibenzyline	3	B
Phenprocoumon	Liquamar	5	C
Phensuximide	Milontin	4	B
Phentermine	Iomamin	2	A
Phentolamine	Regitine	3	B
Phenylbutazone	Butazolidin	4	C*
Phenylephrine	Isophrin, Neo-Synephrine	3	B
Phenylpropanolamine	Propadrine	3	B
Phenytoin	Dilantin	4	B
Physostigmine	Eserine	3	B

## Alphabetical Substance List (Cont)

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Picrotoxin		1	A
Pimindone	Alvodine, Cimadon	2	A
Pimozide	Orap	2	A
Pinazepam	Domar	2	A
Pindolol	Viskin	3	A
Pipamperone	Dipiperon	2	A
Pipecuronium	Arduan	2	A
Pipequaline		2	A
Piperacetazine	Psymod, Quide	2	A
Piperocaine	Metycaine	2	A
Pipotiazine	Lonseren, Piportil	2	A
Pipradrol	Dataril, Gerondyl, etc.	2	A
Piquindone		2	A
Pirbuterol	Maxair	3	A
Pirenzapine	Gastrozepin	5	C
Piretanide	Arelix, Tauliz	3	B
Piritramide		1	A
Piroxicam	Feldene	3	B
Polyethylene glycol		5	C
Polythiazide	Renese	4	B
Pramoxine	Tronothaine	4	C
Prazepam	Verstran, Centrax	2	A
Prazosin	Minipress	3	B
Prednisolone	Delta-Cortef, etc.	4	C
Prednisone	Meticorten, etc.	4	C
Prilocaine	Citanest	2	A
Primidone	Mysoline	3	B
Probenecid		4	C
Procainamide	Pronestyl	4	B
Procaine		3	B
Procatenol	Pro Air	3	A
Prochlorperazine	Darbazine, Compazine	2	A
Procyclidine	Kemadrin	3	B
Promazine	Sparine	3	B
Promethazine	Phenergan	3	B
Propafenone	Rythmol	4	B
Propanidid		2	A
Propantheline	Pro-Banthine	3	A
Proparacaine	Ophthaine	4	C
Propentophylline	Karsivan	3	B
Propiomazine	Largon	2	A
Propionylpromazine	Tranvet	2	A
Propiram		2	A
Propofol	Diprivan, Disoprivan	2	A
Propoxycaine	Ravocaine	2	A

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Propranolol	Inderal	3	B
Propylhexedrine	Benzedrex	4	B
Prostanazol		3	B
Prothipendyl	Dominal	2	A
Protokylol	Ventaire	3	A
Protriptyline	Concordin, Triptil	2	A
Proxibarbitol	Axeen, Centralgol	2	A
Pseudoephedrine	Cenafed, Novafed	3	B
Pyridostigmine	Mestinon, Regonol	3	B
Pyrilamine	Neoantergan, Equihist	3	B
Pyrithyldione	Hybersulfan, Sonodor	2	A
Quazipam	Doral	2	A
Quetiapine	Seroquel	2	A
Quinbolone		3	B
Quinapril, Quinaprilat	Accupril	3	A
Quinidine	Quinidex, Quinicardine	4	B
Rabeprazole	Aciphex	5	D
Racemethorphan		2	A
Racemorphan		2	A
Raclopride		2	A
Ractopamine	Paylean	2	A
Ramipril, metabolite Ramiprilat	Altace	3	A
Ranitidine	Zantac	5	D
Remifentanil	Ultiva	1	A
Remoxipride	Roxiam	2	A
Reserpine	Serpasil	2	A
Rilmazafone		2	A
Risperidone		2	A
Ritanserlin		2	A
Ritodrine	Yutopar	3	B
Rivastigmine	Exelon	2	A
Rizatriptan	Maxalt	3	B
Rocuronium	Zemuron	2	A
Rofecoxib	Vioxx	2	A
Romifidine	Sedivet	2	B
Ropivacaine	Naropin	2	A
Salicylamide		4	C
Salicylate		4	C
Salmeterol		3	B
Scopolamine (Hyoscine)	Triptone	3	B
Secobarbital (Quinalbarbitone)	Seconal	2	A
Selegiline	Eldepryl, Jumex, etc.	2	A
Sertraline	Lustral, Zoloft	2	A
Sibutramine	Meridia	3	B
Sildenafil	Viagra	3	A

## Alphabetical Substance List (Cont)

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Snake Venoms		2	A
Somatropin	Nutropin	2	A
Somatrem	Protropin	2	A
Sotalol	Betapace, Sotacor	3	B
Spiclomazine		2	A
Spiperone		2	A
Spirapril, metabolite Spiraprilat	Renomax	3	A
Spironalactone	Aldactone	4	B
Stanozolol	Winstrol-V	3	B
Stenbolone		3	B
Strychnine		1	B
Succinylcholine	Sucostrin, Quelin, etc.	2	A
Sufentanil	Sufenta	1	A
Sulfasalazine	Azulfidine, Azaline	4	C
Sulfondiethylmethane		2	A
Sulfonmethane		2	A
Sulforidazine	Inofal	2	A
Sulindac	Clinoril	3	A
Sulpiride	Aiglonyl, Sulpitil	2	A
Sultopride	Barnetil	2	A
Sumatriptan	Imitrex	3	B
Synthetic cannabis	Spice, K2, Kronic	1	A
Tadalafil	Cialis	3	A
Talbutal	Lotusate	2	A
Tandospirone		2	A
Telmisartan	Micardis	3	B
Temazepam	Restoril	2	A
Tenoxicam	Alganex, etc.	3	B
Tepoxalin		3	B
Terazosin	Hytrin	3	A
Terbutaline	Brethine, Bricanyl	3	B
Terfenadine	Seldane, Triludan	4	B
Testolactone	Teslac	3	B
Testosterone		3	B
Tetrabenazine	Nitoman	2	A
Tetracaine	Pontocaine	2	A
Tetrahydrogestrinone		3	A
Tetrahydrozoline	Tyzine	4	B
Tetrazepam	Musaril, Myolastin	2	A
Thebaine		2	A
Theobromine		4	B
Theophylline	Aqualphyllin, etc.	3	B
Thialbarbital	Kemithal	2	A
Thiamylal	Surital	2	A
Thiethylperazine	Torecan	2	A

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Thiopental	Pentothal	2	A
Thiopropazate	Dartal	2	A
Thiopropazine	Majeptil	2	A
Thioridazine	Mellaril	2	A
Thiosalicylate		4	C
Thiothixene	Navane	2	A
Thiphenamil	Trocinate	4	B
Tiapride	Italprid, Luxoben, etc.	2	A
Tiaprofenic acid	Surgam	3	B
Tiletamine	Component of Telazol	2	A
Timiperone	Tolopelon	2	A
Timolol	Blocardrin	3	B
Tocainide	Tonocard	4	B
Tofisopam	Grandaxain, Seriel	2	A
Tolazoline	Priscoline	3	B
Tolmetin	Tolectin	3	B
Topirimate	Topamax	2	A
Torseamide (Torasemide)	Demadex	3	A
Tramadol	Ultram	2	B
Trandolapril (and metabolite, trandolaprilat)	Tarka	3	B
Tranexamic acid		4	C
Tranlycypromine	Parnate	2	A
Trazodone	Desyrel	2	A
Trenbolone	Finoplax	3	B
Tretoquinol	Inolin	2	A
Triamcinolone	Vetalog, etc.	4	C
Triamterene	Dyrenium	4	B
Triazolam	Halcion	2	A
Tribromethanol		2	A
Tricaine methanesulfonate	Finquel	2	A
Trichlormethiazide	Naqua, Naquasone	4	C
Trichloroethanol		2	A
Trichloroethylene	Trilene, Trimar	2	A
Triclofos	Triclos	2	A
Tridihexethyl	Pathilon	4	B
Trifluomepazine	Nortran	2	A
Trifluoperazine	Stelazine	2	A
Trifluperidol	Triperidol	2	A
Triflupromazine	Vetame, Vesprin	2	A
Trihexylphenidyl	Artane	3	A
Trimeprazine	Temaril	4	B
Trimethadione	Tridione	3	B
Trimethaphan	Arfonad	3	A
Trimipramine	Surmontil	2	A

## Alphabetical Substance List (Cont)

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Tripelennamine	PBZ	3	B
Tripolidine	Actidil	4	B
Tubocurarine (Curare)	Metubin	2	A
Tybamate	Benvil, Nospan, etc.	2	A
Urethane		2	A
Valdecoxib		2	A
Valerenic acid		3	A
Valnoctamide	Nirvanyl	2	A
Valsartan	Diovan	3	B
Vardenafil	Levitra	3	A
Vedaprofen		4	B
Venlafaxine	Efflexor	2	A
Veralipride	Accional, Veralipril	2	A
Verapamil	Calan, Isoptin	4	B
Vercuronium	Norcuron	2	A
Viloxazine	Catatrol, Vivalan, etc.	2	A
Vinbarbital	Delvinol	2	A
Vinylbital	Optanox, Speda	2	A
Warfarin	Coumadin, Coufarin	5	C
Xylazine	Rompun, Bay Va 1470	3	B
Xylometazoline	Otrivin	4	B
Yohimbine		2	A
Zafirlukast	Accolate	4	C
Zaleplon	Sonata	2	A
Zeranol	Ralgro	4	C
Ziconotide		1	A
Zileuton	Zyflo	4	C
Zilpaterol hydrochloride	Zilpaterol	2	A
Ziprasidone	Geoden	2	A
Zolazepam		2	A
Zolmitriptan	Zomig	3	B
Zolpidem	Ambien, Stilnox	2	A
Zomepirac	Zomax	2	A
Zonisamide	Zonegran	3	B
Zopiclone	Imovan	2	A
Zotepine	Lodopin	2	A
Zuclopenthixol	Ciatyl, Cesordinol	2	A
$\Delta$ -1-androstene-3, 17-diol		3	A
$\Delta$ -1-androstene-3, 17-dione		3	A
$\Delta$ -1-dihydrotestosterone		3	A

\*See Recommended Penalty Section of Document

## Listing by Classification

**Class 1:** Stimulant and depressant drugs that have the highest potential to affect performance and that have no generally accepted medical use in the racing horse. Many of these agents are Drug Enforcement Agency (DEA) Schedule II substances. These include the following drugs and their metabolites: Opiates, opium derivatives, synthetic opioids, psychoactive drugs, all DEA Schedule I\* substances (see <http://www.usdoj.gov/dea/pubs/scheduling.html>), amphetamines and amphetamine-like drugs as well as related drugs, including but not limited to apomorphine, nikethamide, mazindol, pemoline, and pentylenetetrazol.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
3,4-methylenedioxypropylamphetamine	MDPV, "Bath Salts"	1	A
Alfentanil	Alfenta	1	A
Aminorex	Aminoxafen, Aminoxaphen, Apiquel, McN-742, Menocil	1	A
Amphetamine		1	A
Anileridine	Leritine	1	A
Apomorphine		1	A
Benzylpiperazine (BZP)		1	A
Carfentanil		1	A
Cathinone	khat, kat, qat, quat, chat, catha, Abyssinian tea, African tea	1	A
α-Cobratoxin		1	A
Cocaine <sup>4</sup>		1	B <sup>4</sup>
Codeine		1	A
DEA Schedule I (all)*		1	A
Dermorphin		1	A
Dextromoramide	Palfium, Narcolo	1	A
Diamorphine		1	A
Donepezil	Aricept	1	A
Endorphins		1	A
Enkephalins		1	A
Ethylmorphine	Dionin	1	A
Etorphine HCl	M99	1	A
Fentanyl	Sublimaze	1	A
Heroin		1	A
Hydrocodone (dihydrocodienone)	Hydocane	1	A
Hydromorphone	Dilaudid	1	A
Hydroxyamphetamine	Paradrine	1	A
Levorphanol	Levo-Dremoran	1	A
Lofentanil		1	A

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Mazindol	Sanorex	1	A
Meperidine	Demerol	1	A
Mephentermine	Wyamine	1	A
Metaraminol	Aramine	1	A
Methadone	Dolophine	1	A
Methamphetamine	Desoxyn	1	A <sup>5</sup>
Methaqualone	Quaalude	1	A
Methcathinone		1	A
Methylhexanamine (Methylhexanamine)	Geranamine	1	A
Methylphenidate	Ritalin	1	A
Metopon (methyl dihydromorphinone)		1	A
Morphine <sup>6</sup>		1	B <sup>6</sup>
myo-inositol trispyrophosphate (ITPP)		1	A
Nikethamide	Coramine	1	A
Oxycodone	Percodan	1	A
Oxymorphone	Numorphan	1	A
Pemoline	Cylert	1	A
Pentylenetetrazol	Metrazol, Nioric	1	A
Phenazocine	Narphen	1	A
Phencyclidine (PCP)	Sernylan	1	A
Phendimetrazine	Bontril, etc.	1	A
Phenmetrazine	Preludin	1	A
Picrotoxin		1	A
Piritramide		1	A
Remifentanil	Ultiva	1	A
Strychnine		1	B
Sufentanil	Sufenta	1	A
Synthetic cannabis	Spice, K2, Kronic	1	A
Ziconotide		1	A

<sup>5</sup> Recommended Penalty B if testing can prove presence of only levo-methamphetamine is present in sample.

<sup>6</sup> Penalty class "A" recommended if regulators can prove an intentional administration.



## Listing by Classification (Continued)

**Class 2:** Drugs that have a high potential to affect performance, but less of a potential than Class 1. These drugs are 1) not generally accepted as therapeutic agents in racing horses, or 2) they are therapeutic agents that have a high potential for abuse.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
3-Methoxytyramine	3-MT	2	A
Acecarbromal		2	A
Acetophenazine	Tindal	2	A
Adinazolam		2	A
Alclofenac		2	A
Alcuronium	Alloferin	2	A
Alphaprodine	Nisentil	2	A
Alpidem	Anaxyl	2	A
Alprazolam	Xanax	2	A
Althesin	Saffan	2	A
Amisulpride	Solian	2	A
Amitriptyline	Elavil, Amitril, Endep	2	A
Amobarbital	Amytal	2	A
Amoxapine	Asendin	2	A
Amperozide		2	A
Anilopam	Anisine	2	A
Aprobarbital	Alurate	2	A
Articaine	Septocaine; Ultracaine, etc.	2	A
Atomoxetine	Strattera	2	A
Atracurium	Tracrium	2	A
Azacylonol	Frenque	2	A
Azaperone	Stresnil, Suicalm, Fentaz (with Fentanyl)	2	A
Barbital	Veronal	2	A
Barbiturates		2	A
Bemegride	Megimide, Mikedimide	2	A
Benoxaprofen		2	A
Benperidol	Anquil	2	A
Bentazepam	Tiadipona	2	A
Benzactizine	Deprol, Bronchodiletten	2	A
Benzocetamine		2	A
Benzodiazepines		2	A
Benzonatate	Tessalon, Tessalon Perles, Zonatuss	2	A
Benzphetamine	Didrex	2	A
Benztropine	Cogentin	2	A
Biriperone		2	A
Brimonidine	Alphagan	2	A
Bromazepam	Lexotan, Lectopam	2	A

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Bromisovalum	Diffucord, etc.	2	A
Bromocriptine	Parlodol	2	A
Bromperidol	Bromidol	2	A
Brotizolam	Brotocol	2	A
Bupivacaine	Marcaine	2	A
Buprenorphine	Temgesic	2	A
Buspiron	Buspar	2	A
Bupropion	Wellbutrin	2	A
Butabarbital (Secbutobarbitone)	Butacaps, Butasol, etc.	2	A
Butalbital (Talbutal)	Fiorinal	2	A
Butanilicaine	Hostacain	2	A
Butaperazine	Repoise	2	A
Butoctamide	Listomin	2	A
Caffeine		2	B
Camazepam	Paxor	2	A
Captodiamine	Covatine	2	A
Carbidopa + levodopa	Sinemet	2	A
Carbromol	Mifudorm	2	A
Carisoprodol	Soma, Rela	2	B
Carphenazine	Proketazine	2	A
Carpipramine	Prazinil	2	A
Carticaine (see articaine)	Septocaine; Ultracaine, etc.	2	A
Chloralose (Alpha-Chloralose)		2	A
Chloral betaine	Beta-Chlor	2	A
Chloral hydrate	Nactec, Oridrate, etc.	2	A
Chloraldehyde (chloral)		2	A
Chlordiazepoxide	Librium	2	A
Chlormezanone	Trancopal	2	A
Chloroform		2	A
Chlorhexidol		2	A
Chloroprocaine	Nesacaine	2	A
Chlorproethazine	Newiplege	2	A
Chlorpromazine	Thorazine, Largactil	2	A
Chlorprothixene	Taractan	2	A
Citalopram	Celex	2	A
Clobazam	Urbanyl	2	A
Clocapramine		2	A
Clomethiazole (Chlormethiazole)		2	A
Clomipramine	Anafranil	2	A

## Listing by Classification (Continued)

**Class 2:** Drugs that have a high potential to affect performance, but less of a potential than Class 1. These drugs are 1) not generally accepted as therapeutic agents in racing horses, or 2) they are therapeutic agents that have a high potential for abuse.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Clonazepam	Klonopin	2	A
Clorazepate	Tranxene	2	A
Clothiapine	Entermin	2	A
Clotiazepam	Trecalmo, Rize	2	A
Cloxazolam	Enadel, Sepazon, Tolestan	2	A
Clozapine	Clozaril, Leponex	2	A
Conorphone		2	A
Corticaine	Ultracain	2	A
Crotetamide		2	A
Cyamemazine	Tercian	2	A
Cyclobarbitol	Phanodorm	2	A
Darbepoetin	Aranesp	2	A
Decamethonium	Syncurine	2	A
Demoxepam		2	A
Desipramine	Norpromine, Pertofrane	2	A
Dezocine	Dalgan®	2	A
Diazepam	Valium	2	B
Dichloralphenazone	Febenol, Isocom	2	A
Diethylpropion	Tepanil, etc.	2	A
Diethylthiambutene	Themalon	2	A
Dihydrocodeine	Parcodin	2	A
Dilorazepam	Briantum	2	A
Diprenorphine	M50/50	2	A
Dixyrazine	Esucos	2	A
Dopamine	Intropin	2	A
Doxacurium	Nuromax	2	A
Doxapram	Dopram	2	A
Doxefazepam	Doxans	2	A
Doxepin	Adapin, Sinequan	2	A
Droperidol	Inapsine, Droleptan, Innovar-Vet (with Fentanyl)	2	A
Duloxetine		2	A
Enciprazine		2	A
Ephedrine		2	A
Epibatidine		2	A
Epinephrine		2	A
Ergoloid Mesylates (dihydroergocornine)		2	A

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Mesylate, dihydroergocristine mesylate and dihydroergocryptine mesylate)	Hydergine		
Erythropoietin (EPO)	Epogen, Procrit, etc.	2	A
Estazolam	Domnamid, Eurodin, Nuctalon	2	A
Ethamivan		2	A
Ethanol		2	A
Ethchlorvynol	Placidyl	2	A
Ethinamate	Valmid	2	A
Ethopropazine	Parsidol	2	A
Ethylisobutrazine	Diquel	2	A
Etidocaine	Duranest	2	A
Etifoxin	Stresam	2	A
Etizolam	Depas, Pasaden	2	A
Etodroxizine	Indunox	2	A
Etomidate		2	A
Fenarbamate	Tymium	2	A
Fenclozic Acid	Cincopal	2	A
Fenfluramine	Pondimin	2	A
Fluanisone	Sedalande	2	A
Fludiazepam	Erispam	2	A
Flunitrazepam	Rohypnol, Narcozep, Darkene, Hypnodorm Darkene, Hypnodorm Darkene, Hypnodorm Darkene	2	A
Fluopromazine	Psyquil, Siquil	2	A
Fluoresone	Caducid	2	A
Fluoxetine	Prozac	2	A
Flupenthixol	Depixol, Fluaxol	2	A
Fluphenazine	Prolixin, Permitil, Anatsensol, etc.	2	A
Flurazepam	Dalmane	2	A
Fluspirilene	Imap, Redeptin	2	A
Flutoprazepam	Restas	2	A
Fluvoxamine	Dumirox, Faverin, etc.	2	A
Galantamine	Reminyl	2	A
Gallamine	Flaxedil	2	A
Gepirone		2	A
Glutethimide	Doriden	2	A

## Listing by Classification (Continued)

**Class 2:** Drugs that have a high potential to affect performance, but less of a potential than Class 1. These drugs are 1) not generally accepted as therapeutic agents in racing horses, or 2) they are therapeutic agents that have a high potential for abuse.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Halazepam	Paxipam	2	A
Haloperidol	Haldol	2	A
Haloxazolam	Somelin	2	A
Hemoglobin glutamers	Oxyglobin, Hemopure	2	A
Hexafluorenium	Myalexen	2	A
Hexobarbital	Evipal	2	A
Homophenazine	Pelvichthol	2	A
Hydroxyzine	Atarax	2	B
Ibomal	Noctal	2	A
Imipramine	Imavate, Presamine, Tofranil	2	A
Isapirone		2	A
Isocarboxazid	Marplan	2	A
Isomethadone		2	A
Isoproterenol	Isoprel	2	A
Isoxicam	Maxicam	2	A
Ketamine	Ketalar, Ketaset, Vetalar	2	B
Ketazolam	Anxon, Lafram, Solatran, Loftran	2	A
Lenperone	Elanone-V	2	A
Levamisole		2	B
Levomethorphan		2	A
Lidocaine	Xylocaine	2	B
Lithium	Lithizine, Duralith, etc.	2	A
Lobeline		2	A
Loflazepate, Ethyl	Victan	2	A
Loperamide	Imodium	2	A
Loprazolam	Dormonort, Havlane	2	A
Lorazepam	Ativan	2	A
Lormetazepam	Noctamid	2	A
Loxapine	Laxitane	2	A
Maprotiline	Ludiomil	2	A
Mebutamate	Axiten, Dormate, Capla	2	A
Meclofenoxate	Lucidril, etc.	2	A
Medazepam	Nobrium, etc.	2	A
Melperone	Eunerpan	2	A
Memantine	Namenda	2	A
Meparfynol	Oblivon	2	A
Mepazine	Pacatal	2	A
Mephexalone	Control, etc.	2	A

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Mephénytoin	Mesantoin	2	A
Mephobarbital (Methylphenobarbital)	Mebaral	2	A
Mepivacaine	Carbocaine	2	B
Meprobamate	Equanil, Miltown	2	A
Mesoridazine	Serentil	2	A
Metaclazepam	Talis	2	A
Metazocine		2	A
Metharbital	Gemonil	2	A
Methohexital	Brevital	2	A
Methotrimeprazine	Levoprome, Neurocil, etc.	2	A
Methypylon	Noludar	2	A
Metocurine	Metubine	2	A
Metomidate	Hypnodil	2	A
Mexazolam	Melex	2	A
Midazolam	Versed	2	A
Mirtazepine	Remeron	2	A
Mivacurium	Mivacron	2	A
Modafinil	Provigil	2	A
Molindone	Moban	2	A
Moperone	Luvatren	2	A
Mosaprimine		2	A
Nalbuphine	Nubain	2	A
Nalorphine	Nalline, Lethidrone	2	A
Nefazodone	Serzone	2	A
Nimetazepam	Erimin	2	A
Nitrazepam	Mogadon	2	A
Nordiazepam	Calmday, Nordaz, etc.	2	A
Norepinephrine		2	A
Nortriptyline	Aventyl, Pamelor	2	A
Olanzapine	Zyprexa	2	A
Oxazepam	Serax	2	A
Oxazolam	Serenal	2	A
Oxilofrine (hydroxyephedrine)		2	A
Oxyperitine	Forit, Integrin	2	A
Paliperidone		2	A
Pancuronium	Pavulon	2	A
Paraldehyde	Paral	2	A
Paroxetine	Paxil, Seroxat	2	A
Penfluridol	Cyperon	2	A

## Listing by Classification (Continued)

**Class 2:** Drugs that have a high potential to affect performance, but less of a potential than Class 1. These drugs are 1) not generally accepted as therapeutic agents in racing horses, or 2) they are therapeutic agents that have a high potential for abuse.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Pentobarbital	Nembutal	2	A
Perazine	Taxilan	2	A
Perfluorodecolin		2	A
Perfluorodecahydronophthalene		2	A
Perfluorooctylbromide		2	A
Perfluorotripropylamine		2	A
Perfluorocarbons		2	A
Periciazine	Alodept, etc.	2	A
Perlazine	Hypnodin	2	A
Perphenazine	Trilafon	2	A
Phenaglycodol	Acalo, Alcamid, etc.	2	A
Phenelzine	Nardelzine, Nardil	2	A
Phenobarbital	Luminal	2	A
Phentermine	Iomamin	2	A
Pimindone	Alvodine, Cimadon	2	A
Pimozide	Orap	2	A
Pinazepam	Domar	2	A
Pipamperone	Dipiperon	2	A
Pipecuronium	Arduan	2	A
Pipecqualine		2	A
Piperacetazine	Psymod, Quide	2	A
Piperocaine	Metycaine	2	A
Pipotiazine	Lonseren, Piportil	2	A
Pipradrol	Dataril, Gerondyl, etc.	2	A
Piquindone		2	A
Prazepam	Verstran, Centrax	2	A
Prilocaine	Citanest	2	A
Prochlorperazine	Darbazine, Compazine	2	A
Propanidid		2	A
Propiomazine	Largon	2	A
Propionylpromazine	Tranvet	2	A
Propiram		2	A
Propofol	Diprivan, Disoprivan	2	A
Propoxycaïne	Ravocaine	2	A
Prothipendyl	Dominal	2	A
Protriptyline	Concordin, Triptil	2	A
Proxibarbital	Axeen, Centralgol	2	A
Pyrithyldione	Hybersulfan, Sonodor	2	A
Quazipam	Doral	2	A
Quetiapine	Seroquel	2	A

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Racemethorphan		2	A
Racemorphan		2	A
Raclopride		2	A
Ractopamine	Paylean	2	A
Remoxipride	Roxiam	2	A
Reserpine	Serpasil	2	A
Rilmazafone		2	A
Risperidone		2	A
Ritanserlin		2	A
Rivastigmine	Exelon	2	A
Rocuronium	Zemuron	2	A
Rofecoxib	Vioxx	2	A
Romifidine	Sedivet	2	B
Ropivacaine	Naropin	2	A
Secobarbital (Quinalbarbitone)	Seconal	2	A
Selegiline	Eldepryl, Jumex	2	A
Sertraline	Lustral, Zoloft	2	A
Snake Venoms		2	A
Somatrem	Protropin	2	A
Somatropin	Nutropin	2	A
Spiclomazine		2	A
Spiperone		2	A
Succinylcholine	Sucostrin, Quelin, etc.	2	A
Sulfondiethylmethane		2	A
Sulfonmethane		2	A
Sulforidazine	Inofal	2	A
Sulpiride	Aiglonyl, Sulpitil	2	A
Sultopride	Barnetil	2	A
Talbutal	Lotusate	2	A
Tandospirone		2	A
Temazepam	Restoril	2	A
Tetrabenazine	Nitoman	2	A
Tetracaine	Pontocaine	2	A
Tetrazepam	Musaril, Myolastin	2	A
Thebaine		2	A
Thialbarbital	Kemithal	2	A
Thiamylal	Surital	2	A
Thiethylperazine	Torecan	2	A
Thiopental	Pentothal	2	A
Thiopropazate	Dartal	2	A

## Listing by Classification (Continued)

**Class 2:** Drugs that have a high potential to affect performance, but less of a potential than Class 1. These drugs are 1) not generally accepted as therapeutic agents in racing horses, or 2) they are therapeutic agents that have a high potential for abuse.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Thiopropazine	Majeptil	2	A
Thioridazine	Mellaril	2	A
Thiothixene	Navane	2	A
Tiapride	Italprid, Luxoben, etc.	2	A
Tiletamine	Component of Telazol	2	A
Timiperone	Tolopelon	2	A
Tofisopam	Grandaxain, Seriel	2	A
Topirimate	Topamax	2	A
Tramadol	Ultram	2	B
Tranlycypromine	Parnate	2	A
Trazodone	Desyrel	2	A
Tretoquinol	Inolin	2	A
Triazolam	Halcion	2	A
Tribromethanol		2	A
Tricaine methanesulfonate	Finquel	2	A
Trichloroethanol		2	A
Trichloroethylene	Trilene, Trimar	2	A
Triclofos	Triclos	2	A
Trifluomeprazine	Nortran	2	A
Trifluoperazine	Stelazine	2	A
Trifluoperidol	Triperidol	2	A
Triflupromazine	Vetame, Vesprin	2	A
Trimipramine	Surmontil	2	A
Tubocurarine (Curare)	Metubin	2	A
Tybamate	Benvil, Nospan, etc.	2	A
Urethane		2	A
Valdecoxib		2	A
Valnoctamide	Nirvanyl	2	A
Venlafaxine	Efflexor	2	A
Veralipride	Accional, Veralipril	2	A
Vercuronium	Norcuron	2	A
Viloxazine	Catatrol, Vivalan, etc.	2	A
Vinbarbital	Delvinol	2	A
Vinylbital	Optanox, Speda	2	A
Yohimbine		2	A
Zaleplon	Sonata	2	A
Zilpaterol hydrochloride	Zilpaterol	2	A
Ziprasidone	Geodon	2	A
Zolazepam		2	A
Zolpidem	Ambien, Stilnox	2	A

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Zomepirac	Zomax	2	A
Zopiclone	Imovan	2	A
Zotepine	Lodopin	2	A
Zuclopenthixol	Ciatyl, Cesordinol	2	A

## Listing by Classification (Continued)

**Class 3:** Drugs that may or may not have generally accepted medical use in the racing horse, but the pharmacology of which suggests less potential to affect performance than drugs in Class 2.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Acebutolol	Sectral	3	B
Acepromazine	Atrovet, Notensil, PromAce®	3	B
Albuterol (Salbutamol)	Proventil, Ventolin	3	B
Almotriptan	Axert	3	A
Alprenolol		3	A
Ambenonium	Mytelase, Myeuran	3	B
Aminophylline	Aminophyllin, etc.	3	B
Amitraz	Mitaban	3	A
Amlodipine	Norvasc	3	B
Amyl nitrite		3	A
Arecoline		3	A
Arformoterol		3	A
Atenolol	Tenormin	3	B
Atropine		3	B
Benazepril	Lotrel, Lotensin	3	B
Betaxolol	Kerlone	3	B
Bethanidine	Esbatal	3	A
Biperiden	Akineton	3	A
Bisoprolol	Zebeta, Bisobloc, etc.	3	B
Bitolterol	Effectin	3	A
Bolasterone		3	A
Boldenone	Equipoise	3	B
Boldione		3	A
Bretylum	Bretylol	3	B
Bromfenac	Duract	3	A
Bromodiphenhydramine		3	B
Bufexamac		3	A
Bumetanide	Bumex	3	B
Butorphanol	Stadol, Torbugesic	3	B

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
N-Butylscopolamine		3	B
Calusterone		3	B
Candesartan	Atacand	3	B
Captopril	Capolen	3	B
Carazolol	Carbacel, Conducton	3	A
Carbachol	Lentin, Doryl	3	B
Carbamezapine	Tegretol	3	B
Carbinoxamine	Clistin	3	B
Carteolol	Cartrol	3	B
Carvedilol	Coreg	3	B
Celecoxib	Celebrex	3	B
Cimeterol		3	A
Clemastine	Tavist	3	B
Clenbuterol	Ventipulmin	3	B
Clidinium	Quarezan, Clindex, etc.	3	B
Clonidine	Catapres	3	B
Clostebol		3	B
Cobalt		3	B <sup>7</sup>
Cyclandelate	Cyclospasmol	3	A
Cycrimine	Pagitane	3	B
Danazol	Danocrine	3	B
Dehydrochloromethyltestosterone		3	B
Deracoxib	Deremaxx	3	B
Desoxymethyltestosterone		3	B
Detomidine	Dormosedan	3	B
Dextropropoxyphene	Darvon	3	B
Diazoxide	Proglycem	3	B
Diffunisal		3	B
Dimeflin		3	A
Diphenhydramine	Benadryl	3	B

<sup>7</sup> For cobalt concentrations of less than 25 parts per billion (ppb) of blood serum or plasma no penalty is recommended. For concentrations of 25 ppb or greater but less than 50 ppb of blood plasma or serum the recommended penalty is a written warning, the placement of the horse on the Veterinarians List with removal from list only after a blood test confirms that the concentration is below 25 ppb of blood plasma or serum. Testing shall be paid by the owner(s) of the horse. Concentrations of 50 ppb or greater in blood plasma or serum have a recommended "B" penalty.

## Listing by Classification (Continued)

**Class 3:** Drugs that may or may not have generally accepted medical use in the racing horse, but the pharmacology of which suggests less potential to affect performance than drugs in Class 2.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Dipyridamole	Persantine	3	B
Divalproex	Depakote	3	A
Dobutamine	Dobutrex	3	B
Doxazosin		3	A
Doxylamine	Decapryn	3	B
Dromostanolone	Drolban	3	B
Dyphylline		3	B
Edrophonium	Tensilon	3	B
Eletripan	Relpax	3	A
Enalapril (metabolite enalaprilat)	Vasotec	3	B
Erthryl tetranitrate	Cardilate	3	A
Esmolol	Brevibloc	3	B
Etamiphylline		3	B
Ethacrynic acid	Edecrin	3	B
Ethosuximide	Zarontin	3	A
Ethylestrenol	Maxibolin, Organon	3	B
Ethylnorepinephrine	Bronkephrine	3	A
Etodolac	Lodine	3	B
Felbamate	Felbatol	3	A
Fenbufen	Cincopal	3	B
Fenoldopam	Corlopam	3	B
Fenopropfen	Nalfon	3	B
Fenoterol	Berotec	3	B
Fenspiride	Respiride, Respan, etc	3	B
Fentiazac		3	B
Flurbiprofen	Froben	3	B
Flufenamic Acid		3	B
Fluoxymesterone	Halotestin	3	B
Flupirtine	Katadolone	3	A
Formebolone		3	B
Formoterol	Altram	3	B
Fosinopril	Monopril	3	A
Fosphenytoin	Cerebyx	3	B
Furazabol		3	B
Gabapentin	Neurontin	3	B
Gamma Aminobutyric Acid (GABA)	Carolina Gold	3	B
Gestrinone		3	A
Glycopyrrolate	Robinul	3	B
Guanadrel	Hylorel	3	A
Guanethidine	Ismelin	3	A
Guanabenz	Wyntensin	3	B

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Heptaminol	Corofundol	3	B
Homatropine	Homapin	3	B
Hydralazine	Apresoline	3	B
4-Hydroxytestosterone		3	B
Ibutilide	Corvert	3	B
Iloprost	Ventavis	3	A
Indomethacin	Indocin	3	B
Ipratropium		3	B
Irbesarten	Avapro	3	A
Isoetharine	Bronkosol	3	B
Isosorbide dinitrate	Isordil	3	B
Kebuzone		3	B
Ketorolac	Toradol	3	A
Labetalol	Normodyne	3	B
Lamotrigine	Lamictal	3	A
Levobunolol	Betagan	3	B
Lisinopril	Prinivil, Zestril	3	A
Losartan	Hyzaar	3	B
Mabuterol		3	A
Mecamylamine	Inversine	3	B
Medetomidine	Domitor	3	B
Mefenamic Acid	Ponstel	3	B
Mepenzolate	Cantil	3	A
Mestanolone		3	B
Mesterolone		3	B
Metaproterenol	Alupent, Metaprel	3	B
Metenolone		3	B
Methacholine		3	A
Methandienone		3	B
Methandriol	Probolis	3	B
Methandrostenolone	Dianabol	3	A
Methantheline	Banthine	3	B
Methasterone		3	A
Methixene	Trest	3	A
Methoxamine	Vasoxyl	3	A
Methoxyphenamine	Orthoxide	3	A
Methsuximide	Celontin	3	A
Methylatropine		3	B
Methyldienolone		3	B
Methyldopa	Aldomet	3	A
Methylnortestosterone		3	B

## Listing by Classification (Continued)

**Class 3:** Drugs that may or may not have generally accepted medical use in the racing horse, but the pharmacology of which suggests less potential to affect performance than drugs in Class 2.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Methyltestosterone	Metadren	3	A
Methyl-1-testosterone		3	A
Metolazone		3	B
Metoprolol	Lopressor	3	B
Mibefradil	Posicor	3	B
Mibolerone		3	B
Midodrine	Pro-Amiline	3	B
Minoxidil	Loniten	3	B
Moexipril (metabolite, moexiprilat)	Uniretic	3	B
Muscarine		3	A
Nabumetone	Anthraxan, Relafen, Reliflex	3	A
Nadolol	Corgard	3	B
Naloxone	Narcan	3	A
Naltrexone	Revia	3	A
Nandrolone	Nandrolin, Laurabolin, Durabolin	3	B
Naratriptan	Amerge	3	B
Nebivolol		3	A
Nefopam		3	A
Neostigmine	Prostigmine	3	B
Niflumic Acid	Nifluril	3	B
Nimesulide		3	B
Nitroglycerin		3	B
19-Norandrostenediol		3	B
19-Norandrostenedione		3	B
Norbolethone		3	B
Norclostebol		3	B
Norethandrolone		3	A
Nylidrine	Arlidin	3	A
Olmesartan	Benicar	3	A
Oxabolone		3	B
Oxandrolone	Anavar	3	B
Oxcarbazepine	Trileptal	3	A
Oxprenolol	Trasicor	3	B
Oxymesterone		3	B
Oxymetholone	Adroyd, Anadrol	3	B
Papaverine	Pavagen, etc.	3	A
Paramethadione	Paradione	3	A
Pargyline	Eutonyl	3	A
Penbutolol	Levatal	3	B

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Pentaerythritol tetranitrate	Duotrate	3	A
Pentazocine	Talwin	3	B
Pergolide	Permax	3	B
Perindopril	Biprel	3	A
Phenoxybenzamine	Dibenzyline	3	B
Phentolamine	Regitine	3	B
Phenylephrine	Isophrin, Neo-Synephrine	3	B
Phenylpropanolamine	Propadrine	3	B
Physostigmine	Eserine	3	B
Pindolol	Viskin	3	A
Pirbuterol	Maxair	3	A
Piretanide	Arelix, Tauliz	3	B
Piroxicam	Feldene	3	B
Prazosin	Minipress	3	B
Primidone	Mysoline	3	B
Procaine		3	B
Procatenol	Pro Air	3	A
Procyclidine	Kemadrin	3	B
Promazine	Sparine	3	B
Promethazine	Phenergan	3	B
Propantheline	Pro-Banthine	3	A
Propentophylline	Karsivan	3	B
Propranolol	Inderal	3	B
Prostanazol		3	B
Protokylol	Ventaire	3	A
Pseudoephedrine	Cenafed, Novafed	3	B
Pyridostigmine	Mestinon, Regonol	3	B
Pyrilamine	Neoantergan, Equihist	3	B
Quinapril, Quinaprilat	Accupril	3	A
Quinbolone		3	B
Ramipril, metabolite Ramiprilat	Altace	3	A
Ritodrine	Yutopar	3	B
Rizatriptan	Maxalt	3	B
Salmeterol		3	B
Scopolamine (Hyoscine)	Triptone	3	B
Sibutramine	Meridia	3	B
Sildenafil	Viagra	3	A
Sotalol	Betapace, Sotacor	3	B
Spirapril, metabolite Spiraprilat	Renomax	3	A
Stanozolol	Winstrol-V	3	B
Stenbolone		3	B

## Listing by Classification (Continued)

**Class 3:** Drugs that may or may not have generally accepted medical use in the racing horse, but the pharmacology of which suggests less potential to affect performance than drugs in Class 2.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Sulindac	Clinoril	3	A
Sumatriptan	Imitrex	3	B
Tadalafil	Cialis	3	A
Telmisartan	Micardis	3	B
Tenoxicam	Alganex, etc.	3	B
Tepoxalin		3	B
Terazosin	Hytrin	3	A
Terbutaline	Brethine, Bricanyl	3	B
Testolactone	Teslac	3	B
Testosterone		3	B
Tetrahydrogestrinone		3	A
Theophylline	Aqualphyllin, etc.	3	B
Tiaprofenic Acid	Surgam	3	B
Timolol	Blocardrin	3	B
Tolazoline	Priscoline	3	B
Tolmetin	Tolectin	3	B
Torsemide (Torasemide)	Demadex	3	A
Trandolapril (and metabolite, Trandolaprilat)	Tarka	3	B
Trenbolone	Finoplix	3	B
Trihexylphenidyl	Artane	3	A
Trimethadione	Tridione	3	B
Trimethaphan	Arfonad	3	A
Tripelennamine	PBZ	3	B
Valerenic acid		3	A
Valsartan	Diovan	3	B
Vardenafil	Levitra	3	A
Xylazine	Rompun, Bay Va 1470	3	B
Zolmitriptan	Zomig	3	B
Zonisamide	Zonegran	3	B
$\Delta$ -1-androstene-3, 17-diol		3	A
$\Delta$ -1-androstene-3, 17-dione		3	A
$\Delta$ -1-dihydrotestosterone		3	A

## Listing by Classification (Continued)

**Class 4:** This class includes therapeutic medications that would be expected to have less potential to affect performance than those in Class 3.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
2-Aminoheptane	Tuamine	4	B
Acetaminophen (Paracetamol)	Tylenol, Temptra, etc.	4	C
Acetanilid		4	B
Acetazolamide	Diamox, Vetamox	4	B
Acetophenetidin (Phenacetin)		4	B
Acetylsalicylic acid (Aspirin)		4	C
Alclomethasone	Aclovate	4	C
Adrenochrome monosemicarbazone salicylate		4	B
Aldosterone	Aldocortin, Electrocortin	4	B
Ambroxol	Ambril, etc.	4	C
Amcinonide	Cyclocort	4	C
Amiloride	Moduretic; Midamor	4	B
Aminocaproic acid	Amicar, Caprocid	4	C
Amiodarone		4	B
Aminopyrine		4	B
Amisometradine	Rolictron	4	B
Amlodipine	Norvasc, Ammiwin	4	B
Amrinone		4	B
Anisotropine	Valpin	4	B
Antipyrine		4	B
Apazone (Azapropazone)	Rheumox	4	B
Aprindine		4	B
Baclofen	Lioresal	4	B
Beclomethasone	Propaderm	4	C
Bendroflumethiazide	Naturetin	4	B
Benoxinate	Dorsacaine	4	C
Benzocaine		4	B
Benzthiazide		4	B
Bepidil	Bepadin	4	B
Betamethasone	Betasone, etc.	4	C
Bethanechol	Urecholine, Duvoid	4	C
Bromhexine	Oletor, etc.	4	B
Brompheniramine	Dimetane, Disomer	4	B
Budesonide	Pulmacort, Rhinocort	4	C
Butacaine	Butyn	4	B
Butamben (butyl aminobenzoate)	Butesin	4	C
Butoxycaine	Stadacain	4	B
Camphor		4	C
Carbazochrome		4	C
Carprofen	Rimadyl	4	B
Cetirizine	Zyrtec	4	C

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Chlormerodrin	Neohydrin	4	B
Chlorophenesin	Maolate	4	C
Chloroquine	Avlocor	4	C
Chlorothiazide	Diuril	4	B
Chlorpheniramine	Chlortrimeton, etc.	4	B
Chlorthalidone	Hydroton	4	B
Chlorzoxazone	Paraflex	4	B
Ciclesonide		4	B
Cinchocaine	Nupercaine	4	C
Clanobutin		4	B
Clibucaine	Batrax	4	C
Clobetasol	Temovate	4	C
Clocortolone	Cloderm	4	C
Clofenamide		4	B
Clormecaine	Placacid	4	C
Colchicine		4	B
Cortisone	Cortone, etc.	4	C
Cyclizine	Merazine	4	B
Cyclobenzaprine	Flexeril	4	B
Cyclomethylcaine	Surfacaine	4	C
Cyclothiazide	Anhydron, Renazide	4	B
Cyproheptadine	Periactin	4	C
Dantrolene	Dantrium	4	C
Dembroxol (Dembrexine)	Sputolysin	4	C
Deoxycorticosterone	Percortin, DOCA, Descotone, Dorcostrin	4	C
Desonite	Des Owen	4	C
Desoximetasone	Topicort	4	C
Dexamethasone	Azium, etc.	4	C
Dextromethorphan		4	B
Dibucaine	Nupercainal, Cinchocaine	4	C
Dichlorphenamide	Daramide	4	C
Diclofenac	Voltaren, Voltarol	4	C
Diflorasone	Florone, Maxiflor	4	C
Difflocortolone	Flu-Cortinest, etc.	4	C
Digitoxin	Crystodigin	4	B
Digoxin	Lanoxin	4	B
Dihydroergotamine		4	B
Diltiazem	Cardizem	4	B
Dimethisoquin	Quotane	4	B
Dimethylsulfoxide (DMSO)	Domoso	4	C
Diphenoxylate	Difenoxin, Lomotil	4	B

## Listing by Classification (Continued)

**Class 4:** This class includes therapeutic medications that would be expected to have less potential to affect performance than those in Class 3.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Dipyron	Novin, Methampyrone	4	C
Disopyramide	Norpace	4	B
Dyclonine	Dyclone	4	C
Eltenac		4	C
Ergonovine	Ergotrate	4	C
Ergotamine	Gynergen, Cafergot, etc.	4	B
Etanercept	Enbrel	4	B
Ethoheptazine	Zactane	4	B
Ethotoin	Peganone	4	B
Ethoxzolamide	Cardrase, Ethamide	4	C
Ethylaminobenzoate (Benzocaine)	Semets, etc.	4	C
Felodipine	Plendil	4	B
Fexofenadine	Allegra	4	C
Firocoxib		4	C
Flecainide	Idalon	4	B
Floctafenine	Idalon, Idarac	4	B
Flucinolone	Synalar, etc.	4	C
Fludrocortisone	Alforone, etc.	4	C
Flumethasone	Flucort, etc.	4	C
Flumethiazide	Ademol	4	B
Flunarizine	Sibelium	4	B
Flunisolide	Bronilide, etc.	4	C
Flunixin	Banamine	4	C*
Fluocinolone	Synalar	4	C
Fluocinonide	Licon, Lidex	4	C
Fluorometholone	FML	4	B
Fluoroprednisolone	Predef-2X	4	C
Fluprednisolone	Alphadrol	4	C
Flurandrenolide	Cordran	4	C
Fluticasone	Flixonase, Flutide	4	C
Guaiifenesin (glycerol guaiacolate)	Gecolate	4	C
Halcinonide	Halog	4	C
Halobetasol	Ultravate	4	C
Hexocyclium	Tral	4	B
Hexylcaine	Cyclaine	4	C
Hydrochlorothiazide	Hydrodiuril	4	B
Hydrocortisone (Cortisol)	Cortef, etc.	4	C
Hydroflumethiazide	Saluron	4	B
Ibuprofen	Motrin, Advil, Nurpin, etc.	4	C
Infliximab	Remicade	4	B
Isoflupredone	Predef	4	C

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Isometheptene	Octin, Octon	4	B
Isopropamide	Darbid	4	B
Isoxsuprine	Vasodilan	4	C
Isradipine	DynaCirc	4	B
Ketoprofen	Orudis	4	C*
Letosteine	Viscotiol, Visiotal	4	C
Loratidine	Claritin	4	B
Meclizine	Antivert, Bonine	4	B
Meclofenamic acid	Arquel	4	C
Medryson	Medriusar, etc.	4	C
Meloxicam	Mobic	4	B
Mephesin	Tolserol	4	B
Meralluride	Mercuryhydrin	4	B
Merbaphen	Novasural	4	B
Mercaptomerin	Thiomerin	4	B
Mercumalilin	Cumertilin	4	B
Mersalyl	Salyrgan	4	B
Metaxalone	Skelaxin	4	B
Methapyrilene	Histadyl, etc.	4	B
Methazolamide	Naptazane	4	C
Methdilazine	Tacaryl	4	B
Methocarbamol	Robaxin	4	C
Methotrexate	Folex, Nexate, etc.	4	B
Methscopolamine	Pamine	4	B
Methylchlorthiazide	Enduron	4	B
Methylergonovine	Methergine	4	C
Methylprednisolone	Medrol	4	C
Methysergide	Sansert	4	B
Metiamide		4	B
Metoclopramide	Reglan	4	C
Mexilitine	Mexilil	4	B
Milrinone		4	B
Mometasone	Elocon	4	C
Montelukast	Singulair	4	C
Naepaine	Amylsine	4	C
Naphazoline	Privine	4	B
Naproxen	Equiproxen, Naprosyn	4	C
Nicardipine	Cardine	4	B
Nifedipine	Procardia	4	B
Nimodipine	Nemotop	4	B
Nortestosterone		4	C
Olsalazine	Dipentum	4	B

## Listing by Classification (Continued)

**Class 4:** This class includes therapeutic medications that would be expected to have less potential to affect performance than those in Class 3.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Orphenadrine	Norlflex	4	B
Oxaprozin	Daypro, Deflam	4	C
Oxymetazoline	Afrin	4	B
Oxyphenbutazone	Tandearil	4	C
Oxyphencyclimine	Daricon	4	B
Oxyphenonium	Antrenyl	4	B
Paramethasone	Haldrone	4	C
Pentoxifylline	Trental, Vazofirin	4	C
Phenacemide	Phenurone	4	B
Phensuximide	Milontin	4	B
Phenylbutazone		4	C*
Phenytoin	Dilantin	4	B
Polythiazide	Renese	4	B
Pramoxine	Tronothaine	4	C
Prednisolone	Delta-Cortef, etc.	4	C
Prednisone	Meticorten, etc.	4	C
Probenecid		4	C
Procainamide	Pronestyl	4	B
Propafenone	Rythmol	4	B
Proparacaine	Ophthaine	4	C
Propylhexedrine	Benzedrex	4	B
Quinidine	Quinidex, Quinocardine	4	B
Salicylamide		4	C
Salicylate		4	C
Spironalactone	Aldactone	4	B
Sulfasalazine	Azulfidine, Azaline	4	C
Terfenadine	Seldane, Triludan	4	B
Tetrahydrozoline	Tyzine	4	B
Theobromine		4	B
Thiosalicylate		4	C
Thiphenamil	Trocinate	4	B
Tocainide	Tonocard	4	B
Tranexamic acid		4	C
Triamcinolone	Vetalog, etc.	4	C
Triamterene	Dyrenium	4	B
Trichlormethiazide	Naqua, Naquasone	4	C
Tridihexethyl	Pathilon	4	B
Trimeprazine	Temaril	4	B
Tripolidine	Actidil	4	B
Vedaprofen		4	B
Verapamil	Calan, Isoptin	4	B
Xylometazoline	Otrivin	4	B

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Zafirlukast	Accolate	4	C
Zeranol	Ralgro	4	C
Zileuton	Zyflo	4	C

\*See Recommended Penalty Section of Document

## Listing by Classification (Continued)

**Class 5:** This class includes those therapeutic medications for which concentration limits have been established by the racing jurisdictions as well as certain miscellaneous agents and other medications as determined by the regulatory bodies.

Drug/Substance	Trade Name(s)	Drug Class	Penalty Class
Acenocoumarol		5	C
Anisindione		5	C
Cilostazol	Pletal	5	C
Cimetidine	Tagamet	5	D
Cromolyn	Intel	5	C
Dicumarol	Dicumarol	5	C
Dimethylsulphone (MSM)		5	C
Diphenadione		5	C
Esomeprazole	Nexium	5	D
Famotidine	Gaster, etc.	5	D
Lansoprazole		5	D
Mesalamine	Asacol	5	C
Misoprostel	Cytotec	5	C
Nedocromil	Tilade	5	C
Nizatidine	Axid	5	C
Omeprazole	Prilosec, Losec	5	D
Pantoprazole	Protonix	5	D
Phenindione	Hedulin	5	C
Phenprocoumon	Liquamar	5	C
Pirenzapine	Gastrozepin	5	C
Polyethylene glycol		5	C
Rabeprazole	Aciphex	5	D
Ranitidine	Zantac	5	D
Warfarin	Coumadin, Coufarin	5	C

## Non-Classified Substances

**Substances** that are considered to have no effect on the physiology of a racing animal except to improve nutrition or treat or prevent infections or parasite infestations, are not classified. These Substances normally include antimicrobials, antiparasitic drugs, and nutrients such as vitamins. Examples of such substances include the following:

Sulfonamides and trimethoprim

Bufotenine

1. Note: Bufotenine is not commercially available in any form.

Antibiotics: Penicillins  
Cephalosporins  
Chloramphenicol  
Aminoglycosides  
Tetractckubes  
Nitrofurans  
Metronidazole

2. Note: Bufotenine is a metabolite of 5-methoxy-N,N-dimethyltryptamine, found in reed canary grass (and potentially other food source plants). It may be found in the urine of horses eating this grass (and potentially other plant foods), and has been reported as a positive finding. Findings of bufotenine in equine urine should not be considered for regulatory action.

Anthelmintics: Avermectins  
Benzimidazoles  
Piperazines  
Pyrantel

Antifungals  
Vitamins A,D,E,K,B vitamins  
Vitamin C

## Recommended Penalty and Model Rule

The following are recommended penalties for violations due to the presence of a drug carrying a Category “A” penalty and for violations of ARCI-011-015 and ARCI-025-015: Prohibited Practices:

<b>LICENSED TRAINER:</b>		
<b>1<sup>st</sup> Offense</b>	<b>2<sup>nd</sup> LIFETIME offense in any jurisdiction</b>	<b>3<sup>rd</sup> LIFETIME offense in any jurisdiction</b>
<ul style="list-style-type: none"> <li>• Minimum one-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a three-year suspension</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>• Minimum fine of \$10,000 or 10% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$25,000 or 25% of purse (greater of the two).</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>• May be referred to the Commission for any further action deemed necessary by the Commission.</li> </ul>	<ul style="list-style-type: none"> <li>• Minimum three-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of license revocation with no reapplication for a three-year period.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>• Minimum fine of \$25,000 or 25% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$50,000 or 50% purse (greater of the two).</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>• May be referred to the Commission for any further action deemed necessary by the Commission.</li> </ul>	<ul style="list-style-type: none"> <li>• Minimum five-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of license revocation with no reapplication for a five-year period.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>• Minimum fine of \$50,000 or 50% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$100,000 or 100% purse (greater of the two).</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>• May be referred to the Commission for any further action deemed necessary by the Commission.</li> </ul>
<b>LICENSED OWNER:</b>		
<b>1<sup>st</sup> Offense</b>	<b>2<sup>nd</sup> LIFETIME offense in owner’s stable any jurisdiction</b>	<b>3<sup>rd</sup> LIFETIME offense in owner’s stable in any jurisdiction</b>
<ul style="list-style-type: none"> <li>• Disqualification and loss of purse</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>• Horse shall be placed on the Veterinarian’s List for 90 days and must pass a commission-approved examination before becoming eligible to be entered.</li> </ul>	<ul style="list-style-type: none"> <li>• Disqualification and loss of purse</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>• Horse shall be placed on the Veterinarian’s List for 120 days and must pass a commission-approved examination before becoming eligible to be entered.</li> </ul>	<ul style="list-style-type: none"> <li>• Disqualification, loss of purse and \$50,000 fine</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>• Horse shall be placed on the Veterinarian’s List for 180 days and must pass a commission-approved examination before becoming eligible to be entered.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>• Referral to the Commission with a recommendation of a suspension for a minimum of 90 days.</li> </ul>

## Recommended Penalty and Model Rule (Continued)

The following are recommended penalties for violations due to the presence of a drug carrying Category “B” penalty, for the presence of more than one NSAID in a plasma/serum sample, subject to the provisions set forth in ARCI-011-020(E) and ARCI-025-020(E) and for violations of the established levels for total carbon dioxide:

<b>LICENSED TRAINER:</b>		
<b>1<sup>st</sup> Offense</b>	<b>2<sup>nd</sup> offense (365-day period) in any jurisdiction</b>	<b>3<sup>rd</sup> offense (365-day period) in any jurisdiction</b>
<ul style="list-style-type: none"> <li>Minimum 15-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 60-day suspension</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Minimum fine of \$500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$1,000.</li> </ul>	<ul style="list-style-type: none"> <li>Minimum 30-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 180-day suspension</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Minimum fine of \$1,000 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$2,500.</li> </ul>	<ul style="list-style-type: none"> <li>Minimum 60-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a one-year suspension.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Minimum fine of \$2,500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$5,000 or 5% purse (greater of the two).</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>May be referred to the Commission for any further action deemed necessary by the Commission.</li> </ul>
<b>LICENSED OWNER:</b>		
<b>1<sup>st</sup> Offense</b>	<b>2<sup>nd</sup> offense (365-day period) in owner’s stable any jurisdiction</b>	<b>3<sup>rd</sup> offense (365-day period) in owner’s stable in any jurisdiction</b>
<ul style="list-style-type: none"> <li>Disqualification and loss of purse [in the absence of mitigating circumstances]*</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Horse must pass a commission-approved examination before becoming eligible to be entered.</li> </ul>	<ul style="list-style-type: none"> <li>Disqualification and loss of purse [in the absence of mitigating circumstances]*</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Horse must pass a commission-approved examination before becoming eligible to be entered.</li> </ul>	<ul style="list-style-type: none"> <li>Disqualification, loss of purse, and in the absence of mitigating circumstances a \$5,000 fine.*</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Horse shall be placed on the Veterinarian’s List for 45 days and must pass a commission-approved examination before becoming eligible to be entered.</li> </ul>

\*The RMTC recommendation called for loss of purse to happen in absence of mitigating circumstances. The Joint Model Rules Committee has made loss of purse mandatory in their proposal.

## Recommended Penalty and Model Rule (Continued)

The following are recommended penalties for violations due to the presence of a drug carrying a Category “C” penalty and overages for permitted NSAIDs and furosemide: *(All concentrations are for measurements in serum or plasma.)*

<b>LICENSED TRAINER</b>	<b>Phenylbutazone (&gt;2.0-5.0 mcg/ml)* Flunixin (&gt;20 - 100 ng/ml) Ketoprofen (&gt;2- 50 ng/ml) Furosemide (&gt;100 ng/ml) and/or no furosemide when identified as administered</b>	<b>Phenylbutazone (&gt;5.0 mcg/ml) Flunixin (&gt;100 ng/ml) Ketoprofen (&gt;50 ng/ml) and CLASS C Violations</b>
1 <sup>st</sup> Offense (365-day period) in any jurisdiction	Minimum of a written warning to maximum fine of \$500	Minimum fine of \$1,000 absent mitigating circumstances
2 <sup>nd</sup> Offense (365-day period) in any jurisdiction	Minimum of a written warning to maximum fine of \$750	Minimum fine of \$1,500 and 15-day suspension absent mitigating circumstances
3 <sup>rd</sup> Offense (365-day period) in any jurisdiction	Minimum fine of \$500 to a maximum fine of \$1,000	Minimum fine of \$2,500 and 30-day suspension absent mitigating circumstances
<b>LICENSED OWNER</b>	<b>Phenylbutazone (&gt;2.0-5.0 mcg/ml)* Flunixin (&gt;20 - 100 ng/ml) Ketoprofen (&gt;2- 50 ng/ml) Furosemide (&gt;100 ng/ml) and/or no furosemide when identified as administered</b>	<b>Phenylbutazone (&gt;5.0 mcg/ml) Flunixin (&gt;100 ng/ml) Ketoprofen (&gt;50 ng/ml) and CLASS C Violations</b>
1 <sup>st</sup> Offense (365-day period) in any jurisdiction	Horse may be required to pass commission-approved examination before being eligible to run	Loss of purse. Horse must pass commission-approved examination before being eligible to run
2 <sup>nd</sup> Offense (365-day period) in any jurisdiction	Horse may be required to pass commission-approved examination before being eligible to run	Loss of purse. If same horse, placed on veterinarian’s list for 45 days, must pass commission-approved examination before being eligible to run
3 <sup>rd</sup> Offense (365-day period) in any jurisdiction	Disqualification and loss of purse. Horse must pass commission-approved examination before being eligible to run	Loss of purse. Minimum \$5,000 fine. If same horse, placed on veterinarian’s list for 60 days, must pass commission-approved examination before being eligible to run

\*If the trainer has not had more than one violation within the previous two years, the Stewards/Judges are encouraged to issue a warning in lieu of a fine provided the reported level is below 3.0 mcg/ml absent of aggravating factors.

After a two-year period, if the licensee has had no further violations, any penalty due to an overage in the 2.0-5.0 category will be expunged from the licensee’s record for penalty purposes.

## **Recommended Penalty and Model Rule (Continued)**

The recommended penalty for a violation involving a drug that carries a Category “D” penalty is a written warning to the trainer and owner. Multiple violations may result in fines and/or suspension.

## Recent Document Revisions

Version	Date	Drug/Substance	Notes	Approx. Page(s)
12.00	March 2016	Methamphetamine	Added footnote language recommending Penalty B if testing can prove presence of only levo-methamphetamine is present in sample.	7, 13
12.00	March 2016	Tramadol	Changed from Penalty A to Penalty B	11, 19
12.00	March 2016	Cetirizine	Changed from Penalty B to Penalty C after inclusion into ARCI Controlled Therapeutic Medication Schedule	2, 24
12.00	March 2016	Morphine	Added footnote language recommending Penalty A if intentional administration can be proven by regulators.	8, 13
12.00	March 2016	Cocaine	Added footnote language recommending Penalty A if intentional administration can be proven by regulators.	3, 13
12.00	March 2016	Methacholine	Corrected spelling error in Alphabetical Listing by Substance Section and Listing by Classification Section	7, 20
12.00	March 2016	myo-inositol trispyrophosphate (ITPP)	Corrected spelling error in Alphabetical Listing by Substance Section and Listing by Classification Section	8, 13
11.00	December 2015	2-Aminoheptane	Corrected typographical error to reflect Class 4, Penalty B Substance	1, 23
11.00	December 2015	Xylometazoline	Corrected typographical error to reflect Class 4, Penalty B Substance	11, 25
11.00	December 2015	Rivastigmine	Corrected typographical error to reflect Class 2, Penalty A Substance	10, 17
11.00	December 2015	Rabeprazole	Corrected typographical error to reflect Class 5, Penalty D Substance	10 26
11.00	December 2015	Prilocaine	Corrected typographical error to reflect Class 2, Penalty A Substance	9, 17
11.00	December 2015	Hexocyclium	Corrected typographical error to reflect Class 4, Penalty B Substance	6, 24
11.00	December 2015	Gabapentin	Corrected typographical error to reflect Class 3, Penalty B Substance	5, 20
11.00	December 2015	Ergoloid Mesylates	Corrected typographical error to reflect Class 2, Penalty A Substance	4, 15

Version	Date	Drug/Substance	Notes	Approx. Page(s)
11.00	December 2015	Butacaine	Corrected typographical error to reflect Class 4, Penalty B Substance	2, 23
11.00	December 2015	Budesonide	Corrected typographical error to reflect Class 4, Penalty C Substance	2, 23
11.00	December 2015	Brimonidine	Corrected typographical error to reflect Class 2, Penalty A Substance	2, 14
11.00	December 2015	Benazepril	Corrected typographical error to reflect Class 3, Penalty B Substance	2, 19
11.00	December 2015	Amlodipine	Corrected typographical error to reflect Class 3, Penalty B Substance	1, 19
11.00	December 2015	3-Methoxytyramine	Added as Class 2, Penalty A Substance	1, 14
10.00	July 2015	Methylhexanamine	Added alternative spelling	7, 13
10.00	July 2015	Gamma Aminobutyric Acid (GABA)	Added as Class 3, Penalty B Substance	5, 19
9.00	April 2015	Cobalt	Added as Class 3, Penalty B with note to refer to ARCI Endogenous, Dietary, or Environmental Substances Schedule for threshold and penalty information for contrations of less than 50 parts per billion (ppb) in blood serum or plasma	3, 18
8.00	December 2014	Firocoxib	Changed Penalty Class from "B" to "C" to conform to the ARCI Controlled Therapeutic Medication Schedule	5, 23
8.00	December 2014	Acenocoumarol	Had been previously omitted from Listing by Classification Section, Added to section	25
8.00	December 2014	Deracoxib	Corrected Spelling in Alphabetical Listing by Substance Section	3
8.00	December 2014	Norclostebol	Corrected Spelling in Alphabetical Listing by Substance Section	8
8.00	December 2014	Rizatriptan	Corrected Spelling in Alphabetical Listing by Substance Section	10
8.00	December 2014	Dehydrochloromethyltestosterone	Corrected Spelling in Alphabetical Listing by Substance Section	3
8.00	December 2014	Amiodarone	Corrected Spelling in Listing by Classification Section	22
8.00	December 2014	2-Aminoheptane	Corrected Spelling in Listing by Classification Section	22
8.00	December 2014	Bupropion	Corrected Spelling in Listing by Classification Section	13
8.00	December 2014	Alclofenac	Assigned Penalty Class A	1, 13

Version	Date	Drug/Substance	Notes	Approx. Page(s)
8.00	December 2014	Recommended Penalties for Ketoprofen	Updated the recommended penalty for Ketoprofen to comply with the primary threshold established in the ARCI Controlled Therapeutic Medication Schedule.	29
8.00	December 2014	Class B Recommended Penalties	Corrected typographical error on recommended penalties for Class B substances for licensed owners. Version 7.00 incorrectly recommended penalties for second or third offense in the owner's lifetime. Version 8.00 corrects error and recommends penalty for second or third offense in 365-day period.	28
8.00	December 2014	Aminorex	Addition is not a change of the Uniform Classification Guidelines. Aminorex has been a DEA Schedule 1 substance. All DEA Schedule 1 substances are considered Class 1, Penalty A substances by reference. By request, Aminorex has been listed to avoid confusion.	1, 13
8.00	December 2014	Bufotenine	Corrected the precursor to 5-methoxy-N-N dimethyltryptamine	26
7.00	January 2014	Pergolide	Added as Class 3, Penalty B	8, 20
6.00	December 2013	Methylhexanamine	Added as Class 1, Penalty A	7, 12
5.00	December 2012	Zilpaterol hydrochloride	Moved from Class 3 to Class 2 Substance, Penalty Remains Unchanged	11, 17
5.00	December 2012	Tetramisole hydrochloride	Removed from Non-Classified Substance list	26
5.00	December 2012	Ambroxol	Moved from Class 4, Penalty B to Class 4, Penalty C	1, 22
4.01	October 2012	Ractopamine	Corrected typographical error in Drug Class (Incorrectly listed as a Class 3 substance)	9, 16
4.01	October 2012	Pyrilamine	Corrected typographical error on Penalty Class (Listed as Penalty Class A in "Listing by Classification" section).	9, 20
4.00	July 2012	myo-inositol trispyrophosphate (ITPP)	Added as Class 1, Penalty A	7, 12
4.00	July 2012	Benzonatate	Added as Class 2, Penalty A	2, 13
3.00	December 2011	Almotriptan	Corrected Penalty Class omission in Alphabetical Listing section of document	1, 18
3.00	December 2011	Naltrexone	Corrected Penalty Class omission in Alphabetical Listing section of document	7, 20
3.00	December 2011	Amiloride	Corrected Penalty Class omission in Alphabetical Listing section of document	1, 22

Version	Date	Drug/Substance	Notes	Approx. Page(s)
3.00	December 2011	Butanilcaine	Corrected Penalty Class omission in Alphabetical Listing section of document	2, 13
3.00	December 2011	3,4-methylenedioxy-pyrovalerone, aka MDPV, "Bath Salts"	Corrected typographical error in Trade Name sections	1, 12
3.00	December 2011	Carbazochrome	Added as Class 4, Penalty C	2, 22
2.01	August 2011	Dimethylsulfoxide (DMSO)	Edited Drug Classification definitions to remove mention of DMSO from Class 5 definition	vii
2.00	July 2011	<<Drugs Not Listed>>	Language pertaining to all drugs/substances not found in this document shall be considered a Class I, Penalty A Substance	ii
2.00	July 2011	Phenylbutazone	Penalties for tests over 2.0 micrograms per milliliter of plasma or serum but less than 5.0 micrograms per milliliter of plasma or serum added.	29
2.00	July 2011	Dermorphin	Added as Class 1, Penalty A	3, 12
2.00	July 2011	3,4-methylenedioxy-pyrovalerone, aka MDPV, "Bath Salts"	Added as Class 1, Penalty A	1, 12
2.00	July 2011	Synthetic cannabis	Added as Class 1, Penalty A	10, 12
2.00	July 2011	Alclomethasone	Corrected typographical error in spelling	1, 22
1.01	January 2011	Methocarbamol	Corrected typographical error on Penalty Class from Class B to Class C	7, 23
1.00	December 2010	Zilpaterol	Added as Class 3, Penalty a	11, 17
1.00	December 2010	Dimethylsulfoxide (DMSO)	Changed from Class 5 to Class 4	4, 23