

GENERAL RULES AND REGULATIONS

A. RULE CHANGE PROCEDURES

Section 1. Rule change submissions that may add, alter, or amend any rule in the *NRHA Handbook* may be submitted by any NRHA member in good standing, NRHA Committee, NRHA Staff, or the NRHA Board of Directors.

Section 2. A rule change proposal must be reviewed at a minimum of two NRHA Board of Director meetings and published and presented to the general membership in the *NRHA Reiner* magazine and on the NRHA website. The last date of submission for rule changes will be published in the *NRHA Reiner* and on the NRHA website. All rule changes must be voted on by the Board of Directors and only the NRHA Board of Directors may pass a rule change. The NRHA Board of Directors may vote to approve, modify and approve, or recommend the rule change be reviewed by the appropriate committee(s) prior to the date of the vote. On the date of the vote, the rule change will either be passed, defeated or no action will be taken.

Section 3. Each committee may review any proposed rule change and provide a recommendation to approve or disapprove the rule changes.

Section 4. During the course of the day to day management of the association, if the occasion should arise that is not clearly written or defined by the *NRHA Handbook*, in the best interest of the association and its members, the Officers of the Association are empowered to make clarifications as needed to the *NRHA Handbook*. Any changes under this provision would then be corrected in the manner outlined in the *NRHA Handbook*.

B. AFFILIATE COMPLIANCE

Renewing Affiliates shall submit a complete and correct annual renewal application listing officers who are NRHA members in good standing and dues, for the current year to NRHA by January 31 of each year. Affiliates failing to submit completed and correct renewal applications by January 31 or whose renewal applications remain incomplete or incorrect after January 31, will realize all NRHA business including show approval, will be held in a suspended status until a complete and correct renewal application has been presented to NRHA or until March 1 whichever comes first. If a complete and correct renewal application is still outstanding by March 1 of the current year Affiliate status will be annulled. If the Affiliate Officers are not current members of NRHA in good standing by March 1 of the current year, Affiliate status will be annulled. Annulment of Affiliate status will be published in the *NRHA Reiner*.

After March 1, an annulled Affiliate may re-apply for renewal by paying a re-instatement fee of \$50 and resubmitting a complete and correct affiliate application representing officers who are current members of NRHA in good standing.

C. INTERNATIONAL AFFILIATE PROGRAM

Designation as an NRHA National Association Affiliate is a privilege, not a right, bestowed by the NRHA Board of Directors, according to procedures formulated by the Executive Committee of the NRHA.

Section 1. National Association Affiliate Rights and Responsibilities:

- a) Once the privilege of regional affiliate is granted, and the regional affiliate has been an affiliate in good standing for at least a year and has 25 members and meets the show requirements of the NAA program, the regional affiliate will have the right to apply for the NRHA National Association Affiliate program. Each affiliate wishing to participate in the National Association Affiliate program shall apply to the NRHA by October 31 of the year prior whether it wishes to adopt the program.
- b) National Association Affiliates will review all Non Pro declarations from their individual countries and make the decision regarding approval. Any disputes can be appealed to the NRHA Executive Committee.
- c) Once the privilege of National Association Affiliate status is granted and it has reached 100 NRHA members, the National Affiliate will have the right to apply for the NRHA International Affiliate Program. Each National Association Affiliate will inform the NRHA by October 31 of the year prior or whether it wishes to adopt the program.

Section 2. NRHA International Affiliate Program Rights and Responsibilities:

- a) The National Association may elect to establish a joint membership between the National Association Affiliate and the NRHA.
- b) All Reining events will be NRHA approved.
- c) All records will be maintained in the official NRHA database.

Section 3. In support of the International Affiliate Program, NRHA will agree to the following:

- a) NRHA recognizes the National Association Affiliate as the organization to provide governance and leadership for the sport of Reining on a national level within that country.
- b) NRHA will rebate to the National Association Affiliate \$20 for each member in their country that has NRHA General membership.
- c) NRHA will rebate to the National Affiliate fifty percent (50%) of NRHA's show fees for every show that is NRHA approved and held either inside of the country's geographic borders, or run under the auspices of that National Association Affiliate.
- d) NRHA will authorize all protests originated within a respective country to be adjudicated by the National Association Affiliate. The appeal process will be to the NRHA Executive Committee.
- e) NRHA will authorize the National Association Affiliate to make a recommendation on all show approvals within that country.

f) NRHA will provide database information requested by the National Association Affiliate. NRHA will maintain historical records for National Association Affiliates participating in the International Affiliate Program.

D. DISCIPLINARY PROCEDURES

(Protests, Negative Show Representative's Reports and Judges' Grievances)

Section 1. Membership in the Association carries responsibilities as well as certain rights. Any member of the Association may be disciplined, fined or suspended upon a showing of good cause. Any non-member may be denied membership and the privileges relating thereto whenever it shall be established by satisfactory evidence to the NRHA Executive Committee that such non-member is not a worthy candidate.

Section 2. Anyone who becomes a member of the Association or is subject to any portion of the Bylaws, rules and regulations accepts and agrees to be bound by all the Bylaws, rules and regulations of the Association and all terms and conditions of this *Handbook*.

Section 3. Anyone who becomes a member of the Association or is subject to any portion of the Bylaws, rules and regulations and terms and conditions of this *NRHA Handbook* renounces any recourse, which he or she may have against the Association in connection with the enforcement of those rules. This would include any associated or related corporation, trust or other business entity.

Section 4. Disciplinary Procedure. Whenever any member believes that conduct at an NRHA approved event of a member or non-member warrants disciplinary actions, or whenever any member believes that he or she has been harmed by a violation of these Rules and Regulations, he or she must file within fifteen (15) days of the actual incident, and/or within fifteen (15) days of having gained knowledge of the incident, a protest in writing with the NRHA office.

a) Any protest must be accompanied by a cashier's check, certified check, money order, credit card authorization or cash in the amount of \$100 to be considered validly filed.

b) A protest must be signed by an individual or individuals.

c) Any standing or additional committee, as a committee and/or the chairman of that committee, may file a protest for an alleged rule violation that falls within that committee's domain. In case of these protests, the \$100 protest fee is waived.

d) For Non Pro eligibility rule violations, see B. NON PRO CONDITIONS (6).

e) Timely filing will be determined by the postmark on the envelope. A protest may NOT be filed with a show representative's report. A show representative may file a protest separate from the show representative's report.

f) A show representative's protest is subject to the fifteen (15)

day filing requirement above, but is exempt from the \$100 filing fee, except when the show representative is directly involved as an exhibitor in a particular class.

g) The filing of a judge's grievance setting forth conduct warranting disciplinary action will also constitute a validly filed protest and the \$100 filing fee will be waived. See Judges Section c. Guidelines, (7).

h) The \$100 protest fee will be assessed only against the first entity named in each protest.

i) All protest fees are non-refundable in every instance of protest.

j) Violations of the *NRHA Handbook* discovered by NRHA during the course of business shall be referred to the Executive Committee to determine the need to refer to a hearing body.

Section 5. Hearing Body: The Hearing Body shall be responsible for the conduct of all disciplinary activity involving members of NRHA. The Hearing Body shall consist of nine (9) members in good standing with a quorum consisting of five (5) members. Members of the Hearing Body shall not serve concurrently on the NRHA Executive committee or on the NRHA Board of Directors. The nomination of prospective members of the Hearing Body will be the responsibility of the NRHA Executive Committee. The final approval of those nominees will be the responsibility of the NRHA Board of Directors. Once the nomination and approval process is complete the Hearing Body shall function independently of the nomination and approving bodies.

a) The term of office of a member of the Hearing Body shall be three (3) years. No term limitations apply and a current member of the Hearing Body may be re-nominated. Each year the nomination and approval process shall produce three new members of the Hearing Body. In the event that a member of the Hearing Body (for any reason) has not finished a term, the nomination and approval process will provide an individual to fulfill the remainder of that term. [In the first year of the Hearing Body's existence the nomination and approval process shall produce three (3) individuals to fill one three (3) year term, three (3) individuals to fill two (2) year terms, and three (3) individuals to fill one (1) year term.] The Hearing Body is authorized to remove any of its members for any reason by a majority vote. The empty seat will then be filled through the nomination and approval process.

b) All rulings of the Hearing Body are final, however any party subject to a ruling of the Hearing Body has the right to appeal the ruling by submitting a non-refundable payment of \$500 to NRHA within ten (10) days of the official date of the Hearing Body ruling. The appeal will be reviewed by the Executive Committee of NRHA and will either be supported or overturned by that body.

Section 6. Hearing Body Procedure: The Hearing Body has the responsibility of managing a protest or dispute from the time that a case is officially filed at the NRHA office until that

case is either rejected or brought to resolution at a deciding hearing. All cases will be subjected to a preliminary review, the result of which is either rejection of the case or advancement of the case to the full Hearing Body for final resolution. When a case is officially filed with the NRHA office, the NRHA staff members in charge will forward all pertinent information about the case to a member of the Hearing Body designated as the “manager” of that case along with two additional Hearing Body members designated as the “preliminary jury.” The “manager” and “preliminary jury” will review the case on its merits and, along with NRHA counsel, either reject the case or advance it to a hearing by the full Hearing Body. For those cases designated for advancement, the manager will have the responsibility, (along with NRHA counsel), of presenting the facts of the case at the hearing. [All members of the Hearing Body will serve as managers and/or preliminary jury members. Cases will be assigned by the NRHA staff on a purely rotational basis. An individual member of the Hearing Body may be the manager of or a preliminary jury member on more than one case at a time if the case load so requires.] The makeup of the Hearing Body will be public knowledge, but the manager of and preliminary jury members on specific cases will be confidential. All evidence pertaining to a case, all testimony in the hearing and all Hearing Body member deliberations will be confidential. The manager of a case and the preliminary jurors on that case will vote in the deciding hearing. The result of the deciding hearing will be presented to the party involved by NRHA counsel.

- a)** If the Preliminary Jury recommends a hearing, the Preliminary Jury may also submit a sealed recommendation for discipline to be opened only in the event there is a hearing and the Hearing Body has determined that disciplinary action is warranted.
- b)** If the Preliminary Jury finds the matter is not sufficiently serious to warrant a hearing, all parties will be advised accordingly. However, the Preliminary Jury may issue a letter of concern to any party or parties relative to the matter under consideration.
- c)** In the event the Preliminary Jury finds that a hearing before the Hearing Body is warranted, the affiliate or person accused of the violation shall be given not less than thirty (30) days written notice of a time and place for a hearing before the Hearing Body.
- d)** The Preliminary Jury for judges may choose to direct the judge to submit to an Investigative Judges Review, rather than hold a hearing before the Hearing Body. A judge must comply with the decision of the committee or request in writing a hearing before the Hearing Body within fifteen (15) days of receipt of notice.
- e)** In the absence of the physical presence of a sufficient number of members of the Hearing Body to constitute a quo-

rum, a telephonic conference call may be used in order to achieve a quorum.

f) In the event a quorum cannot be achieved in order to hear a disciplinary matter, the accused may elect to continue with the disciplinary hearing with less than a quorum or continue the matter until a quorum is achieved.

g) In the event the accused does not elect to continue with the disciplinary hearing with less than a quorum or a quorum cannot be achieved because of disqualifications or recusal by Hearing Body members, the President shall appoint additional NRHA members to hear the disciplinary matter, first from the full Board of Directors and then from the past Presidents.

Section 7. The accused shall have the opportunity to appear in person at the hearing, with or without counsel, and to be heard and to present evidence and testimony on his or her own behalf and to hear and refute any evidence offered against him or her. Should the accused choose to appear at the hearing, the accused does so at his or her own expense. Additionally, any costs associated with counsel for the accused shall be borne by the accused, regardless of the outcome of the hearing. The parties will receive a decision from the Hearing Body immediately after deliberation.

Section 8. Proceedings before the Hearing Body shall be informal, and rules of evidence, both at common law or provided by Oklahoma rules of civil or criminal evidence, need not be strictly observed. The standard by which admissibility is determined is whether the evidence is such that an ordinary prudent person is willing to rely upon it. As an NRHA member, participant at an NRHA approved event or a person appearing before the Hearing Body, the accused person agrees that all witnesses and participants in such hearing shall be immune from any civil liability whatsoever, including, but not limited to, libel, slander, invasion of privacy, defamation, or product of disparagement, for testimony given in the course of preparation for or at the hearing.

Section 9. Except as provided elsewhere in these Rules and Regulations, in regard to any violation of NRHA rules and regulations by an individual, member, non-member, or entity, the Hearing Body shall impose at a minimum the following sanctions:

- a) First Offense** not less than thirty (30) days probation.
- b) Second Offense** not less than thirty (30) days suspension.
- c) Third Offense** not less than a one-year suspension.
- d)** In the event the Hearing Body does not necessarily feel that there has been a violation of the *NRHA Handbook* but the Hearing Body feels the matter should be addressed, the Hearing Body is authorized to issue a letter of concern or reprimand to any party or parties.

In addition to the minimum sanctions set forth above, the Hearing Body shall have jurisdiction to invoke any or all of the following sanctions, including but not limited to, revocation or denial of membership privileges, revocation

of participation privileges in all NRHA approved events, denial of privilege of access or presence on the show grounds of an NRHA approved event, denial of privilege to advertise in NRHA's official publications and/or an assessment of a fine. In the case of a violation by a show committee, affiliate, similar organization, or by the NRHA itself, the Hearing Body may take such action as necessary to remedy the violation and where appropriate, discipline the organization in question.

Section 10. In the event sanctions or other requirements are imposed and ordered by the Hearing Body, such as the return of prize money, prizes, trophies, etc., the sanctions shall continue beyond the original sanction period imposed and ordered by the Hearing Body so long as there is any unfulfilled or uncompleted requirement/sanction. In the event a sanction or requirement is unfulfilled or unsatisfied for sixty (60) days that person's membership shall be revoked. After fulfilling all obligations, that person may re-apply for membership, and judging and Non Pro privileges.

Section 11. When a member is disciplined, the order of the Hearing Body will be presented to the NRHA Board of Directors and the name of such member or non member will be published in the official NRHA publication, the *NRHA Reiner*.

Section 12.

a) In the event a member suspended for any reason enters a horse as an owner or rider at any NRHA approved event during the period of suspension either as owner, rider, or agent, the NRHA will impose an additional six (6) month period of suspension and all show prizes and awards will be forfeited to the NRHA as per the current *NRHA Handbook*.

b) Reinstatement Fee: Members who are suspended for any reason must pay the association a \$100 fee to reinstate their membership.

c) Non Pro Privileges: A Non Pro that has received disciplinary action and/or suspension must relinquish their Non Pro card or Non Pro Life Card to the NRHA office within fifteen (15) days of receipt of the result of the deciding hearing. Once the duration of the disciplinary action and/or suspension is concluded, a general membership card may be issued to the individual upon proper application and payment of the reinstatement fee and they may re-apply for his/her Non Pro privileges according to NRHA policy.

d) A Non Pro that has received disciplinary action and/or suspension may re-apply for his/her Non Pro privileges (as stated in the current Non Pro Conditions) once the duration of the disciplinary action and/or suspension is concluded. Once re-approved for Non Pro privileges, the Non Pro would be eligible for the same divisions as previous to the suspension, providing that the Non Pro's eligibility did not change during the length of the disciplinary action and/or suspension time period.

e) Judging Privileges: A judge that has received disciplinary action and suspension of any kind may regain his/her judging privileges once the duration of the disciplinary action and/or suspension is concluded by reapplying in writing to the Executive Committee. Reinstatement of judging privileges will be at the discretion of the Executive Committee with the recommendation of the Judges Committee.

f) NRHA Professionals Privileges: An NRHA Professional that has received revocation of NRHA Professional status, disciplinary action and/or suspension of any kind may regain his/her NRHA Professional status once the duration of the disciplinary action and/or suspension is concluded by applying in writing to the Executive Committee. Reinstatement of NRHA Professional status will be at the discretion of the Executive Committee following recommendation by the Professionals Committee.

Section 13. If the Hearing Body deems the submission of a protest to be malicious and/or frivolous, appropriate disciplinary action may be taken.

Section 14. Any member interfering with or attempting to influence the outcome of a protest investigation or hearing may be subject to disciplinary action by the NRHA.

Section 15. The decision and action of the Hearing Body shall be final and binding upon all parties, however, any aggrieved party to any protest may appeal the decision of the Hearing Body upon the payment of a \$500 fee to the NRHA within ten (10) days of the announcement by the Hearing Body of its decision.

Section 16. All disciplinary hearings shall be held at the principal office of the NRHA, or any other location as determined by the Hearing Body.

Section 17. The NRHA has the right to publish the name of any member, current or not, in the appropriate suspension or probation list.

E. CAUSES FOR DISCIPLINARY ACTION

ABUSE

Section 1. A member of the Association shall not abuse or mistreat any horse in any manner whatsoever on the show grounds. Abuse is defined as an action, or failure to act, which a reasonably prudent person, informed and experienced in the customs, accepted training techniques and exhibition procedures, would determine to be cruel, abusive, inhumane or detrimental to the horse's health.

Section 2. Individuals will be subject to the disciplinary procedures set forth in Article E if it is determined that there was a willful abuse of the horse under any of the following circumstances:

- a) The individual physically participates in the abuse of the animal or shows the horse in a condition to be considered abuse.
- b) The individual designates himself or herself as the exhibitor on the show entry form.

UNSPORTSMANLIKE CONDUCT

Section 1. Unsportsmanlike conduct will not be tolerated. Un-

sportsmanlike conduct shall be defined as any action of disrespect, deceit or fraud directed to judges, show management, show representatives, the NRHA (which shall not have a 15 day restriction), NRHA members or other exhibitors.

Section 2. Unsportsmanlike conduct shall also include failure to respond to any reasonable request by the NRHA, including failure to respond to disciplinary investigation inquiries after seven (7) days notice to respond has been given.

Section 3. Individuals accused of unsportsmanlike conduct will be subject to the disciplinary procedures set forth in Article E.

F. FORFEITURES

Section 1. Any rider participating in a class or division in which he/she (or the horse he/she is riding) is not eligible will be fined \$25 for the first offense. After receipt of the notice, any second offense may result in a fine of \$200. When a horse/rider is found to be ineligible, the earnings will be forfeited to the NRHA and all prizes and awards will be returned to the appropriate secretary.

Section 2. Upon receipt of any forfeited earnings, NRHA will redirect the forfeited earnings to the show committee to be redistributed. NRHA will make corrections to the class placing and earnings in the NRHA database. It is the responsibility of the ineligible and/or disciplined exhibitor and/or owner to return all forfeited earnings to the NRHA and all prizes and awards to the appropriate show secretary.

G. FAILURE TO PAY

Any member may be suspended and denied privileges of the Association and any non member, and any non member approved show or official thereof, may be denied privileges of the Association for failure to pay when due, any obligation owed to the Association, *NRHA Reiner Magazine* or any NRHA approved show for failure to pay entry fees, stall fees, office charges, premiums or any other fees or charges connected with the exhibition of reining horses; provided, however, that fifteen (15) days before action, written notice of the account due and the intention to suspend and withhold privileges of the Association shall be delivered to such member or non member. This provision also includes the payment of any costs, fees or obligations for a check that is returned to the NRHA or any show or affiliate that has been deemed by a bank to be paid by an account that contains non-sufficient funds. Any suspension and denial of privileges under this section shall terminate upon full payment of the obligation due. This rule shall further apply to the rider, owner, or agent for any unpaid debts related to the entry, exhibition, showing, stalling, or any related fee of an entry at an approved NRHA event. Agent is defined as anyone who acts and/or signs on the behalf of an owner or rider.

H. LEGAL ACTIONS

Every member, former member, and non-member, including any corporation, LLC, partnership, trust, estate, or other legal

entity that may be subject to these rules at any time, agrees that he, she, or such entity will not commence any action, whether in law or equity, against the NRHA in any courts other than those federal and state courts located in Oklahoma County, Oklahoma. If unsuccessful in any attempt to overturn any NRHA decisions, actions, rules or regulations, said person or entity agrees to reimburse NRHA for its reasonable attorney fees, court costs and other expenses in connection with the defense of such suit.

I. COURT OF LAW CONVICTIONS

When knowledge is gained of a conviction of an individual of a felony, animal abuse or moral turpitude under municipal, county, state or federal law, whether or not the NRHA is involved, the NRHA may subject the convicted person to discipline under the terms set forth in Article E. Any discipline imposed will be stayed pending completion of any statutory appeals. Acceptance of a conviction by NRHA will be given after notice to the sanctioned individual or entity, who may request a hearing before the NRHA Hearing Body to present lack of due process by the convicting court of law to merit NRHA's refusal to impose discipline.

J. CONVICTIONS BY OTHER EQUINE ORGANIZATIONS

NRHA Executive Committee may accept suspension rulings pertaining to cruel or inhumane treatment of horses from other recognized equine related associations and state racing commissions. The effect of such acceptance is to suspend the individual from NRHA membership privilege, or for non-members, to deny membership privileges, for a length of time equal to the suspension for which reciprocity is given. Acceptance of such rulings by NRHA will be given after notice to the sanctioned individual or entity, who may request a hearing before the NRHA Executive Committee to present lack of due process by the reporting association to merit NRHA's refusal to give reciprocity.

K. Animal Welfare and Medications Provisions Applicable to all NRHA Events.

It is not NRHA's intention to conflict with rules and regulations of states, provinces or countries in regards to medications. In cases, where NRHA shows are held in states, provinces or countries with medications rules and regulations, the rules and regulations of the state, province or country take precedence.

SECTION 1. TESTING

(a) All horses entered in an NRHA approved class that meet the criteria of the NRHA Animal Welfare and Medications Policy are subject to examination by a licensed veterinarian who must be approved by NRHA. Said approved veterinarian may appoint a technician to perform certain duties under this rule. The examination may include physical, urine, blood tests and/or any other test or procedure at the discretion of said veterinarian necessary to effectuate the purposes of this rule.

(b) Persons responsible for a horse being tested who are

not able to accompany NRHA drug testing personnel and the horse to the location where sample collection is to take place, to act as witness to the collection and sealing of blood and urine samples, and to sign the drug collection documents in the appropriate places as witness, must appoint an agent to do so. The absence of such a witness shall constitute a waiver of any objection to the identification of the horse tested and the manner of collection and sealing of the samples.

(c) Upon the collection of a sufficient number of tubes of blood from the horse, the tubes shall be divided into two groups. One group shall be labeled and identified as Blood Sample A, and the other as Blood Sample B, and they shall be sealed accordingly. Upon the collection of a sufficient volume of urine from the horse, a portion of the sample shall be poured into a second urine sample container. One container shall be labeled and identified as Urine Sample A, and the other as Urine Sample B, and they shall be sealed accordingly. These procedures shall be performed whether or not the person responsible or his/her appointed witness is present as provided for in Section 1(b) above.

(d) In the event reasonable attempts at sample collections from the horse do not provide a sufficient number of tubes of blood or a sufficient volume of urine to be divided, labeled, and identified as Samples A and B, as determined by the testing veterinarian and/or technician, the sample(s) obtained (if obtained) shall be labeled and identified as Sample(s) A only, and it shall be recorded in the records of the Animal Welfare and Medications Program that the corresponding Sample(s) B does (do) not exist, in which event the obtained Sample(s) shall be subject to testing.

SECTION 2. COOPERATION

(a) Cooperation with the veterinarian and/or his agent(s) includes:

- i.** Taking the horse and the veterinarian and/or his agent(s) immediately to the location selected by said veterinarian and/or agent(s) for testing the horse and presenting it for testing.
- ii.** Assisting the veterinarian and/or his agent(s) in procuring the sample promptly, including but not limited to removing equipment from the horse, leaving it quietly in the stall and avoiding any distractions to it. Schooling, lengthy cooling out, bandaging and other delays of this type shall be construed as noncooperation.

SECTION 3. RESPONSIBILITY AND ACCOUNTABILITY OF PERSON(S) RESPONSIBLE

(a) A person responsible is defined as any adult or adults who has or shares the responsibility for the care, training, custody, condition, or performance of a horse. Said person must sign the entry blank of any NRHA approved event whether said person be a trainer, owner, rider,

agent and/or coach. Where a minor exhibitor has no person responsible, then a parent, guardian or agent or representative thereof must sign the entry blank and assume responsibility. The name of the person responsible must be designated as such on the entry blank. It is the responsibility of the person responsible as well as event management to see that entry blanks contain all of the required information.

(b) The person(s) responsible in the absence of substantial evidence to the contrary are responsible and accountable under the penalty provisions of these rules:

i. for the condition of a horse at an NRHA approved event and

ii. to know all of the provisions of General Rules and Regulations (O) (including any advisories or interpretations published in the *NRHA Reiner*) and all other rules and regulations of the NRHA and the penalty provisions of said rules. For purposes of this rule, substantial evidence means affirmative evidence of such a clear and definite nature as to establish that said person responsible, or any employee or agent of the person responsible, was, in fact, not responsible or accountable for the condition of the horse. If any person responsible is prevented from performing his or her duties, including responsibility for the condition of the horses in his or her care, by illness or other cause, or is absent from any NRHA approved event where horses under his or her care are entered and stabled, he or she must immediately notify the event secretary and, at the same time, a substitute must be appointed by the person responsible and such substitute must place his or her name on the entry blank forthwith. Such substitution does not relieve the regular person responsible of his/her responsibility and accountability under this rule; however, the substitute person responsible is equally responsible and accountable for the condition of such horses.

(c) The person responsible and owner acknowledge that the person responsible represents the owner regarding horses being trained or managed, entries, scratches for any reason and any act performed on any horse under the care and custody of the person responsible.

(d) In the case of a horse competing under the Therapeutic Substance Provisions, any person responsible or other person subject to these rules who actually administers, attempts to administer, instructs, aids, conspires with another to administer or employs anyone who administers or attempts to administer a forbidden substance to a horse which might affect the performance of said horse at an event licensed by the NRHA without complying with Section 8, is subject to the penalties provided in Section 5, and General Rules and Regulations (E) and the Animal Welfare and Medications Policy.

(e) Any person(s) responsible or person subject to these rules who administers, attempts to administer, instructs, aids, conspires with another to administer or employs anyone who administers or attempts to administer any substance to a horse by injection or by any other route of administration, whether the substance is forbidden or permitted, at an event licensed by the NRHA, whether it be during a scheduled class in the competition ring, practice arenas, alleys leading into the arenas or any other public areas of the show grounds, is subject to the penalties provided in Section 5.

(f) Unless administered in a life-saving situation which should be done based on consultation with a veterinarian.

SECTION 4.

RESULTS, CONFIRMATORY ANALYSIS, AND RETEST

(a) Blood and urine samples labeled and identified as Samples A shall be subjected to chemical analysis by a laboratory with which NRHA has contracted for its services. Blood and urine samples labeled and identified as Samples B shall be stored securely, unopened, at the contracted laboratory, to be used in the event that a confirmatory analysis shall be required.

(b) In the event the chemical analysis of Blood or Urine Sample A is negative, i.e., no forbidden substance or any metabolite or analogue thereof is found to be present in the sample, the corresponding Blood or Urine Sample B shall be destroyed by the laboratory.

(c) In the event the chemical analysis of Blood or Urine Sample A is positive, i.e., a forbidden substance or any metabolite or analogue thereof is found to be present in the sample, this shall be prima facie evidence that the forbidden substance was administered in some manner to said horse, whether intentionally or unintentionally, or otherwise was caused to be present in the tissues, body fluids or excreta of the horse at the event, whether intentionally or unintentionally, such that the person(s) responsible deemed responsible and accountable for its condition is (are) liable under the provisions of Section 3.

(d) In the event the chemical analysis of Blood or Urine Sample A is positive, and upon the issuance of Notices of Charge to persons deemed responsible and accountable under the rules, a person charged who requests a confirmatory analysis of the corresponding Blood or Urine Sample B must make the request in writing to NRHA Counsel, and it must be received within 15 days of the date of the Notice of Charge.

(e) The confirmatory analysis of the corresponding Blood or Urine Sample B shall be performed by a drug testing laboratory that must be mutually agreed upon by the person charged who requests the confirmatory analysis and NRHA Counsel, which laboratory must have demonstrated proficiency in performing the necessary confirmatory analysis, provided the corresponding Blood or Urine Sample B exists and is of sufficient volume to per-

mit a confirmatory analysis. In the event the drug testing laboratory that analyzed Sample A is the only laboratory that has demonstrated proficiency in performing the necessary confirmatory analysis, as determined by NRHA Counsel, this laboratory shall be the only laboratory to which NRHA Counsel shall agree to perform the confirmatory analysis of the corresponding Sample B. Upon the completion of the confirmatory analysis, the laboratory performing the confirmatory analysis shall forward its findings and supporting data to all parties.

(f) In the event no agreement is reached as to a laboratory as required in Section 4(e) above, and the person charged who requests the confirmatory analysis does not revoke his/her request, the confirmatory analysis of the corresponding Blood or Urine Sample B shall be performed by the contracted laboratory as determined by NRHA Counsel, which laboratory shall forward its findings and supporting data to all parties. Both the results of the analysis of Sample A (and supporting data) and the results of the confirmatory analysis of the corresponding Sample B, if any (and supporting data, if any), shall be admissible as evidence in any hearing or proceeding pertaining to this matter.

(g) In the event the corresponding Blood or Urine Sample B does not exist, or is of insufficient volume to permit a confirmatory analysis, as determined by NRHA Counsel, and there exists a remaining aliquot of Blood or Urine Sample A which is of sufficient volume to permit a retest, as determined by NRHA Counsel, a person charged who requests the retest of Blood or Urine Sample A must make the request in writing to NRHA Counsel, and it must be received within 7 days of the determination that the corresponding Blood or Urine Sample B does not exist or is of insufficient volume to permit a confirmatory analysis.

(h) Any requested re-test of the remaining aliquot of Blood or Urine Sample A, provided it is of sufficient volume to permit a retest, shall be performed by the contracted laboratory as determined by NRHA Counsel.

(i) The retest of the remaining aliquot of Blood or Urine Sample A may be witnessed by a Witnessing Analyst appointed by the person charged who requests such analysis at the same time as the retest is requested. The Witnessing Analyst must be a qualified analytical chemist employed by an equine drug testing laboratory. If no Witnessing Analyst is appointed by the person requesting the retest, or if the Witnessing Analyst is unavailable within a reasonable time, the requested retest of the remaining aliquot of Blood or Urine Sample A shall proceed without the Witnessing Analyst.

(j) In the event the Witnessing Analyst appointed by the person requesting the retest of the remaining aliquot of Blood or Urine Sample A is satisfied that the positive result is correct, NRHA Counsel must be informed immediately by fax with confirmation by letter.

(k) In the event the Witnessing Analyst is not satisfied that the result of the retest of the remaining aliquot of Blood or Urine Sample A is correct, NRHA Counsel must be informed immediately by fax followed by a written report setting forth the basis for the Witnessing Analyst's opinion. Copies of the original and subsequent results and supporting analytical data must be submitted to the NRHA Hearing Body as part of the hearing record in the case, for resolution by it of any and all issues regarding the original analysis of Blood or Urine Sample A and the retest of the remaining aliquot of Blood or Urine Sample A.

(l) By requesting the confirmatory analysis of the corresponding Blood or Urine Sample B, or the retest of the remaining aliquot of Blood or Urine Sample A, or by requesting that the retest be witnessed by a Witnessing Analyst, the person charged who makes such request(s) agrees to and must pay any and all fees, costs and expenses relating to the confirmatory analysis or the retest, whether it is performed by a mutually agreed upon laboratory, by the contracted laboratory upon the presentation of an invoice by NRHA Counsel, and any and all fees, costs, and expenses relating to the Witnessing Analyst.

(m) If the chemical analysis of the sample taken from such horse indicates the presence of a forbidden substance or any metabolite or analogue thereof and all the requirements of Section 8 have been fully complied with, the information contained in said Medications Report Form and any other relevant evidence will be considered by NRHA in determining whether a rule violation was committed by any person(s) responsible or accountable for the condition of the horse under the provisions of this rule.

(n) When a positive report is received from the chemist identifying a forbidden substance, or any metabolite or analogue thereof, a hearing will be held in accordance with General Rules and Regulations (E) and the Animal Welfare and Medications Policy. No person responsible or accountable for the condition of said horse, will be suspended, or a horse barred from competition, until after an administrative penalty has been assessed or after the conclusion of a hearing and a written ruling thereon has been made.

(o) The owner or owners of a horse found to contain a forbidden substance or any metabolite or analogue thereof may be required to forfeit all prize money, sweepstakes, added money and any trophies, ribbons and "points" won at said event by said horse and the same will be redistributed accordingly. If, prior to or at a hearing, NRHA as the charging party, determines that one or more persons, not previously charged as a person responsible should also be charged as a person responsible, then, upon application by NRHA, the Hearing Body may, in its discretion, continue or adjourn the hearing, in whole or in part, to permit a new or

amended charge to be issued (unless the person(s) to be charged waive notice).

(p) A person responsible of a horse found to contain such forbidden substance or any metabolite or analogue thereof is subject to whatever penalty is assessed by the Hearing Body, as provided by General Rules and Regulations (E) and the Animal Welfare and Medications Policy. Said person responsible may be fined and may be suspended from all participation in NRHA approved events as outlined in General Rules and Regulations (E) Section 9 and the Animal Welfare and Medications Policy. In determining an appropriate penalty under these rules, the Hearing Body may take into account such factors and circumstances as it may deem relevant, including but not limited to:

- i.** the pharmacology of the forbidden substance,
- ii.** the credibility and good faith of the person charged or of other witnesses,
- iii.** penalties determined in similar cases, and
- iv.** past violations of any NRHA rules (or the lack thereof).
- v.** reliance upon the professional ability or advice of a veterinarian who is a licensed graduate of an accredited veterinary school and who is in good standing in the state, province or country in which he/she primarily practices.

SECTION 5. MANAGEMENT PROCEDURES

(a) Testing fees will be applied where testing is carried out at NRHA events as approved by the NRHA Board of Directors.

(b) Event management must cooperate with the veterinarian and/or his agents.

SECTION 6. INTERPRETATIONS OF THE NRHA ANIMAL WELFARE AND MEDICATIONS RULE AND ITS APPLICATION TO PARTICULAR SUBSTANCES.

Trainers, persons responsible and/or owners who seek advice concerning the interpretation and application of this rule should not rely solely upon interpretations or advice by private or event veterinarians, event officials, event personnel, or other persons, but should also obtain verification of any such interpretations or advice from the NRHA Animal Welfare and Medications Program office. Any trainer, person responsible or owner who is uncertain about whether this rule applies in any given situation would be well advised to withdraw the affected horse from competition until such time as the NRHA Animal Welfare and Medications Program office has been consulted.

SECTION 7. EQUINE MEDICATIONS, THE THERAPEUTIC SUBSTANCE PROVISIONS

(a) No horse competing in an event approved by NRHA is to be shown in any class (see also Section 1 (a), last sentence) if it has been administered in any manner or otherwise contains in its tissues, body fluids or excreta a forbidden substance except as provided in Section 8.

For purposes of this rule, a forbidden substance is:

i. Any stimulant, depressant, tranquilizer, local anesthetic, psychotropic (mood and/or behavior altering) substance, or drug which might affect the performance of a horse (stimulants and/or depressants are defined as substances which stimulate or depress the cardiovascular, respiratory or central nervous systems), or any metabolite and/or analogue of any such substance or drug, except as expressly permitted by this rule.

ii. Any corticosteroid present in the plasma of the horse other than dexamethasone (see Section (e)(ii)).

iii. Any nonsteroidal anti-inflammatory drug in excess of two present in the plasma or urine of the horse (Section 8 does not apply); exception: salicylic acid and topical use of diclofenac (Surpass) is permitted in addition to two additional nonsteroidal anti-inflammatory drugs.

iv. Any substance (or metabolite and/or analogue thereof) permitted by this rule in excess of the maximum limit or other restrictions prescribed herein.

v. Any substance (or metabolite and/or analogue thereof), regardless of how harmless or innocuous it might be, which might interfere with the detection of any of the substances defined in (i), (ii), (iii) or (v) or quantification of substances permitted by this rule.

vi. Any anabolic steroid.

(b) EXHIBITORS, OWNERS, TRAINERS, PERSONS RESPONSIBLE AND VETERINARIANS ARE CAUTIONED AGAINST THE USE OF MEDICINAL PREPARATIONS, TONICS, PASTES, AND PRODUCTS OF ANY KIND, THE INGREDIENTS AND QUANTITATIVE ANALYSIS OF WHICH ARE NOT SPECIFICALLY KNOWN, AS MANY OF THEM MAY CONTAIN A FORBIDDEN SUBSTANCE.

(c) The full use of modern therapeutic measures for the improvement and protection of the health of the horse is permitted unless:

i. The substance administered is a stimulant, depressant, tranquilizer, local anesthetic, drug or drug metabolite which might affect the performance of a horse or might interfere with the detection of forbidden substances or quantification of permitted substances; or

ii. More than two nonsteroidal anti-inflammatory drugs are present in the plasma or urine of the horse (Section 8 does not apply); exception: salicylic acid and topical use of diclofenac (Surpass) is permitted in addition to two additional nonsteroidal anti-inflammatory drugs; or

iii. The presence of such substance in the blood or urine sample exceeds the maximum limit or other restrictions prescribed herein below.

(d) Restrictions concerning the nonsteroidal anti-inflammatory drugs are as follows:

- i.** The maximum permitted plasma concentration of diclofenac is 0.005 micrograms per milliliter.
- ii.** The maximum permitted plasma concentration of phenylbutazone is 15.0 micrograms per milliliter.
- iii.** The maximum permitted plasma concentration of flunixin is 1.0 micrograms per milliliter.
- iv.** The maximum permitted plasma concentration of ketoprofen is 0.250 micrograms per milliliter.
- v.** The maximum permitted plasma concentration of meclofenamic acid is 2.5 micrograms per milliliter.
- vi.** The maximum permitted plasma concentration of naproxen is 40.0 micrograms per milliliter.
- vii.** The maximum permitted plasma concentration of firocoxib is 0.240 micrograms per milliliter.
- viii.** Upon the approval of eltenac by the FDA, the maximum permitted plasma concentration of eltenac is 0.1 micrograms per milliliter.
- ix.** A maximum of two substances listed in (i) through (vii) above are permitted to be present in the same plasma or urine sample (Section 8 does not apply); exception topical use of diclofenac (Surpass) is permitted in addition to two additional nonsteroidal anti-inflammatory drugs.
- x.** Phenylbutazone and flunixin are not permitted to be present in the same plasma or urine sample (Section 8.a.xi. does not apply).
- xi.** Any nonsteroidal anti-inflammatory drug not listed in (i) through (vii) above is forbidden to be present in the plasma or urine sample (Section 8 does not apply); exception: salicylic acid.
- xii.** Any nonsteroidal anti-inflammatory drug that becomes approved for use in horses can be added to the list of those permitted, after the completion, review and approval of the needed research.

(e) Restrictions concerning other therapeutic substances are as follows:

- i.** The maximum permissible plasma concentration of methocarbamol is 4.0 micrograms per milliliter.
- ii.** The maximum permitted plasma concentration of dexamethasone is 0.003 micrograms per milliliter.

(f) Thresholds for substances of possible dietary origin are as follows:

- i.** The maximum permissible urine concentration of theobromine is 2.0 micrograms per milliliter.

SECTION 8. CONDITIONS FOR THERAPEUTIC ADMINISTRATIONS OF FORBIDDEN SUBSTANCES

(a) A horse exhibiting at an NRHA approved event pursuant to the Therapeutic Substance Provisions that receives any medication which contains a forbidden substance is not eligible for competition unless all of the following requirements have been met and the facts are furnished in writing on a timely-submitted official Medications Report Form:

- i.** The medication must be therapeutic and necessary

for the diagnosis or treatment of an existing illness or injury. Any person responsible who is uncertain about whether a particular purpose is considered to be therapeutic would be well advised to consult his/her veterinarian or testing laboratory.

ii. The horse must be withdrawn from competition for a period of not less than 24 hours after the medication is administered.

iii. The medication must be administered by a licensed veterinarian in good standing, or, if a veterinarian is unavailable, only by the trainer/person responsible pursuant to the advice and direction of a veterinarian.

iv. Administration of a forbidden substance for non-therapeutic or optional purposes (such as, by way of example only, shipping, clipping, training, turning out, routine floating or cleaning of teeth, non-diagnostic nerve blocking, uncasting, mane pulling or non-emergency shoeing) is not considered to be therapeutic. Medications are permissible if administered prior to 24 hours prior to competition and is declared on a timely-submitted official Medications Report Form.

v. Identification of medication—the amount, strength and route of administration.

vi. Date and time of administration.

vii. Identification of horse, its name, age, sex, color and entry number.

viii. Diagnosis and reason for administration.

ix. Statement signed by person administering medication.

x. Medications Report Form filed with the Show Steward or Show Representative within one hour after administration or one hour after the Show Steward or Show Representative returns to duty after competition resumes if administration is at a time other than during competition hours.

xi. The Show Steward or Show Representative must sign and record the time of receipt on the Medications Report Form.

xii. Flunixin (Banamine) – is a quantitatively restricted medication that may be used conditionally as a third NSAID and/or in addition to phenylbutazone to treat colic or ophthalmic emergencies only under the actual observation of event management (or designated representative) and/or official event veterinarian, either of which must sign the medication report form, to aid in instances of colic. A Medications Report Form must be filed with event management as required in this rule.

xiii. Lidocaine/Mepivacaine: Is a conditionally permitted medication that may only be used within 24 hours of competition under actual observation of event management (or designated representative) and/or the official event veterinarian, either of which must

sign the medication report form, to aid in the surgical repair of minor skin lacerations which, due to their very nature, would not prevent the horse from competing following surgery. Treatments include, but are not limited to, repair of heel bulb. A Medication Report Form must be filed with the event management as required in this rule.

(b) Where all the requirements of Section 8 have been fully complied with, the information contained in said Medications Report Form and any other relevant evidence will be considered by the NRHA in determining whether a rule violation was committed by any person(s) responsible or accountable for the condition of the horse under the provisions of this rule.

NOTE: The official Medications Report Form is available from the officiating Show Steward, Show Representative and/or Show Secretary. All required information must be included when filing a report. Failure to satisfy and follow all the requirements of this Rule and to supply all of the information required by such Medications Report Form is a violation of the rules. The Show Steward/Show Representative must report any known violations of this Rule to the NRHA for such further action as may be deemed appropriate.