

# Anti-Doping Rule Violations Sanctions (Covered Persons)



Anti-Doping Rule Violations that arise from a Post-Race Sample automatically lead to the disqualification of race-day results. Any other results that the Covered Horse obtained from the date the Anti-Doping Rule Violation first occurred will also be disqualified.

Anti-Doping Rule Violation (First Offense in 10-year period)	Period of Ineligibility	Financial Penalties
<p>Presence of Banned Substance in a Covered Horse (CH)</p> <p>Use/Attempted Use of Banned Substance/Method in CH</p> <p>Possession of Banned Substance/Method</p> <p>Administration/Attempted Administration of Banned Substance/Method in CH</p>	Two (2) years	<p>Fine up to \$25,000 or 25% of the total purse (whichever is greater) <b>and</b></p> <p>Payment of some or all of the adjudication costs and HIWU's legal costs.</p>
Trafficking or Attempted Trafficking of a Banned Substance/Method	<p>Minimum of four (4) years and up to lifetime Ineligibility, depending on seriousness of the violation.</p> <p>A violation involving a Minor shall result in lifetime Ineligibility for the CP who commits it.</p> <p>A violation that may also violate non-sporting laws and regulations shall be reported to the competent administrative, professional, or judicial authorities.</p>	<p>Fine up to \$50,000 or 50% of the total purse (whichever is greater) <b>and</b></p> <p>Payment of some or all of the adjudication costs and HIWU's legal costs.</p>
<p>Evading collection of a sample from CH</p> <p>Refusing or failing without compelling justification to submit CH to sample collection</p> <p>Refusing or failing to comply with all sample collection procedure requirements</p> <p>Tampering or attempted tampering with Anti-Doping and Medication Control Program</p>	<p>Four (4) years, except:</p> <p>In the case of failing to submit to sample collection, if the CP can establish that the failure was not intentional, the period of Ineligibility will range between three (3) months to two (2) years, depending on degree of Fault.</p> <p>In all other cases, if the CP can establish exceptional circumstances that justify a reduction of the period of Ineligibility, the period of Ineligibility shall range from three (3) months to four (4) years, depending on degree of Fault.</p>	<p>Fine up to \$50,000 or 50% of the total purse (whichever is greater) <b>and</b></p> <p>Payment of some or all of the adjudication costs and HIWU's legal costs.</p>
Complicity or Attempted Complicity	Same consequences that apply to the principal actor, absent mitigating or aggravating circumstances.	
Prohibited Association with Sanctioned CP	Two (2) years, subject to a reduction down to a minimum of one (1) year, depending on CP's degree of Fault and other circumstances.	<p>Fine up to \$25,000 or 25% of total purse (whichever is greater) <b>and</b></p> <p>Payment of some or all of the adjudication costs and HIWU's legal costs.</p>



# Anti-Doping Rule Violations Sanctions (Covered Persons)



Anti-Doping Rule Violation (First Offense in 10-year period)	Period of Ineligibility	Financial Penalties
Acts to discourage or retaliate against reporting to authorities	Minimum two (2) years with up to lifetime Ineligibility, depending on the seriousness of the violation.	Fine up to \$50,000 or 50% of the total purse (whichever is greater) <b>and</b> Payment of some or all of the adjudication costs and HIWU's legal costs.
<b>Second Anti-Doping Rule Violation (Within 10-year period)</b>	The greater of:  A six (6) month period of Ineligibility or  A period of Ineligibility in the following range, taking into account the entirety of the circumstances and CP's degree of Fault with respect to the second violation:  - The sum of the Ineligibility period imposed for the first Anti-Doping Rule Violation, plus the period of Ineligibility otherwise applicable to the second Anti-Doping Rule Violation if treated as if it were a first violation and  - Twice the period of Ineligibility applicable to the second Anti-Doping Rule Violation if treated as if it were a first violation.	Fine up to \$50,000 or 50% of the total purse (whichever is greater) <b>and</b>  Payment of some or all of the adjudication costs and HIWU's legal costs.
<b>Third (or subsequent) Anti-Doping Rule Violation (Within 10-year period)</b>	Lifetime Ineligibility, except if the third violation satisfies the conditions for elimination or reduction of the period of Ineligibility (See Rule 3224/3225), in which case the period of Ineligibility will range from eight (8) years to lifetime Ineligibility.  If the above exception applies, the same rule applies to any subsequent violation.	Fine up to \$100,000 or 100% of the total purse (whichever is greater) <b>and</b>  Payment of some or all of the adjudication costs and HIWU's legal costs.

**Notes:**

Periods of Ineligibility run consecutively if more than one Anti-Doping Rule Violation is committed.  
Periods of Ineligibility may be reduced or eliminated for reasons unrelated to degree of Fault as per Rule 3226.

**During a period of Ineligibility for a CP:**

- A CP may not participate in any activity involving CHs, or in any other activity (other than authorized anti-doping education or rehabilitation programs) taking place at a racetrack or training facility and cannot permit anyone to participate on their behalf, except to the extent that the CP is an owner, and the activity is necessary to ensure the wellbeing of the CH during the owner's period of Ineligibility.

**The CH(s) of an owner or trainer who is subject to a Provisional Suspension or period of Ineligibility in relation to a Banned Substance/Method is subject to the following restrictions:**

- (CH)s of a trainer serving a Provisional Suspension or period of Ineligibility may not participate in any official timed workouts or Covered Horseraces unless and until they have been transferred to another CP. For the "transfer" to be valid, (i) the transfer must be registered with HISA in accordance with its procedures, and (ii) the CHs must also be physically relocated to facilities under the care or control of a CP who is not affiliated with the suspended trainer (and failure to comply may constitute an Anti-Doping Rule Violation under Rule 3216(c), *i.e.*, Prohibited Association).
- CH(s) of an owner who is subject to a Provisional Suspension or period of Ineligibility cannot participate in official timed workouts or Covered Horseraces unless and until they have been transferred in a bona fide transaction to a different owner. If an Immediate Family Member (as defined in Rule Series 1000: General Provisions) has any ownership or property interest in the CH(s) following such transfer, the transfer is not considered a bona fide transaction to a different owner.

\*Please be advised that the responsibilities and requirements set forth above are contained in the Anti-Doping and Medication Control (ADMC) Program regulations submitted by the Horseracing Integrity and Safety Authority to the Federal Trade Commission (FTC). These regulations were approved by the FTC on March 27, 2023. The information enclosed herein is not exhaustive, and more information can be found by consulting the approved regulations, which were posted to the Federal Register on January 26, 2023.

