



# INTERNATIONAL AGREEMENT ON TROTTING RACES

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## FOREWORD

The UET members give the highest importance to the cultural and agricultural value of the trotter as a sport-horse. They appreciate the genetic potential of this breed and strives to maintain trotting as a professional sport, in addition to a dedicated selection for the breeding of trotters, taking in account the constant evolution of the modern world.

Paramount to this objective are:

- Acceptance by the UET members that the welfare of the horse comes first at all times and must never be subordinated to competitive or commercial influences;
- Putting the welfare of the horse first as a guarantee for healthy animals that perform well.

To achieve this objective, the following values are adhered to:

- Protection of the horse's integrity, both in sports as in breeding;
- Pro-actively drive improvements in the field of animal-welfare, by participating in both the global reflexion on horse-welfare with other international equine authorities and the scientific research to support it.
- Transparency of policy and decision making, while keeping tradition and innovation in permanent balance;
- Education of people connected to trotting sports on all levels

The development of international relations in the field of trotter breeding and of the organization of trotting races as well as the horserace betting for which they provide the underpinning, the ever more frequent exchanges between European countries, have prompted UET members to strive for and define the principles and means of a minimal common regulation, especially on the subject of securing horse welfare and responsible ways of working in actions related to trotting sports.

This regulation, based on the national provisions applicable in each nation, seeks to harmonise their respective Rules of Racing so as to avoid any major disparities or contradictions in the regulations in force enacted in the countries concerned.

The International Agreement, to the extent that it commits the Racing Authorities that are its signatories, constitutes a solid base that enables the various countries organizing trotting races to come together, to strengthen a common position in the way of regulation and to obtain recognition of the binding nature for these Racing Authorities of the commitments they enter into under the Agreement.

It furthermore constitutes a charter that may be invoked against third parties, thereby restraining certain outside influences deemed to be harmful.

Without being an international code for trot racing, this Agreement is the foundation for harmonized rules that will evolve over the years as new topics fall within their scope.

The present Agreement represents the updated, modified and completed new edition of the European Agreement on Trotting Races published in 1991.

According to the commitments made during the World Trotting Conference held in 1993 in Paris, on January 1, 1995 this Agreement is now extended to Australia, Canada, New-Zealand and the United States.

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## CHAPTER I - REGULATIONS REGARDING BREEDING

### **Article 1 - Registration in a Stud-Book**

Any «trotter» born in a country whose Racing Authorities are signatories to this Agreement shall be entered in a stud-book recognized by the competent Authorities of each country concerned. A list of the current trotters' stud-books is given hereafter (appendix I-1).

There shall be no discrimination on the basis of foaling places or breeder's nationality when recording a foal in the list below-mentioned.

### **Article 2 - Registration Criteria**

«Stud-book» means the register in which the list of broodmares and their foals are recorded and recognized as being of the Trotter horse breed (under internationally accepted selection criteria, defined in appendix I-2), as well as the list of stallions recognized in accordance with the same criteria and, where applicable, the list of imported foreign horses recorded in the stud-book of their country of origin.

### **Article 3 - Recognition of Stud-Books**

Each country whose Racing Authorities are signatories to this Agreement shall recognize the validity of the stud-books of the other signatory countries, providing all entries are made and guaranteed by the competent authority in the country concerned, or by any duly empowered body.

### **Article 4 - Identity Checks**

Any horses recorded in a stud-book of a country whose Racing Authorities are signatories to this Agreement shall be submitted to identity checks by the relevant Stud-Book authority. Such checks shall be recorded in the horse's documents of origin or identification issued for each horse by the competent authority, and/ or on its passport.

Countries whose Racing Authorities are signatories to this Agreement shall set up a specific identification procedure through a standardized detailed description or possibly freeze or lip branding or microchip implant. Moreover, the signatory countries undertake to set up blood typing records for each new foal.

All foals shall be identified at birth by DNA typing.

Technology driven change from DNA microsatellites to SNP-chip

All countries commit to inform each other about the time schedule for transition to SNP-chip. Secured identity of horses is necessary for transfer, both for racing and breeding in different studbooks.

## **Article 5 - Registration of names**

The name assigned to a foal registered by the competent authority in a signatory country:

- shall comprise no more than 20 characters (including blank spaces),
- shall not use those of stallions, horses or broodmares notorious for their performance in international racing.

The countries that are signatories to this Agreement undertake to prohibit any change in the name of a horse registered in the relevant Stud Book once it has taken part in a public race. Furthermore, before that first racing event any change in a horse's name is subject to the prior authorization of the Authority that has registered the name.

The registered names of horses coming from abroad shall have suffixes added to them specifying the country of origin of the horse, in accordance with the International code (ISO 3166).

A list of protected names is published by UET and is available on the UET website.

## **Article 6 - Registration document**

For each new foal, the Stud-Book authority concerned shall issue a registration document or passport to be forwarded to the national trot racing authorities.

The registration document or passport shall include the data required to identify the foal: name, breed, date of birth, UELN number, sex, colour, description, pedigree (sire, dam, damsire), identity number, breeder's name and name of the issuing body.

Countries whose Racing Authorities are signatories to this Agreement shall establish a standard document for all horses entered in the stud-book mentioned in article 2.

## **Article 7 - Registration**

When a horse is exported and when its Stud Book of origin is divided into several sections, countries whose Racing Authorities are signatories to this Agreement shall indicate which section of that Stud Book the horse was registered in.

## **Article 8 - Export certificate**

A trotter imported into a country cannot be registered in the stud-book of that country unless an export certificate issued less than 90 days previously has been delivered by the keeper authority of the stud-book in its country of origin.

## **Article 9 - Cloning**

No trotter conceived by means of cloning, genetic engineering or sperm selection shall be allowed to participate in races organized in countries whose Racing Authorities are signatories to this Agreement, nor be registered in a Trotter Stud Book.

## **Article 10 - Mare gestation**

No mare shall be allowed to participate in races beyond 120 days after the last covering date. A covered mare may be allowed to continue to run if she is declared empty.

No mare shall be allowed to participate in races until 150 days minimum after have elapsed following the birth of a foal (live foal). In case of abortion or of a stillborn foal after 120 days or more of gestation, the mare may be authorized to run again after a minimum period of 90 days months following said event.

## **Article 11 - Limitation of breeding cards per stallion**

A foal may be registered in a Stud-Book only when a breeding certificate has been duly delivered for registration purposes by the owner of the stallion or his representative, regardless of the method of reproduction. Each country shall keep, for each stallion, a register of mares he has covered.

In the case of insemination with transported semen, providing the Stud-Book regulations so allow, each dose of semen must be numbered and accompanied by a certificate, certifying the origin of the semen and the date of collection.

Each country shall keep a register of stallions used with internationally transported semen, as well as a list of the authorized representatives of those stallions. Every year the authorization shall be confirmed with a written statement by the owner of the stallion (power of attorney).

Every year each country shall publish a list of mares inseminated with internationally transported semen, and provide the list to the UET.

The use of semen from a dead or disappeared stallion or one that has been gelded is forbidden beyond the end of the calendar year following his death or disappearance or date of gelding. No foal may be registered for an insemination performed beyond this time limit.

Recommendation:

The number of breeding cards issued annually for one stallion may not exceed 15% for the progeny to be registered in a Stud-Book, regardless of the insemination method used.

## **Article 12 - Embryo Transfer**

A mare is allowed to give birth to one foal only per year (except in case of twins). In the case of a birth arising from an embryo transfer method, only the first foal

born worldwide may be registered in one Stud-Book. The embryo transfer donor mare must be approved and embryo transfer (E.T.) must be mentioned in the foal's registration documents.

No mare with foal at foot may be exported before December 31 of the year of birth of that foal.

Both mares (donor and host) involved in the embryo transfer shall be considered as covered.

Foals born as a result of embryo transfers using frozen embryos shall not be able to register in any studbook.

Foals born as a result of OPU/ICSI shall not be able to register in any studbook.

### **Appendix I - 1 - Stud Books of UET member countries**

The only trotter Stud-Books existing in UET member countries and recognized by the countries whose Racing Authorities that are signatories to this Agreement are as follows:

| <b>OFFICIAL NAME</b>                                | <b>MAIN CHARACTERISTICS</b>   |
|---|---|
| <b>AUSTRIA</b><br>ÖSTERREICHISCHES<br>ZUCHTREGISTER | Kept by the Austrian Federation. Open to the progeny born in Austria of mares registered in this Stud-Book and covered in Austria, and to trotter foals born outside Austria from Austrian-registered or foreign mares imported into Austria, providing such mares were imported with their foal, during the year of its birth  |
| <b>BELGIUM</b><br>STUD-BOOK DU TROTTEUR<br>BELGE    | Kept by the Belgian Federation. .Section 1: open only to the progeny of horses registered in the Stud-Book of an Association approved by ITA and/ or UET under certain conditions. Section 2: open to horses registered in the Stud-Book of an Association approved by ITA and/ or UET under certain conditions... Section 3: open to horses born and identified in Belgium as from 2010 whose sire and dam are registered in the Stud Book of a foreign Association approved by ITAand/ or UET under certain conditions. |
| <b>DENMARK</b><br>DANSK TRAVERSTAMBOK               | Kept by the Danish Federation of Trotting Races. Open to the progeny of Danish mares and to the progeny of imported foreign mares recognized by the Danish Federation.  |
| <b>FINLAND</b><br>SUKUKIRJA                         | Kept by the Finnish Federation (Suomen Hippos). Open to the progeny of recognized stallions and mares registered in this stud-book and to those which are imported and recognized by Suomen Hippos.   |

## FRANCE

### STUD-BOOK DU TROTTEUR FRANCAIS

Kept by the IFCE. Closed register, with some occasional exceptions as decided by rules.

## GERMANY

### DEUTSCHES TRABERGESTÜTBUCH

Kept by the German Federation (H.V.T.). This Stud-Book is open only to Trotters produced by registered sires and dams and to those which are imported and recognized by the Federation.

## IRELAND

### IRISH TROTTING STUDBOOK

Kept by the Irish Harness Racing Association and approved by the Department of Agriculture, Food & the Marine. Open to Trotting Horses born in Ireland

## ITALY

### LIBRO GENEALOGICO DEL CAVALLO TROTTATORE ITALIANO

Kept by the Ministry in charge of Agriculture. Closed Register. Exceptions possible.

## NETHERLANDS

### THE NEDERLANDS DRAVERSTAMBOEK

Kept by the Dutch Federation of trotting races. Section 1: open to native horses only. Section 2: open to imported horses only.

## NORWAY

### NORSK TRAVERSTAMBOK FOR VARMBLODHESTER

Kept by the Norwegian Federation of trotting races (D.N.T.). Open to the progeny of registered mares and approved stallions owned by Norwegian breeders.

## RUSSIA

### STATE STUD BOOK OF RUSSIAN TROTTERS

Kept by the All Russian Breeding Horse Research Institute for Horse breeding under the authority of the Ministry of Agriculture in Russia. Open only to the progeny of mares either registered in the stud book or recorded in the register of imported horses, and of a sire entered either in one of the stud-books or in a foreign stub-book recognized by All-Russian Research Institute for Horse breeding. No special requirements as regards breeders nationalities.

## SPAIN

### LIBRO GENEALOGICO DEL CABALLO TROTADOR ESPAÑOL

Kept by l'Asociación de Criadores y Propietarios de Cavallos de Trotadores (ASTROT), delegated in 2007 by the Ministerio de Agricultura, Pesca y Alimentation

## SLOVENIA

### KASAŠKO REJSKO ZDRUŽENJE SLOVENIJE

Kept by the Slovenian Federation. Open to the progeny born in Slovenia of mares registered in this Stud-Book and covered in Slovenia, and to trotter foals born outside Slovenia from Slovenia-registered or foreign mares imported into Slovenia, providing such mares were imported with their foal, during the year of its birth.

## SWEDEN

### SVENSK TRAVSTAMBOK FÖR VARMBLODIGA HÄSTAR

Kept by the Swedish Federation of trotting ( S.T.). Open to the progeny of Swedish mares and the progeny of imported foreign mares and registered stallions from studbooks recognized by the Swedish Federation.

## SWITZERLAND

### STUD-BOOK SUISSE POUR CHEVAUX TROTTEURS

Kept by the Breeding Committee of the Swiss Trotting Federation, delegated by the Swiss Federal Department of Agriculture. Open to any foal entered in the Stud-Book of any country. The foal concerned must be in Switzerland before the end of its birth year.

## Appendix I - 2- Stud Book Registration Conditions

1. The Stud-Book authorities mentioned in appendix I-1 shall draw up the conditions for registration in the Stud-Book they keep:
  - every horse shall be duly identified by the competent authority which shall issue a registration document or a passport and make the registration,
  - parentage check shall be done by DNA typing,
  - identification of a trotter shall include a record of its description and verification that the registration conditions for the Stud-Book have been met, as well as the verification of the description carried out at the latest when qualifying for racing.
  - registration in a stud-book :
    - ✓ according to parentage registration (for the progeny of sires and mares already registered in that Stud-Book),
    - ✓ by decision of the Stud-Book authority.
2. The organization delegated to keep each stud-book shall lay down the selection criteria for stallion licensing:
  - all breeding stock (stallions and mares) must be approved by the competent authority,
  - such approval shall only be given to a male horse already registered in a Stud-Book, accompanied by a registration and identity documents,
  - approval shall be granted according to selection requirements established by the competent authority.
3. A trotter may be allowed to be registered as a sire in a stud-book other than his stud-book of origin, providing he meets the conditions of approval for stallion licensing as determined by the authorities in charge of that other Stud-Book according to article 4 of EU Directive 90/427.

## CHAPTER II - HEALTH REGULATIONS

### **Article 1 - Health information**

The Racing Authorities of the countries that are signatories to this Agreement undertake to inform one another, through UET's secretariat, about infectious diseases and epidemics, involving horses domiciled in their countries.

They shall exchange information on the state of health of horses as well as on any measures taken to improve prevention against contagious diseases.

They undertake to report any equine notifiable diseases (Dourine, Glanders, Venezuelian Equine Encephalomyelitis, Infectious Equine Anemia, Rabies, Anthrax, African Horse Sickness).

UET's secretariat shall establish co-operation with the O.I.E. in order to exchange information.

### **Article 2 - Vaccinations**

The Racing Authorities of the countries that are signatories to this Agreement shall enforce compulsory vaccination requirements in their respective countries, in particular vaccination against Equine Influenza. Vaccinations shall be recorded on the horse's passport or on a special health document, certified by the duly accredited veterinary authority, in the country where the horse is domiciled.

Following a vaccine injection, no horse may be allowed to participate in a race for at least 4 clear days.

### **Article 3 - Vaccination against Equine Influenza**

Any horse coming from one of the countries that are signatories to this Agreement, to participate in a race organized in another signatory country, shall have been vaccinated against Equine Influenza:

- According to the timing requirements of the sanitary authorities in the country of origin, for the primary injections.
- Within a period not exceeding twelve months for the booster injections.

A certificate proving compliance with the above-mentioned conditions shall be electronically available for consultation or presented to the competent authorities before any horse shall be allowed to enter a racetrack or a training center.

### **Article 4 - Hygiene requirements**

The vehicles and stalls used on race courses and/or in training centers to house horses coming from abroad shall be regularly disinfected, especially when a horse vacates the stall and is replaced by another.

As far as possible, foreign horses shall be stabled separately upon their arrival in the country, and subjected to a health check.

### **Article 5 - Administrative measures - Health certificate**

A passport or document of identity stating name, sex, breed, origin, age and methods of identification shall be provided for each trotter entering a country that is signatory to this Agreement. These documents shall contain, or be accompanied by a health certificate issued by the veterinary authority in accordance with the health regulations applicable in the horse's country of origin. They shall be checked whenever a horse is imported.

### **Article 6 - Health regulations governing races**

Any horse entering a country that is signatory to this Agreement, from any country signatory to this Agreement, to take part in a race, shall be subjected to a health check, within the time-limit set by the Animal Health Authorities in the horse's country of origin, prior to the horse's departure and by those of the host country upon arrival. Any horse suspected by the veterinarian authority of suffering from or being contaminated by an infectious disease, shall be quarantined.

The Racing Authorities of the countries that are signatories to this Agreement shall ban from racing any horse which does not fulfill the health requirements of the host country or for which it is not bring the evidence that it does fulfill the timing requirements for compulsory vaccination in said country.

### **Article 7 - End of racing career**

The Horseracing Authorities of the countries that are signatories to this Agreement must ensure that measures are taken in their respective countries either by national organisations or by private organisations to make sure that horses retired from trotting races are properly treated in compliance with the Code of Conduct appended to this Agreement.

When a horse is registered in a country that is signatory to this Agreement as retired or retrained and definitively excluded from races, it is no longer authorized to participate in a race in other countries that are signatories to this Agreement.

## CHAPTER III - RACING REGULATIONS

### **Article 1 - Organization of races**

Each Racing Authority in charge of trotting races in its country shall organize:

- Races reserved to trotters entered in at least one of the Stud-Books defined in Chapter I.
- International races open to all recognized trotter breeds duly registered in a trotter Stud-Book recognized at the international level by an official body approved by the national authority of the country of origin of this Stud-Book.
- European races reserved to trotters foaled in one country that is signatory to this agreement and registered in one of the Stud-Books mentioned in Chapter I.

### **Article 2 - Eligibility to enter a race**

Races shall be open to horses of a certain age or gender category or, according to a classification based on winnings or speed records.

### **Article 3 - Inspections**

Before each race, horses, drivers and equipment (carriage, sulky, helmet, safety jacket, etc.) shall be inspected.

Before each race, if a horse is lame or suffering from another health problem, it may be prevented from racing, either by the veterinarian or by the Stewards (Racing Authority).

### **Article 4 - Definition of race categories**

On proposal of the Breeding Committee, UET shall define race categories according to specific criteria (see appendix III-1).

### **Article 5 - Performance recording**

Every national Horseracing Authority is responsible for keeping a comprehensive record of each horse's performance (position in the finishing order, distance covered, running time, winnings, etc.).

In the event of permanent export of a horse, the national Horseracing Authority of the receiving country shall be responsible for those records.

Responsibility for the upkeep of horse data sheets:

If a horse or a driver takes part in a race abroad, the National Horseracing Authority of the organizing country undertakes to provide, on the first working day after the race, the Horseracing Authority of the country where the horse is registered (\*) and the Horseracing Authority of the country where the horse is trained, with the technical data of the race (racecourse, date, name of race, distance, barrier draw, finishing position, running time, driver's name, amounts won, penalty if any, etc.).

(\*) registered means registered as a foal in the Stud-Book of a country or transferred to the import Register of another country.

## **Article 6 - Progress of the race**

### **I. START**

#### **1. Procedures**

All the competitors must be on the track at least 6 minutes before the official starting time and pass in front of the public.

A visual or sound signal gives the competitors a countdown to the time of departure. A signal rings or appears before the start as follows :

- 3 minutes
- 1 minute
- 30 seconds
- 15 seconds

#### **a) Tape start or electric-eye start (recommendations)**

The competitors have to line up under the orders of the Steward who then launches the procedure. The horses are positioned according to countries' current regulations.

The starting orders last 7 seconds and are broken down as follows :

- « Ready
- Five
- Four
- Three
- Two
- One
- TOP »

The track is opened at « One ».

If a horse crosses the starting line before “One”, a sound signal is emitted and a new start is given.

If the profile and technical characteristics of a track do not allow the use of the starting orders as mentioned above, local regulation may apply.

#### **b) Mobile start**

The mobile start car waits for the competitors at a standstill between 400 and 250 meters from the starting line which is indicated by a special sign. After the

countdown of 3 minutes before the start, a sound and/or visual signal indicates the starting up of the car which rushes forward to attain the maximum speed allotted to that race when approaching the starting line.

As soon as the car starts, the competitors line up behind the wings, according to the numbered placing assigned to the front rank and, where applicable, the second and/or the third rank. They have to be in place 100 meters behind the starting line.

There is a new start and a sound signal so informs the competitors in case of:

- A car incident.
- Accident of a competitor.
- Illicit advantage taken by a competitor.
- A placing not respected by a competitor.
- Interference of a competitor at the start.

## 2. Sanctions

A jockey or driver is fined for:

A fine of 20 to 100 € or corresponding to a maximum of 5% of the total purse of the race (depending on the seriousness of the offense and the importance of the event) is imposed on the jockey or driver for :

- non respect of the pre-start the procedure,
- delay of the start,
- non respect of Starter's orders,
- an attempt of illicit advantage at start,
- causing a new start,
- interference of a competitor at the start.

In case of repeated offences, the jockey/driver for a 2 to 30 days period and/or the horse for a 8 to 30 days period may be suspended. In addition the horse concerned may also be disqualified from the race.

## II. DISQUALIFICATION

### 1. Definition

A horse that is disqualified is one that loses the benefit of the position it would have been assigned otherwise. When a horse is disqualified during the race, it is no longer allowed to continue the race.

## 2. Gaits

A horse shall run the entire course in the trotting gait. If a horse breaks stride, it should immediately be pulled back to the trot, without interfering with other competitors.

A. A horse shall be disqualified:

- a) if it breaks stride during the race and covers more than 100 metres or if it takes more than 15 strides in gallop or pacing,
- b) if it breaks stride more than twice (gallop or pace),
- c) if it takes a single stride at the gallop or pace in the last part of the race, clearly materialized by a red and white sign before the winning post. The sign is positioned at 100 m minimum to 200 m maximum from the winning post, according to the length and shape of the track,
- d) if it breaks stride (gallop or pace), thereby gaining an advantage over the other competitors.

B. A horse may be disqualified:

- a) if it moves at an irregular gait, thereby gaining an advantage over other competitors,
- b) if it moves at an irregular gait ; furthermore, the trainer and the driver may be subject to penalties.

## 3. Incidents

A horse shall be disqualified:

- a) if it takes the wrong course,
- b) if it covers a distance; other than the prescribed distance,
- c) if, during the race, by changing line, it interferes with one or several competitors, thereby gaining advantage over them,
- d) if it covers part of the course without its driver,
- e) if it crosses the marks that materialize the track boundary to overtake a competitor or to gain any sort of advantage.

## 4. Decision

The decision to disqualify a horse on account of its gaits or a race incident shall be taken:

- either immediately, while the race is ongoing,
- or after an enquiry and before the finishing order has been made official.

The decision to disqualify in these cases shall be irrevocable and no appeal or protest shall be lodged during the race day.

Irrespective of whether the horse is disqualified, its driver may be penalized by :

- a caution,
- a fine of 20 to 500 € or corresponding to a maximum of 5 % of the total purse of the race.

### III. DEMOTION

#### 1. Definition

A horse that is demoted is one that loses its place at the finish and is placed back to one or more positions.

#### 2. Incident

If, in the home stretch, a horse, not keeping its line, interferes with one or several competitors, it shall be, according to the gravity of the infringement, disqualified or demoted, which means classified behind the horse(s) interfered with, but maintained in the classification ahead of those unaffected by the incident.

#### 3. Decision

A decision to demote shall be taken before the finishing order is made official.

Such decision may not be appealed on the day of the race.

Irrespective of whether a horse has been demoted, the driver may be penalized if held responsible.

### IV. SUSPENSION

#### 1. Definition

A horse that is suspended is one that is banned from racing for a certain period.

#### 2. Conditions

A horse shall be suspended from all races or from a certain category of races, when so decided on account of:

- A racing incident.
- Unruly behaviour.
- Insufficient preparation.
- Performance considered as inadequate or inconsistent.
- Several disqualifications (or reports) for irregular gaits.
- If a horse has been disqualified 3 times in succession on account of its gaits, it may be suspended from racing for at least 15 days or be allowed to requalify by running a qualification race.

## Article 7 - Horse Identification

Before taking part in their first race, every horse's description shall be checked and their identity confirmed. A blood sample may be taken for confirmation after the race to be compared to the blood types registered for each horse with the Horseracing Authority in charge.

## Article 8 - Presence of alcohol in the blood

Any jockey/driver may be subject to a check of his physical fitness to participate in a race, especially by means of a breathalyzer test.

Stewards may prohibit a driver from participating in a race, if the alcohol level in his blood exceeds the limit authorized in the organizing country.

## Appendix III - 1 - Group races

| Race | Min. purse € | Max.% | Conditions  | Date  | Annual check | Track       |
|------|--------------|-------|---|---|--------------|-------------|
| G 1  | 100 000      | 0,5%  | No restriction on national races. No .handicaps Same start for all , except where age conditions apply. | Fixed date, unless otherwise decided by the Committee | Board        | Sand cinder |
| G2   | 45 000       | 1%    | -   | -   | Board        | Sand cinder |
| G3   | 25 000       | 2%    | -   | -   | Board        | Any kind    |

## CHAPTER IV - BIOLOGICAL INTEGRITY OF THE HORSE

### 1) ETHICAL CONSIDERATIONS

Race horses are prohibited from racing with any prohibited substance in their body. Modification of the heritable genome of a Trotter at any time of its life will disqualify such horse to be considered anymore as a Trotter in racing or competition.

No race horse used for racing may be subjected to the prohibited practices specified in this article. Sick or injured race horses must be treated and/or rested as appropriate for their condition before returning to full training.

### 2) GENERAL PROVISIONS

All therapies for a horse involved in racing and race training including rest periods should be based upon a specific diagnosis, administered in the context of a valid and transparent owner-trainer-veterinarian relationship, and given in the interest of the horse's health and welfare. Following any therapy given to a race horse, a sufficient period should elapse prior to racing such that the therapy is not capable of giving the horse an advantage or causing it to be disadvantaged contrary to the horse's inherent merits or is detrimental to its welfare.

### **Article 1 - Prohibited substances**

#### OBJECTIVE

1. The objective is to protect the welfare of the horse and the integrity of horseracing through controlling the use of substances likely of giving a horse an advantage or causing it to be disadvantaged in a race, contrary to the horse's inherent merits.

#### SAMPLING

2. To establish whether a prohibited substance is present, samples can be taken from horses declared to race, no matter if they take part in the race or not. Horseracing Authorities may also take samples, from birth until the definitive end of the racing career, at any time according to their own rules. Sample means a sample from any part or in contact with any part of the horse.
3. Each Horseracing Authority shall organize biological sampling at the racecourse on race days for at least 10% of the races organized every year.

At the request of the Horseracing Authority of a country that is a signatory to this Agreement, a horse that is likely to be declared to race in that country, may, if domiciled in another country, whose Horseracing Authorities are signatories to this Agreement, be submitted to biological sampling performed by an accredited authority in the country where this horse is staying.

The Horseracing Authority of a country that is a signatory to this Agreement may, as a strong recommendation, request to another Horseracing Authority of a signatory country to carry out an out of competition testing on horses, from birth until the definitive end of their racing career, at any time in the premises of a trainer or a breeder domiciled on its territory.

For horses declared on the training list of a trainer, these controls may be solicited if the trainer has had previously runners in the requesting country or if he has horses entered in a race in the requesting country. As part of these out of competition testing, several horses may be designated by the requesting country for biological sampling.

The samples are taken under the responsibility of the veterinarians or the stewards appointed by the Horseracing Authority of the country where the trainer or the breeder is domiciled.

Costs thus incurred shall be paid by the Horseracing Authority requesting the sampling. Samples shall be packaged in conditions meeting satisfactory scientific standards and promptly dispatched to the laboratory accredited by the Horseracing Authority of the country where the horse resides so that tests can be performed in accordance with the regulatory procedures in force in that country.

If a horse cannot be checked in accordance with the abovementioned legal procedures, its participation in any race may be disallowed.

In the context of these out of competition testing carried out at the request of a Horseracing Authority, the regulations of the country in which the control is carried out on prohibited practices and on medication, in training or during the rearing period, apply.

4. A sample collected under a secure chain of custody shall be split into an A sample and a B sample. If the A sample is reported to contain prohibited substances, the B sample may be analysed for those substances, either automatically or optionally at the trainer's, owner's, or Horseracing Authority's request.

## PROVISIONAL SUSPENSIONS AND SANCTIONS

5. If the A sample taken according to the conditions mentioned on points 2 to 4 above is reported to contain one or several prohibited substances, the horse in question is provisionally suspended and is not allowed to participate in any race organized by the Horseracing Authority pronouncing the provisional suspension until such Horseracing Authority lifts the provisional suspension on the basis of its own regulations relating to investigation of a presumed positive case.

If the horse not allowed to race in a designated jurisdiction is trained in another jurisdiction:

- the Horseracing Authority pronouncing the provisional suspension must inform the UET secretariat and request the extension of this provisional suspension to the Horseracing Authority where the horse is trained within four days of the date on which the provisional suspension is pronounced, by any means capable of producing a written record,
- the Horseracing Authority where the horse is trained, upon receipt of such request:
  - \* extends the provisional suspension to its own territory, subject to compliance with its own regulations and within the timeframe provided by such regulations,
  - \* has not consequently the possibility to edit an export certificate for the concerned horse until the provisional suspension is lifted,
  - \* provides any reasonable assistance for investigation if requested by the Horseracing Authority pronouncing the provisional suspension.

Each Horseracing Authority shall ensure that its own regulations allow the extension of any provisional suspension pronounced by another Horseracing Authority member of the UET, subject to any condition that could be required to comply with applicable laws in its own territory.

6. If a prohibited substance is identified in an official sample taken from a horse while stationed in one jurisdiction but which is trained or subsequently stationed in another, the Horseracing Authority of the country in which the horse was sampled may instruct one of its veterinarians or stewards to carry out an investigation in the premises where the horse is trained or stationed in order to determine the reasons of the presence of the prohibited substance in the sample.
7. A horse is necessarily disqualified every time the procedure applied in case of positivity shows the definitive presence of a prohibited substance as defined by the relevant Rules of Racing. The trainer of the horse shall be penalized except when he has discharged his responsibilities as described hereunder beyond reproach.

The training and/or driving/riding license of the offender may be withdrawn.

Suspension of the horse for one month minimum or until a new test proves that the horse is again free of any prohibited substance.

Any horse tested positive for a substance mentioned in appendix IV - 4 and falling into the category II shall be suspended and banned from racing for at least 6 months. The horse concerned must present a negative test result before being allowed to race again. In addition, as regards the breeding activity, the Horseracing Authorities acceding to this Agreement shall authorize the competent authority for a sanction.

8. Where a sample taken from a horse at any other time contains a prohibited substance, Horseracing Authorities may, according to their own rules, impose sanctions on the horse, trainer, owner, or other licensed persons.

### THE TRAINER'S RESPONSABILITIES

9. The trainer shall always be responsible for:
  - Feeding, management, protection and security of the horses in his care.
  - Taking all reasonable precautions with the horses in his care to avoid their exposure to prohibited substances contrary to the relevant rules of the Horseracing Authority.
  - Keeping informed of the possible consequences of treatment given to his horses.
  - Keeping appropriate records of all veterinary procedures and medication treatments.

When a horse is not any more under the responsibility of a trainer, the owners have all the obligations.

### RACEDAY REGULATIONS

10. With the exception of veterinarians authorized by the Stewards or Horseracing Authority, nobody shall bring into the stables of a racecourse on a raceday either a prohibited substance or any means of administering such a substance.
11. After a horse has raced and before it is discharged from any requirements for postrace sampling, no treatment with prohibited substances shall be allowed without official permission.
12. Prohibited substances

Are considered as prohibited substances of category I:

- Substances capable at any time of causing an action or effect, or both an action and effect, within one or more of the following mammalian body systems:
  - the nervous system,
  - the cardiovascular system,
  - the respiratory system,
  - the digestive system,
  - the urinary system,
  - the reproductive system,
  - the musculoskeletal system,
  - the blood system,
  - the immune system except for licensed vaccines against infectious agents,
  - the endocrine system.
- Endocrine secretions and their synthetic counterparts.
- Masking agents.

The following are not prohibited substances:

- Vaccines against infectious agents which are licensed for use in horses and vaccines against melanomas which are licensed for veterinary use, including licensed vaccines which contain genetic material such as DNA or RNA sequence encoding the target against which an immune response is sought. Racing Authorities may, within their Rules, provide that such licensed vaccines may only be administered and certified by a licensed/registered veterinarian.

The substances referred to in appendix IV - 4 shall be considered as Category II prohibited substances.

13. With the objective of helping trainers and their veterinary advisers, Horseracing Authorities may include in their own rules examples of prohibited substances.
14. Horseracing Authorities produce a classification of prohibited substances.

### THRESHOLDS

15. International thresholds can only be adopted for:
  - Substances endogenous to the horse.
  - Substances arising from plants traditionally grazed or harvested as equine feed.
  - Substances in equine feed arising from contamination during cultivation, processing or treatment, storage, or transportation.
16. Thresholds shall be recommended by the IFHA's Advisory Council on Equine Prohibited Substances and Practices, after consultation with the Association of Official Racing Chemists and the International Group of Specialist Racing Veterinarians, and approved by the Executive Council of IFHA and the UET Board.
17. When a prohibited substance is found, the Horseracing Authority can decide, by itself, or on the request of the trainer or the owner, to ask for any necessary complementary examination.

## **Article 2 – Prohibition on Gene Editing and Genetic Therapy**

### 1. Prohibition on Gene Editing

#### a. Definition of Gene Editing

For the purpose of the present Agreement, Gene Editing is defined as any process or treatment in respect of a horse which involves the insertion, deletion and/or replacement of DNA in the genome of the horse, including at a specific site in the genome of the horse.

#### b. Prohibited use or application of Gene Editing

- i. The use or application of Gene Editing on or to a horse is prohibited at all times.

ii. No person shall:

- A. use or apply;
- B. cause to be used or applied;
- C. attempt to use or apply;
- D. be a party to the use or application of, or the attempted use or application of, Gene Editing on or to a horse at any time (from “gametes” stage until end of racing career).

c. Possession offences

No person shall have in his or her possession any genetic material and/or any equipment or instrument that could be used for Gene Editing.

d. Restrictions on eligibility to race

If Gene Editing has been used on or applied to a horse, that horse shall be ineligible to race (life ban).

e. Penalties

i. A horse shall be disqualified from any race in which it participated after Gene Editing has been used on or applied to it.

ii. If Gene Editing has been used on or applied to a horse, that horse shall be ineligible to race (life ban).

iii. All progeny (of any generation) of a horse the subject of a life ban under sub-clause 1.d.ii. that is born after the identification of the relevant Gene Editing shall also be ineligible to race (life ban).

## 2. Prohibition on Genetic Therapy

a. Definition of Genetic Therapy

For the purpose of the present Agreement, a Genetic Therapy is defined as including any therapy, method or process which involves the use or administration of:

i. oligomers or polymers of nucleic acid;

ii. nucleic acid analogues;

iii. genetically modified cells; or

iv. gene editing agents which are capable, at any time, of directly or indirectly causing an action or effect on, and/or manipulating, gene expression in any mammalian body, including but not limited to gene editing agents with the capacity to alter genome sequences and/or the transcriptional, post-transcriptional or epigenetic regulation of gene expression.

For the avoidance of doubt, the use or administration of the following are not defined as a Genetic Therapy for the purpose of the International Agreement on Trotting Races:

i. autologous conditioned serum or “platelet-rich plasma” therapies or treatments which do not involve the transfer of whole cells / DNA;

ii. unmodified stem cells (which do not include induced pluripotent stem cells);

iii. unmodified exosome therapy;

iv. vaccines against infectious agents as defined in § 12 Article 1 of Chapter IV.

## b. Prohibited Genetic Therapy

Except as provided by this Article:

- i. the use or administration of a Genetic Therapy on or to a horse is prohibited at all times;
- ii. no person shall:
  - A. use or administer;
  - B. cause to be used or administered;
  - C. attempt to use or administer;
  - D. be a party to the use or administration of, or the attempted use or administration of a Genetic Therapy on or to a horse at any time.

## c. Exempted Genetic Therapy

A Genetic Therapy may be used on or administered to a specific horse with the express prior approval of a Racing Authority if that Genetic Therapy is used to treat an injury or disorder formally diagnosed by a veterinarian, and:

- i. is not capable of modifying a horse's heritable genome;
- ii. does not pose a threat to the welfare of the horse; and
- iii. does not pose a threat to the integrity of racing, either by having the potential to enhance or harm the performance of a horse in a race.

## d. Control and recording

The owner or trainer has the responsibility to inform and obtain the approval of the relevant Racing Authority of any intended Genetic Therapy to a horse prior to such treatment, irrespective of whether it is to be administered before, in or out of training. The owner or trainer must maintain full and accurate records of all such therapies, which must be kept for a minimum of five years and be readily available for inspection by regulatory officials when requested.

## e. Penalties

Racing Authorities may, within their Rules, provide that if a Genetic Therapy has been used on or administered to a horse (except as provided by this Article), the horse shall be, subject to the specific Genetic Therapy used or administered:

- i. disqualified from any race in which it participated after the relevant use or administration of the Genetic Therapy;
- ii. ineligible to race until a certain period has elapsed after the relevant use or administration of the Genetic Therapy; or
- iii. ineligible to race (life ban).

## **Article 3 - Prohibited practices**

Practices that jeopardize the health and welfare of the horse, the security of the rider or driver and other participants as well as the integrity of horseracing are inappropriate and prohibited. The responsibility for enforcing the regulation of any such practice lies with the Horseracing Authority.

## 1) PRACTICES THAT HAVE NO PLACE IN THE TREATMENT OR MANAGEMENT OF A HORSE INTENDED TO RACE

- The use of any unapproved object, device, behavioral activity, or chemical to achieve an inappropriate response, at any time during training or racing.
- Subjecting horses to medical or surgical procedures outside of a valid and transparent owner-trainer-veterinarian relationship and those inconsistent with providing medical and/or welfare benefits to the horse.
- Use of physical or veterinary procedures or medication treatments to mask the effects or signs of injury so as to allow training or racing to the detriment of the horse's health and welfare.
- Practices that are fraudulent, potentially fraudulent or may have adverse consequences for the integrity of the industry.

## 2) SPECIFIED PROHIBITED PRACTICES

Prohibited practices include but are not limited to:

- Racing a pregnant mare beyond 120 days of pregnancy. Moreover, a mare that gave birth cannot take part in a race in 150 days from the date of birth of its foal (living foal). In case of abortion or birth of a dead foal after 120 days of pregnancy, the mare may get permission to run again after a minimum period of 90 days.
- Surgery of nostrils without therapeutic justification.
- Neurectomy, defined as the section of the nerves of one or more of horse's limbs, or chemical neurectomy or any other kind of desensitization of nerves.
- Use of cryotherapy devices on racetracks.
- Withholding of water pre-race to the detriment of the health, welfare or safety of the horse.
- The use of extracorporeal shock wave therapy in a manner that may desensitize any limb structures.
- The possession, the use, or attempted use, at any time, of any electric or electronic apparatus or other device capable of affecting the performance and/or behaviour of a horse.

Note: where an electric or electronic apparatus has been designed to deliver an electric shock it is deemed capable of affecting the performance and/or behaviour of a horse

- Manipulation of blood and blood components: see appendix IV - 3:
- The application of thermocautery to the skin over the musculoskeletal structures to cause a counter-irritant effect.

Where such an application is made, the Racing Authority may, in its discretion:

- a) suspend, make ineligible to race or otherwise make any order in relation to the subject horse; and/or
  - b) take any disciplinary action against the trainer and/or any other relevant person.
- The application of a substance to cause vesiculation of the skin and/or underlying tissues.

Where such an application is made, the Racing Authority may, in its discretion:

- a) suspend, make ineligible to race or otherwise make any order in relation to the subject horse; and/or
- b) take any disciplinary action against the trainer and/or any other relevant person.

### 3) THE TRAINER'S RESPONSIBILITIES REGARDING PROHIBITED PRACTICES

The trainer shall always be responsible for:

- the management, protection and security of the horses in his care
- the avoidance of prohibited practices
- keeping informed of the possible consequences of therapies given to his horses
- keeping appropriate records of all veterinary procedures and medication treatments

### 4) THE OWNER'S AND TRAINER'S RESPONSIBILITIES REGARDING PROHIBITED PRACTICES

At any time the owner, and if in training also the trainer, is responsible for compliance with the provisions of this Article and in particular requirements for record keeping and notification to the Horseracing Authority

## **Article 4 - Medication in training**

### Definition of treatment

For the purpose of this article, the term treatment includes:

- The administration of any substance (including any medication) to a horse and;
- The administration or application of any physical procedure or therapy to a horse intended to have an effect.

### Guiding Principles

The following guiding principles apply to the treatment of horses in training:

- All treatments are the responsibility of the trainer and must be administered under veterinary supervision.
- Every treatment must be administered in the best health and welfare interests of the horse.

Accordingly:

The trainer must obtain veterinary advice from the attending veterinarian on the management, treatment and appropriate level of training for a sick or injured horse.

Treatment of a horse by the administration of a substance or a medication containing a prohibited substance may only be performed on the advice of a veterinarian with appropriate knowledge of the condition, health status and management of the individual horse. In the case of substances controlled by government regulation, these may only be administered by, or on the prescription of a veterinarian.

The trainer is responsible for creating and maintaining full and accurate records of all treatments given to a horse, including all veterinary procedures performed and all medications administered. These records must be kept for a minimum of 12 months and be readily available for inspection by regulatory officials when requested. It must at least contain:

- Name and address of the veterinary surgeon.
- Identity of the horse.
- Date of the medication.
- Name of the medical product (trade name and molecule).
- Route of administration.
- Dosage of the medication given.

With the exception of normal feed and water by mouth, no substance shall be administered to any horse on race day before the race in which it is entered, unless such treatment is authorized by the Horseracing Authority.

This includes any substance administered by injection, into the mouth, by inhalation, topically or by any other method of administration.

The trainer must comply with mandatory horse rest periods for specific drugs or treatments, as enforced by the Horseracing Authority.

Horses that are unable to be trained due to injury or illness must be taken out of training and given appropriate veterinary treatment and/or rest. All treatments must be administered in the best interests of the horse and not to facilitate the continuation of training.

### Specific requirements regarding bisphosphonates:

Any bisphosphonate (except those radiolabelled bisphosphonates used for diagnostic nuclear imaging in horses) is not to be administered to a racehorse :

- under the age of four years as determined by its recorded year (instead date) of birth\*; and
- on the day of the race or on any of the 30 days before the day of the race in which the horse is declared to run.

The bisphosphonate product administered must be licensed for use in horses, and be administered in accordance with the label instructions.

There must be a diagnosis determined by a veterinary surgeon that supports the use of a bisphosphonate as an appropriate treatment, and such treatment must be administered by a veterinary surgeon.

\*Terms of application :

- France : for horses born in 2025 and thereafter

When a horse is not any more under the responsibility of a trainer, the owners have all the obligations.

### **Article 5 - Out-of-competition testing**

To ensure fair competition, transparency, welfare and sound breeding, Racing Authorities will at their discretion carry out testing for prohibited substances at any time from the day of a horse's birth to final retirement from training, racing and (if applicable) breeding.

From the day of a horse's birth, the owner(s) must readily be able to inform the domestic Racing Authority of the exact location of the horse, and to ensure access to the horse, for the purpose of conducting testing for prohibited substances.

Trainers must notify their domestic racing jurisdiction the names of horses in training with them and specify the exact location of such horses.

Trainers must notify their domestic racing jurisdiction the names of horses in training with them and specify the exact location of such horses.

When a racehorse is out of training at any time in its career from the commencement of training to final retirement from racing, the owner(s) must readily be able to inform the domestic Horseracing Authority of the exact location of the horse.

If full traceability of any racehorse, whether in training or out of training, cannot be established at any time in its racing career, such horse will only be permitted to be entered in a race after a period of six (6) months in training with a duly licensed trainer.

For specifications see appendix IV - 4

**Appendix IV - 1 - Prohibited substances belows the following thresholds are not actionable:**

| THRESHOLD NAME                                  | THRESHOLDS   |
|---|--|
| Arsenic   | <ul style="list-style-type: none"> <li>• 0.3 microgram total arsenic per millilitre in urine</li> <li>• 0.015 microgram total arsenic per milliliter in plasma</li> </ul>  |
| Boldenone                                       | <ul style="list-style-type: none"> <li>• 0.015 microgram free and conjugated boldenone per millilitre in urine from male horses (other than geldings)</li> </ul>   |
| Carbon dioxide                                  | <ul style="list-style-type: none"> <li>• 36 millimoles available carbon dioxide per litre in plasma</li> </ul>   |
| Cobalt  | <ul style="list-style-type: none"> <li>• 0,1 microgram total cobalt per milliliter in urine, or</li> <li>• 0,025 microgram total cobalt (free and protein bound) per milliliter in plasma</li> </ul>   |
| Estradiol in male horses ;(other than geldings) | <ul style="list-style-type: none"> <li>• 0.045 microgram free and glucuroconjugated 5<math>\alpha</math>-estrane-3<math>\beta</math>,17<math>\alpha</math>-diol per millilitre in urine. When, at the screening stage, the free and glucuroconjugated 5<math>\alpha</math> -estrane-3<math>\beta</math>,17<math>\alpha</math> -diol exceeds the free and glucuroconjugated 5,10-estrene-3<math>\beta</math>,17<math>\alpha</math> -diol in the urine</li> </ul>  |
| Hydrocortisone                                  | <ul style="list-style-type: none"> <li>• 1 microgram hydrocortisone per millilitre in urine</li> </ul>   |
| Methoxytyramine                                 | <ul style="list-style-type: none"> <li>• 4 micrograms free and conjugated 3-methoxytyramine per millilitre in urine</li> </ul>   |
| Prednisolone                                    | <ul style="list-style-type: none"> <li>• 0.01 microgram free prednisolone per milliliter in urine</li> </ul>   |
| Salicylic acid                                  | <ul style="list-style-type: none"> <li>• 750 micrograms salicylic acid per millilitre in urine, or</li> <li>• 6.5 micrograms salicylic acid per millilitre in plasma</li> </ul>  |
| Testosterone                                    | <ul style="list-style-type: none"> <li>• 0.02 microgram free and conjugated testosterone per millilitre in urine from geldings when, at the screening stage, the free and conjugated testosterone exceeds five times the free and conjugated epi-testosterone, or</li> <li>• 100 picograms free testosterone per milliliter in plasma from geldings, fillies and mares (unless in foal), or</li> <li>• 0.055 microgram free and conjugated testosterone per millilitre in urine from fillies and mares (unless in foal)</li> </ul> |

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

No determination and consideration of the specific gravity of a horse urine sample is required when comparing its concentration with a urinary threshold.

Thresholds are regulatory limits and the numerical values expressed above do not carry any implied precision (e.g., 0.3 is the same as 0.300). Whether a threshold has been exceeded or not in a sample is established solely from the concentration determined and the uncertainty of measurement associated with such determination.

Application of International Threshold Values to Out of Competition Testing (OOCT):

- International threshold values for boldenone, estranediol, methoxytyramine and testosterone, are applicable to OOCT samples unless the requirements of §4 of Appendix IV-4 are met.
- International threshold values for Arsenic, Carbon dioxide, Cobalt, Dimethyl sulphoxide, Hydrocortisone, Prednisolone, and Salicylic Acid are applicable to OOCT samples. However, they may not be actionable if a legitimate treatment is appropriately recorded.

## **Appendix IV - 2 - Characteristics and list of the laboratories**

The laboratories of the signatory countries should:

- be accredited according to ISO/IEC 17025, General requirements for the competence of testing and calibration laboratories, and to the supplementary document ILAC-G7, Accreditation requirements and operating criteria for horseracing laboratories,
- conform with the Guide for establishing the presence of prohibited substances (Part B of ILAC-G7),
- meet the Performance specification of the International Federation of Horseracing Authorities,
- take part in interlaboratory comparisons (clause 5.9(b) of ISO/IEC 17025 : 2005).

If possible :

- Control the detection of legitimate therapeutic substances through the application of internationally harmonised screening limits which have been recommended by the IFHA's Advisory Council on Equine Prohibited Substances and Practices and approved by the UET Board.
- Control the detection of certain environmental substances through the application of internationally harmonised residue limits which have been recommended by the IFHA's Advisory Council on Equine Prohibited Substances and Practices and approved by the UET Board.

With the objective of preventing infringements due to therapeutic substances, Horseracing Authorities may at their discretion:

- Make available detection times.
- Give forewarning of new or modified tests.
- Provide an analytical service to establish whether a sample from a horse intended to race contains specified substances.

## List of laboratories

|   |  |
|---|--|
| <p>GERMAN SPORT UNIVERSITY<br/>Institute of Biochemistry<br/>Am Sportpark Muengersdorf 6<br/>50933 COLOGNE<br/>GERMANY</p>  | <p>LABORATOIRE DES COURSES<br/>HIPPIQUES (L.C.H.)<br/>15, rue du Paradis<br/>91370 Verrieres Le Buisson<br/>FRANCE</p> |
| <p>LABORATORIO DE CONTROL DE<br/>DOPAJE<br/>Departament de Farmacologia i Toxicologia<br/>Institut Municipal d'Investigacio Medica<br/>IMIM<br/>Doctor Aiguader, 88<br/>08003 Barcelona<br/>SPAIN</p> | <p>LGC<br/>Newmarket Road<br/>Fordham<br/>Cambridgeshire, CB7 5WW<br/>UNITED-KINGDOM</p>                               |
| <p>NATIONAL VETERINARY INSTITUTE<br/>Ulls väg 2B,<br/>751 89 Uppsala<br/>SWEDEN</p>   | <p>RACING LABORATORY<br/>The Hong-Kong Jockey Club<br/>Sha Tin Racecourse - Sha Tin, N.1<br/>HONG KONG, CHINA</p>      |
| <p>QUANTILAB Ltd<br/>Socota Phoenicia, Sayed Hossen street<br/>PHOENIX 73408<br/>ILE MAURICE</p>  | <p>UNIRELAB<br/>Via Antonio Gramsci, 9<br/>Settimo Milanese MI<br/>ITALY</p>   |
| <p>KL MADDY EQUINE ANALYTICAL<br/>CHEMISTRY LABORATORY - UC DAVISs<br/>University of California Davis<br/>620 W. Health Science Drive<br/>DAVIS, CA 95616 6<br/>USA</p>                               |  |

### Appendix IV - 3 - Manipulations of blood and blood components

The following manipulations are forbidden :

1. The administration or reintroduction of any quantity of autologous, homologous or heterologous bloodproducts or blood cells into the circulatory system; except those performed for life-saving purposes or the use of veterinary regenerative therapies for the treatment of musculoskeletal injury or disease
2. Artificially enhancing the uptake, transport or delivery of oxygen, including, but not limited to, modified haemoglobin products (e.g. haemoglobin-based blood substitutes, microencapsulated haemoglobin products), excluding supplemental oxygen.
3. Any form of intravascular manipulation of the blood or blood components by physical means.

### Appendix IV - 4 - Prohibited substances of category II

The following prohibited substances, including other substances with a similar chemical structure or similar biological effect(s), are not to be administered to racehorses at any time in their career:

## Non-approved substances

Any substance not addressed by any of the subsequent classes of substances, and which has no current approval by any government

regulatory authority for veterinary use, or any substance not universally recognised by veterinary regulatory authorities as valid veterinary therapeutic treatment.

### 1. Anabolic agents

- (a) anabolic androgenic steroids,
- (b) other anabolic agents, including but not limited to selective androgen receptor modulators (SARMs),
- (c) beta-2 agonists, unless the substance is prescribed by a veterinarian as a bronchodilator at the appropriate dose,

### 2. Peptide hormones, growth factors and related substances

- (a) erythropoiesis-stimulating agents, including but not limited to erythropoietin (EPO), epoetinalfa, epoetin beta, darbepoetinalfa, and methoxy polyethylene glycol-epoetin beta, peginesatide, hypoxia inducible factor (HIF)-1 stabilisers,
- (b) growth hormones and growth hormone releasing factors, insulin-like growth factor-1 (IGF-1), and other growth factors,
- (c) synthetic proteins and peptides and synthetic analogues of endogenous proteins and peptides not registered for medical or veterinary use,

### 3. Hormones and metabolic modulators

- (a) aromatase inhibitors,
- (b) selective estrogen receptor modulators (SERMS) and other anti-estrogenic substances,
- (c) agents modifying myostatin function, including but not limited to myostatin inhibitors,
- (d) insulins,
- (e) peroxisome proliferator activated receptor  $\delta$  (PPAR $\delta$ ) agonists, including but not limited to GW 1516,
- (f) AMPK activators, including but not limited to AICAR (5-aminoimidazole-4-carboxamide-1- $\beta$ -D-ribofuranoside).

### 4. Synthetic oxygen carriers

Including but not limited to perfluorocarbons (PFCs) and diaspirin crosslinked hemoglobin.

### 5. Synthetic allosteric hemoglobin effectors Including but not limited to ITPP.

6. Substances likely to induce a concentration of available carbon dioxide above the internationally defined threshold
7. Nicotinic acetylcholine receptor blockers Including but not limited to cobratoxin.
8. Agents that are capable, at any time, of directly or indirectly causing an action or effect, or an action and effect on gene expression in any mammalian body. This includes but is not limited to gene editing agents and derivatives, which are those involved in DNA, RNA, transcriptional, post-transcriptional and epigenetic modification, as defined in Article 2 of CHAPTER IV.
9. Therapeutic use of substances specified above in Appendix IV - 4 may only be exceptionally applied in the following circumstances:
  - When the Racing Authority has decided to offer the facility for such exceptional use for therapeutic purposes and where no other reasonable therapeutic alternative exists.
  - The specified prohibited substance being exceptionally used therapeutically must be prescribed by a veterinarian for the sole purpose of treating an existing illness or injury, and the details of the diagnosis, substance and administration protocol must be recorded and supplied by the trainer to the Racing Authority. If the horse is not under the direct control of a trainer at any time in its career from the commencement of training to final retirement from racing, the owner is responsible for this notification to the Racing Authority. This system must be supervised by the Racing Authority's veterinarian(s).
  - A horse shall be ineligible to race until a minimum of six (6) months has elapsed after the administration of any of the substances specified above in Appendix IV - 4, and the Racing Authority must test to ensure that a horse treated therapeutically with any of these substances is free from the presence of such substances before racing.
  - A Racing Authority must record, within the details it holds of the horse in question, information which it has received on the administration to that horse of such substances under exceptional use for therapeutic purposes. This information must be included when providing details on the horse to a Horseracing Authority or Stud Book Authority in any country to which the horse travels (including within Racing Clearance Notifications), including in the case of permanent export of the horse.

The number of exceptional uses for therapeutic purposes and the details of the substances involved shall be notified to and reviewed by the International Federation annually.

## Appendix IV - 5 - Recommended scale of penalty in case of positive biological sample

|   | <b>Substance de catégorie I</b>  | <b>Substance de catégorie II</b>  |
|---|--|---|
| <b>Horse</b>  |  |   |
| Disqualification in the race  | Yes  | Yes   |
| Suspension from racing from the declaration of a positive sample A until the decision of the national authority | Yes  | Yes   |
| Exclusion after the final decision, including the suspension period   | From 0 to 6 months   | Minimum 6 months  |
| <b>Trainer</b>  | <b>Repeated offence within 5 years</b>   | <b>Repeated offence at any (later) date</b>   |
| 1st infringement  | Fine - 0 € to + (according to the national rules)<br>And / or<br>Licence withdrawn : from 0 to 6 months  | Fine - 0 € to + (according to the national rules)<br>And / or<br>Licence withdrawn : from 6 months to 2 years |
| 2rd infringement  | Fine - 0 € to + (according to the national rules)<br>And / or<br>Licence withdrawn : from 0 to 12 months | Fine - 0 € to + (according to the national rules)<br>And<br>Licence withdrawn : from 2 to 5 years             |
| 3rd infringement and more   | Fine - 0 € to + (according to the national rules)<br>And / or<br>Licence withdrawn : from 0 to 18 months | Fine - 0 € to + (according to the national rules)<br>And<br>Licence withdrawn : from 5 years to lifetime      |



## CHAPTER V - REGULATIONS REGARDING PERSONS AND HORSES

### **Article 1 - Registration of owners**

The Horseracing Authorities that are signatories to this Agreement shall keep a record of the owners of stallions, broodmares, foals and race horses in their respective countries. The following conditions shall be met: ownership and any changes of ownership shall be duly entered and updated in a reliable and obviously controllable way; the register shall be regularly updated, it should also be possible to check any agreement on ownership status (joint ownership, leasing).

### **Article 2 - Issuing of licenses**

The Trot Racing Authorities of the countries that are signatories to this Agreement shall keep a register of the trainers of horses likely to take part in races organized in those countries. They shall set up regulations regarding the right to train, to enter and to race a horse.

For every person only one training license can be issued. The training license is issued by the Federation of the country where the trainer has his main place of residence. If a licensed trainer wants also to operate a regular training activity in another member country he has the obligation to inform his home Federation in advance and has to obtain a training permission of the Federation of the country where he wants to establish a training activity. He will have to fulfill the specific conditions in that country in order to obtain this training permission. All horses of a trainer must be declared to the federation of the country where the horses are currently stabled. (date of application : at the latest 01/01/2021)

A trainer whose licence has been suspended or withdrawn for violation of anti-doping rules may not enter into a nominee agreement with a person holding a training licence issued by a Racing Authority, once it has been established that this nominee agreement provides the penalized trainer the possibility to get round his/her suspension or withdrawal of licence. Such an agreement is deemed fraudulent and, as such, null and void.

In addition, the competent Racing Authority may adopt any protective measures and sanctions as provided for in the current regulation, against :

- the suspended or disqualified trainer,
- the trainer found guilty of acting as «front man»,
- any licence-holder having benefitted from that agreement, unless that person can prove that he/ she was not aware of its fraudulent nature.

Owner and driver licenses are issued by the Federation of the country in which the persons concerned have their main place of residence.

### **Article 3 - Authorizations**

The Horseracing Authorities that are signatories to this Agreement shall set up rules regulating the issue of training and driving licences, both professional and amateur. They shall keep the official register of individuals authorized to train and drive.

In every country, criteria shall be established to differentiate between professional and amateur licenses, as well as between training and driving, including, in this last case, a special category for apprentices.

No driving license will be issued or renewed, unless a medical certificate certifying the fitness of the person concerned to exercise this activity has been presented.

An apprentice is a person who:

- holds a specific annually renewable license,
- must be 16 years old at least,
- is enrolled in a vocational training course approved by a public authority and/or the national Horseracing Authority,
- is employed by a trainer authorized to train apprentices.

A professional driver/jockey is a person:

- who holds an annually renewable professional license,
- who has received vocational training or is engaged in a professional activity relating to trotting,
- whose main source of livelihood is driving,
- who is recognized as a professional by the relevant official Authority.

An amateur driver is a person who:

- holds an annually renewable amateur license,
- must be 16 years old at least,
- has received training and has passed a qualification test,
- receives no remuneration for his driving activity.

There are two types of annually renewable training licenses:

- professional trainer license,
- amateur trainer license.

A professional trainer is a person:

- who holds an annually renewable professional trainer license,
- who has received vocational training or has been engaged in a professional activity relating to trotting,
- whose main source of livelihood is training,
- who is recognized as a professional by the relevant official Authority,
- who is authorized to train horses belonging to different owners.

An amateur trainer is a person who:

- holds an annually renewable amateur trainer license,
- has received vocational training or has been engaged in a professional activity relating to trotting,
- is authorized to train a limited number of horses which belong to him or his spouse and/or a single other owner.

Only a horse registered on a training list may be entered in races.

#### **Article 4 - Penalty enforcement**

The Horseracing Authorities that are signatories to this Agreement shall apply the sanctions set out in the case of infringement of their rules concerning a horse, an owner, an holder of usage right (for example in the case of renting the horse's racing career), a trainer, a driver or a jockey.

The international effects of penalties are an essential principle for the integrity of trot racing and is implemented under the authority of the Trot Racing Authorities of the countries that are signatories to this Agreement.

As members of UET, the Horseracing Authorities of the countries that are signatories to this Agreement shall ensure that this principle is complied with on their territory. For that purpose, each Trot Racing Authority undertakes to take the necessary step to ensure the extension, on its territory and in compliance with the law applicable in its territory, of the penalties imposed by other Horseracing Authorities that are signatories of this Agreement, providing the decisions that gave rise to such penalties have been notified for enforcement by the UET.

Notwithstanding this extension, the disciplinary bodies of the Racing Authority of a UET member country may always, ex officio and exercising their independent power to determine penalties, review the case of a holder to whom those bodies have delivered an authorisation and against whom a penalty has been determined by the disciplinary bodies of the Racing Authority of one or several other UET member countries relative to an infringement committed by said holder.

Furthermore, except in the case of special agreements between countries, they undertake to issue a document certifying that an owner, trainer or driver who plans to conduct his activity in a foreign country, is duly registered in his country of origin and that he is not currently under any suspension preventing him from racing, training or driving.

#### **Article 5 - Penalty extension and enforcement - Responsibility**

A disciplinary penalty imposed by the competent bodies of the Horseracing Authorities of a country that is signatory to this Agreement shall be extended to other member countries of UET, provided the penalty is duly notified by UET for the purposes of enforcement :

- concerning an owner, an holder of usage right, a trainer or a driver/ jockey, within four days of the date it was pronounced and, in any case, prior to the date it comes into effect,
- concerning a horse, within four days of the date it was pronounced.

and furthermore provided the competent disciplinary bodies comply with the requirements under the paragraph below in taking their decision to extend such penalty.

Their extension may be decided upon by the competent disciplinary body of the other Horseracing Authorities of the UET member countries provided they have made sure that:

- a) the person to whom the penalty is applied has been duly informed of the charges against him/her,
- b) the person to whom the penalty is applied was able to avail himself of a procedure that guarantees the rights of the defense (subject to possible exceptions relating to provisional rules),
- c) the disciplinary penalty was duly notified to the person concerned,
- d) the disciplinary penalty is compliant with the recommendations of UET,
- e) the extension does not run contrary to public policy.

Concerning the drivers or the jockeys, an 8-day exemption shall be granted for the application of a penalty imposed a driver or a jockey, except in the country where the penalty was pronounced.

The penalty must be liable to be appealed except if it relates to a matter not subject to appeals.

In addition, if the country's regulations so provide, the racing ban does not apply to Group I races, or Group II races if the country does not organise a Group I race.

However, for other races, the procedures for applying a sanction provided the regulations of the organising country apply, even if it has been issued by the Horseracing Authority of another country.

## CHAPTER VI - ADMINISTRATIVE REGULATIONS

### **Article 1 - Guaranteed money for entries**

The Horseracing Authorities that are signatories to this Agreement, which forward an entry in a race to be run in a foreign country, shall undertake to pay the entry and forfeit dues, should an owner default.

### **Article 2 - Payments of winnings**

The Horseracing Authorities that are signatories to this Agreement undertake to pay to a foreign owner the amount won by her/his horse in a race organized in their country, within three months as of the date of the race. The amount of prize money shall always be credited in the currency of the country in which the race was organized. No action may be taken against the organizing Horseracing Authorities for any loss arising from exchange rate fluctuations at the time of transfer.

In the framework of the anti money-laundering and fraud measures, the amounts won in a country by a horse registered in another country shall be paid to the Horseracing Authorities of the latter country so as to be allocated to the owner of said horse in accordance with customary rules of distribution in compliance with the national legislations of the two countries concerned and the agreements registered by the Horseracing Authorities.

### **Article 3 - Payment of fines**

When a jockey/driver fails to pay a fine imposed in a country party to this Agreement, the Racing Authorities of said country may apply to the Racing Authority of the country that issued the jockey's/driver's licence to ensure prompt payment of the fine.

If no follow-up is given to the request, the procedure of Article 6 shall be instituted.

### **Article 4 - Exchange rate calculation**

For the purpose of qualifications and distance handicaps, amounts won abroad during the current year shall be reckoned at the date of qualification for the race, in accordance with the equivalence table established each year by UET.

The winnings of one horse obtained during one year shall be finally fixed at the end of each year and published by the Horseracing Authority of the country where this horse is registered.

### **Article 5 - Exchange rate chart**

This equivalence table is valid from January 1st until December 31st of the current year. It shall be adjusted should a currency rate differ - during three months - more than an average 5% from the official rate published by the European Central Bank.

### **Article 6 - Forfeit list procedure**

At the documented request of the Racing Authority that has added a person's name on the forfeit list on account of arrears, the Horseracing Authorities of the countries that are signatories to this Agreement are required to extend this penalty to their own races until the amount has been paid in the country which initiated the procedure.

A person on a forfeit list loses the right to enter or ride any horse in any race until the outstanding amount has been paid. Similarly, a horse for which amounts are due shall not be entered or take part in any race if it is concerned by the forfeit list.

### **Article 7 - Payment of drivers' fees**

Unless otherwise agreed to, drivers' riding fees are paid in keeping with the rules and rates applied in the country in which the race takes place.

## CHAPTER VII - REGULATIONS REGARDING EQUIPMENT

### **Article 1 - Conformity**

During the race, jockeys and drivers shall use equipment and wear riding gear that are compliant with the rules of racing in the country where the race is taking place.

### **Article 2 - Sulky**

Are only admitted for International and European races, sulkies complying with the following standards:

- maximum width: 1.65 m,
- wheels equipped with spoke protecting discs,
- two shafts,
- distance between the fork and the wheel : maximum 6 cm.

Sulkies used for racing must be approved in the racing organizing country.

### **Article 3 - Helmet and safety jacket**

Each country shall define its own compulsory standards.

Helmets and safety jacket shall be worn for races and heats as from entry on to the track.

### **Article 4 - Whip**

Where whips are allowed, drivers shall abide by the provisions of the rules of the country organizer of the race.

La cravache ne peut être utilisée que pour :

- donner un signal au cheval.
- diriger le cheval dans une situation où la sécurité des personnes et des chevaux est menacée (cas de danger immédiat).

During the whole race the drivers/jockeys must hold the reins in both hands.

In addition, and in general, it is prohibited to:

- make corrections using hands or feet;
- use the reins to move the bit roughly into/through the mouth;
- pull the reins under the tail in order to encourage the horse;
- engage in any behaviour that could be considered animal-unfriendly;
- use or carry the whip in any other way than described in this article.

For harness races:

The whip shall not be longer than 140 cm, included the lash.

When the driver uses the whip, only wrist flicking motion is tolerated. Consequently, no force can be generated by shoulder or elbow movement.

The whip can only be used in the forward direction without lateral or backward movements.

For *monté* races:

The whip model shall meet the following minimum requirements:

- Total length of the whip less than 70 cm.
- Body diameter more than 1 cm.
- The whip must be fitted with a foam padding (length more than 10 cm and width of more than 2 cm).

The whip can only be used with the tip pointing downwards.

Horseracing Authority may apply more restrictive measures.

Any infringement of this regulation will be punished by:

- Fines, according to the amount of the race purse and not less than:
  - 1st infringement : 50 €
  - 2nd infringement : 100 €
  - 3rd infringement : 200 € or 5 % maximum from the total purse of the race
    - (And/or) Depending on the seriousness of the infringement committed, the driver concerned may be temporarily suspended from driving.

### **Article 5 - Racing gear**

Racing gear includes:

- Helmet, safety vest (must conform to the standards EN 13158 or EC 1621-2 combined with a specific protection for the thoracic cage), jacket and light-colored breeches.
- In the event of rain: rubberized jackets and breeches are authorized.

### **Article 6 - Advertising on jackets**

Drivers who are supplied with jackets under an advertising contract may drive in their usual gear, unless this is disallowed by regulations pertaining to advertising in the organizing country.

In which case the driver shall wear a jacket provided by the Racing Authority.

### **Article 7 - Equipment and harnesses**

The use of any equipment or harness in a race, which liable to hurt the horse, or harm its physical integrity, is forbidden.

In particular, the following are banned:

- reins equipped with spikes liable to hurt the horse's neck,
- electrical stimulators,
- bits liable to injure the mouth of the horse,
- harnesses liable to harm the integrity of the horse,
- harnesses that make the horse totally blind,
- hobbles,
- any equipment or operation that facilitates unnatural breathing in the horse.

A horse is considered as shod when its hooves are fitted with a stiff and visible protective piece which provides its protective function during the race (except resin).

A horse is considered unshod when its hooves :

- are not fitted with a protective piece,
- are protected solely with resin.

The declaration that a horse will take part in a race as shod or unshod shall be made no less than 1 hour before the starting time of the race concerned.

Any horse that has raced in a non-member UET country under administration of Lasix or while being equipped with hobbles, should be subject to a specific information requirement, in particular for a transaction, specifying, the word “Lasix” or “hobbles”.

### **Article 8 - Animal Welfare**

Any horse which has undergone a neurectomy, defined as the section of the nerves of one or more of its limbs, is banned from racing.

## CHAPTER VIII - REGULATIONS ON WAGERING

### **Article 1 - Designation of the term wagering**

In the international agreement, the term wagering shall be taken to include, without limitation, totalizator, pari-mutuel, fixed-odds or any form of bookmaking and/or betting exchange operations by whatever means (including, without limitation, electronic and telecommunications media through the Internet, interactive TV, telephone, mobile phone and other «hand-held» devices).

### **Article 2 - Jurisdictional integrity**

Each Trot Racing Authority signatory to this Agreement shall respect the jurisdictional integrity of every other signatory Authority in the area of wagering on races.

### **Article 3 - Use of data**

Racing events, and the related images and data may be used for wagering purposes only with the express consent of the organization staging those racing events and/or its authorized licensees and franchisees and/or other relevant right holders.

### **Article 4 - Wagering abroad**

Wagering opportunities shall be offered in another country only with the express consent of that country's relevant national and racing authorities, if so required, and in compliance with the legal and regulatory requirements of that country.

### **Article 5 - Support from the national country's government**

All Trot Racing Authorities of the countries that are signatories to this Agreement shall inform their respective governments or supervisory institutions of their adoption and observance of this Chapter. Subject to article 6 of this chapter, they shall undertake every possible effort to lobby for legislative and/or regulatory support and to prevent wagering operators conducting business in the areas that come under the jurisdiction of those governments from acting in breach of article 3 and 4 thereof.

### **Article 6 - Obligations**

Where a signatory to this Agreement is a body that does not have direct control over wagering, then the obligations contained arising from the adoption of this Chapter shall be read as being a determinate obligation of best endeavours to promote enforcement of this chapter in the area within its cope.

### **Article 7 - Funding of races**

In order to preserve the funding of the horse industries in race-organizing countries and consistent with the right of ownership they enjoy over the events

they organize, the accredited Horseracing Authorities empowered in the countries that are signatories to this Agreement undertake as follows, subject to inclusion of the provisions in article 6 above.:

- To ensure that, in their respective countries, a minimum fee of 8% of the amount collected from domestic betting by authorized betting operators on races organized under their auspices is paid to the horse racing industry.
- To ensure a minimum fee of 3% is paid to them on the amount collected abroad from betting on the races they organized in their country, with appropriate protocols applied so that only authorized betting operators are permitted to undertake wagering on trotting races organized in another country.
- To enter into a contract for the use of data and images pertaining to the races they organize, or for which they hold a license, only with the Horseracing Authorities of the country where such data are used by approved operators to organize bets.
- Aside from agreements already in existence at 1st January 2010, to waive any direct agreement with betting operators regarding said usage of horseracing events

### **Article 8 - Integrity of wagering**

The Horseracing Authorities of countries that are signatories to this Agreement shall strive to ensure integrity and security of their respective operations. Every effort shall be made to ensure that wagering is conducted fairly and not used as a means for any illegal activities, in particular, for money laundering.

# CODE OF CONDUCT

The UET requires all those involved in harness racing to adhere to the Code of Conduct and to acknowledge and accept that at all times the welfare of the horse must be paramount and must never be subordinated to competitive or commercial influences.

**1. At all stages during the preparation and presentation for racing, the horses' welfare should take precedence over all other demands.**

a) Good horse management

Stabling, feeding and training must be compatible with good horse management and must not compromise their welfare. Any practices which could cause physical or mental suffering, whether in stables, training, transport or racing, should not be tolerated.

b) Training methods

Training methods which cause fear or impose undue restrictions on the normal behavior of racehorses should not be used. Horses should only be given training schedules which match their physical capabilities and level of maturity. They should not be subjected to programmes for which they have not been prepared.

c) Foot care and shoeing

Foot care and shoeing must be of high standard. Horseshoes should be designed and fitted to minimize the risk of injury.

d) Transport

During transportation, horses must be protected against injuries and other health risks. Vehicles must be safe, well ventilated, maintained to a high standard, disinfected regularly and driven by competent staff. Competent handlers must be available to manage the horses.

All journeys must be planned carefully, and the horses must be allowed rest periods with access to food and water according to EU regulations.

e) Materiel and harness

It is forbidden to use any equipment or material in a race which might hurt the horse, or modify its physical integrity. It is

especially forbidden to use:

- reins equipped with prickles liable to hurt the neck,
- electrical stimulators,
- bits liable to hurt the mouth of the horse,
- harness liable to cause damage to the integrity of the horse,
- harness that renders the horse totally blind,
- hobbles,
- any equipment or surgery that results in unnatural breathing of the horse.

## **2. Horses should be in a fit and healthy condition before being allowed to race.**

### a) Health status and veterinary inspections

Racing should be restricted to fit horses.

No horse showing symptoms of disease, lameness or other ailment or pre-existing clinical conditions should be raced. Whenever there is any doubt, a veterinary inspection should be requested and this should be undertaken before the horse is allowed to race.

Horses with severe or recurrent clinical conditions, e.g. “bleeders” should on veterinary advice, be temporarily or permanently be excluded from racing.

### b) Doping and medication

Abuse of medication or doping is a serious welfare issue and will not be tolerated.

Otherwise, after any veterinary treatment, sufficient time must be allowed for full recovery before racing. One of the main goals of rules controlling the use of drugs should be to protect the welfare of the horse and the safety of the drivers. Additionally these rules should prevent unfair competition and the masking of defects which might be passed on at stud.

### c) Immaturity

Horses mature at widely different rates. Training and racing schedules should be carefully planned to minimize the risk of musculo-skeletal injuries.

d) Prohibited Practices

- Any surgical procedures which threaten the horse's welfare and/or the safety of other horses, riders or drivers should not be allowed in racing. Thus, it is forbidden to race :
  - Any horse which has undergone a neurectomy, defined as the section of the nerves of one or more of its limbs.
  - Any horse which has undergone a surgery of nostrils without therapeutic justification.
- To insert a tube into a horse's nostril, direct it to the stomach and feed the animal a baking-soda solution (Milkshaking) is prohibited.
- It is not permitted to use cryotherapy devices on racetracks.
- Inappropriate use of extracorporeal shock wave therapy in a manner that may desensitize any limb structures is forbidden.

e) Pregnant Mares

Mares should not be raced beyond 120 days of pregnancy.

Moreover, a mare that gave birth cannot take part in a race in 150 days from the date of birth of its foal.

**3. Conditions at race meetings should not jeopardize horses' welfare**

a) Surface conditions

Race tracks should be designed and maintained to reduce risk factors which lead to injuries. Particular attention should be made to uneven racing surfaces and extremes of surface quality.

b) Extreme weather

Common sense should be used when racing in extreme weather. Provision should be made to cool horses quickly after racing in hot/or humid conditions. Horses which have raced in cold weather should be moved inside as soon as possible.

c) Use of the whip

If whip is allowed, its use must comply strictly with the provisions of Article 4 of Chapter VII.

d) Racecourse stabling

Racecourse stabling should be safe, hygienic, comfortable and well-ventilated. Fresh drinking water and water for cleaning the

horse after racing should be available.

**4. Every effort should be made to ensure that horses receive proper attention after they have raced, and that they are treated humanely when their racing careers are over.**

a) Veterinary treatment

Veterinary expertise should always be available at race meetings. If required the horse should be transported to the nearest referral centre for further assessment and therapy. Injured horses should be given full supportive treatment before transport.

b) Racing injuries

The incidence of injuries sustained in racing should be monitored. Track conditions, frequency of racing, immaturity, and any other risk factors, should be carefully examined to indicate ways to minimize severe injuries.

c) Euthanasia

If injuries are sufficiently severe, the horse may need to be euthanized on humane grounds. Euthanasia should be undertaken as soon as possible with the sole aim of minimizing suffering.

d) Retirement

Owners should make every effort to ensure that their horses are sympathetically and humanely treated when they leave racing. Racehorses should be permanently identified and registered, so their welfare in retirement can be monitored. When a horse is registered in a country that is signatory to this Agreement as retired or retrained and definitively excluded from races, it is no longer authorized to participate in a race in other countries that are signatories to this Agreement.

# STATUTES OF THE EUROPEAN TROTTING UNION

## FOREWORD

For the purpose of strengthening its influence and efficiency and to opening to a major number of European countries staging trotting races, UET - which was founded in 1973 and whose constitution was adopted and amended by the General Assembly on 9 May 1973, 9 October 1978, 30 June 1979, 10 October 1987, 25 October 1997, 29 January 2000, 27 January 2007, 29 January 2011, 28 January 2012, 26 January 2013, 25 January 2014, 30 January 2016 and 28 January 2017, 25 June 2022 and 28 January 2023 - has decided to update its Constitution considering the need felt by each member to protect, co-ordinate and harmonise the essential rules of trotting racing as regards organisation and control.

## ARTICLE 1 - PURPOSE

1. The main purpose of the European Trotting Union (UET) is the promotion of trotting races and the breeding of trotters in Europe by ensuring that all member countries who fall under its regulations can achieve and maintain the highest form of professionalism in the sport of trotting. This professionalism starts by putting the integrity of the trotter as a sport-horse first, thus guaranteeing the welfare of the trotters in breeding, racing, training and in a healthy life after their sport career.
2. The UET's specific mission is:
  - a) to set up a close and lasting relationship between Member Horseracing Authorities,
  - b) to harmonise and enforce the rules governing international events,
  - c) to set up a calendar and to define the requirements for participation in international events and the conditions of transfer of the prize money won in such events,
  - d) to help the flow of information on :
    - the different Stud-Books,
    - the implementation of health regulations relating to infections and viral diseases, epizootics and vaccinations, as well as the anti-doping regulations and controls,
    - any amendment to the rules introduced by any Member Horseracing Authority which might prove useful in terms of the general interest of racing and breeding.
  - e) to draw up common rules concerning:
    - breeding,

- keeping of Stud-Books,
  - the conditions of imports and exports of horses,
  - horses nationality and identification checks,
  - racing.
- f) to publish European statistics,
- g) to trot racing's general interests in international meetings,
- h) to ensure that trotting is advertised and known by the public, in its sports and economic aspects, through press, radio, television, internet, etc.,
- i) to provide exchange of information between UET's Member Horseracing Authorities on relevant administrative and fiscal regulations, particularly as regards horserace betting.
3. In the framework of this mission, it ensures that Member Horseracing Authorities comply with any common regulations and with the provisions of the International Agreement on Trotting Races, in particular by ensuring that said Agreement is incorporated into their national regulations and to put forward guidelines.

## **ARTICLE 2 - ORGANISATION**

UET is composed of :

- A) the General Assembly,
- B) the Board,
- C) the Presidium
- D) the President,
- E) the General Secretariat, which is composed of one General Secretary, one Technical Advisor and the executive secretariat,
- F) specialised Committees which are in charge of the UET's operation and management in the following conditions :

### **A) THE GENERAL ASSEMBLY**

- A1. Member Horseracing Authorities form the General Assembly, which is the UET's principal governing body.
- A2. Non-Member Horseracing Authorities may be invited to take part in the General Assembly, without a right to vote.
- A3. Member Horseracing Authorities are distributed in three Groups according to the relative extent of their activity in trot racing and in breeding, and in particular according to the following criteria :
  - a) number of official trotting races per year,
  - b) gross amount of prize money allocated per year,
  - c) number of racing horses per year,

- d) number of births of trotters registered per year.
- A4. Member Horseracing Authorities are distributed according to the above classification :
- a) Group 1: the top three Member Horseracing Authorities in the ranking,
  - b) Group 2: the Member Horseracing ranking from 4th to 10th position,
  - c) Group 3: Other Member Horseracing Authorities.
- A5. This classification may be revised by the General Assembly every three years, according to the quantitative criteria as provided for in Paragraph A3, letters a.), b.) c.) and d), calculated on the base of the official statistics of the previous year.
- A6. Each Member Horseracing Authority may send a maximum of three delegates to each General Assembly, it being understood that votes are cast according to the following rule :
- a) each Horseracing Authority in Group 1 may cast three votes,
  - b) each Horseracing Authority of Group 2 may cast two votes,
  - c) each Horseracing Authority of Group 3 may cast one vote.
- A7. Each invited Horseracing Authority may send a maximum of three delegates to each General Assembly, with no voting rights.
- A8. Any delegate from a Member Horseracing Authority may be represented by a person of his/her choice, provided that this person has received a proxy from the national Horseracing Authority he/she represents. A national Horseracing Authority shall not receive more than one proxy.
- A9. The General Assembly may validly transact business only if at least a minimum of one half of all Member Horseracing Authorities are present or represented, and provided of two thirds of Group 1 Member Horseracing Authorities Horseracing Authorities and one half of Group 2 Member Horseracing Authorities are present.
- A10. All decisions, including those concerning the election of a person destined to hold an office provided for in this Constitution or concerning the admission of a new national Horseracing Authority, shall be taken by a majority of two thirds of the votes cast by Member Horseracing Authorities, provided that a majority of two thirds is also expressed by Group I.
- A11. The General Assembly can be organized by videoconference under the conditions allowing identification and effective participation of members and the continuous, simultaneous and audible transmission of the deliberations.
- Subject to compliance with the technical characteristics guaranteeing effective participation in the meeting and the continuous, simultaneous and audible transmission of the proceedings, the members of the General Assembly participating in a meeting held by videoconference shall be deemed to be present for the purpose of calculating quorums and majorities.

Votes shall normally be cast by a show of hands.

- A12. Any Member Horseracing Authority may ask that a secret ballot organised for any kind of decision. The request shall be put to the vote as above.
- A13. The General Assembly shall be convened - and its agenda attached to the convocation - at least 30 days before the meeting date. As far as possible, General Assemblies shall take place by rotation where the host Horseracing Authority Member is operating.
- A14. The UET's President shall chair the General Assembly. If the President is unable to attend the meeting, the first Vice-President shall chair the meeting. If the latter is unable too, the second Vice President shall take the chair.
- A15. Any Member Horseracing Authority wishing to include any item on the agenda of a General Assembly shall inform the General Secretariat in writing and state its motivation, at least 45 days before the meeting. These items shall be included on the agenda of the General Assembly.
- A16. Except in emergency cases to be appreciated by the President, only the items included on the agenda shall lead to a formal decision by the General Assembly.
- A17. Except in emergency cases, the President may not open a discussion on items that have been presented too late or introduced orally in the course of the meeting. Decisions on lately included items shall be postponed until the following session of the Assembly. However, the General Assembly may take a formal decision concerning any item introduced as an emergency, according to its own statutory decisions procedures.
- A18. The General Assembly shall be convened at least once every year. The date and the place of each General Assembly's meeting shall be determined by the previous General Assembly by vote. If necessary, or on request from a minimum of one third of Member Horseracing Authorities in each group, the President may convene extraordinary sessions of the General Assembly.
- A19. The minutes of the meetings shall be drafted after each session of the General Assembly under the General Secretary's responsibility and sent to each Horseracing Authority. The minutes shall be considered as adopted if no remark has been received by the General Secretariat within thirty days.
- A20. The minutes of the meetings shall be approved at the following General Assembly and shall be signed by the President. Once the minutes have been approved and signed, their contents shall have the same force of law as this Constitution.
- A21. The General Assembly's powers shall be :
  - a) to define the UET's policy and entrust the Board, the Presidium, the Vice-Presidents, the Board, the General Secretary or the Technical Advisor, as the case may be, with implementing that

policy,

- b) to elect all the members of the Board, and in particular, among the latter, the President, the first Vice President and the second Vice President. The President, the first and the second Vice Presidents must each belong to a different Group,
- c) to appoint all specialised Committees, whose function shall be to study and manage any specific activity within UET framework, using the powers vested on them by the Board,
- d) to approve the President's report,
- e) to approve the financial report at the end of the year and to give full discharge to the Board for its management,
- f) to appoint a controller chosen among the representatives of the UET member countries, for a three-year period, who may be re-elected. His mission shall be to check the yearly accounts of UET both in terms of the accuracy of figures and the UET's financial situation. He shall make a report to the General Assembly,
- g) to determine annual fees,
- h) to approve any admission or exclusion of a Horseracing Authority as proposed by the Board,
- i) to decide any amendments to this Constitution,
- j) to adopt and amend the International Agreement on Trotting Races,
- k) to decide the place of UET's headquarters,
- l) to decide to dissolve UET and to appoint the liquidator.

## B) THE BOARD

- B1. The Board is elected by the General Assembly. It is made up of 10 members representing the Member Horseracing Authorities elected by the General Assembly, as follows:
- a) one member for each of the three Group 1 Horseracing Authorities, with three votes per member,
  - b) one member for each of the four Group 2 Horseracing Authorities elected to the Board, with two votes per member,
  - c) one member for each of the three Group 3 Horseracing Authorities elected to the Board, with one vote per member.
- B2. The Board shall be elected for a three-year period. Its members may be re-elected.
- If, a board member loses his representative mandate within his national Horseracing Authority during his term of office, the Horseracing Authority concerned will officially appoint a new member to replace

him. This does not concern the President and/ or Vice-Presidents who are governed by the provisions article 2 - D2.

B3. The Board shall hold a minimum of two meetings per year. The President shall convene such meetings at least fifteen days in advance. The Board meetings can be organized by videoconference under the conditions allowing identification and effective participation of members and the continuous, simultaneous and audible transmission of the deliberations.

B4. Any Board member who, without compelling reason, does not personally (excluding representation) attend at least to one Board meeting per calendar year shall be reputed to resign from office, subject to the Board's finding and unless objection to the latter.

B5. The Board member's failure to attend shall be recorded at the first meeting of the Board in the calendar year following the one during which the member was absent.

The President shall collect, in the name and on behalf of the Board, prior to the next meeting of the Board, the observations of the defaulting member on the reason for his or her absence. The President shall then transmit these to the Board, which may, at this meeting, either note the resignation of the defaulting member or maintain him in his functions in the light of the explanations provided.

B6. To take valid decisions, the Board shall:

- a) be chaired by the President or, if he is unable to attend, by the first Vice-President, or if the latter is unable too by the second Vice-President,
- b) be represented by at least two thirds of its Group 1 members and one half of its members from Group 2 and 3.

B7. Decisions shall be taken by a two-third majority of the votes.

B8. The Board's powers shall be:

- a) to ensure the UET's management,
- b) to draw up and vote the budget for the following financial year,
- c) to prepare the General Assembly,
- d) to propose any amendment in the Constitution and appended regulations to the General Assembly,
- e) to determine the calendar of major international racing events,
- f) to study problems concerning Europe in racing and breeding matters,
- g) to study the Committees' proposals,
- h) to carry out the UET's promotion policy,
- i) to determine the functions and the fees for the General Secretary and the Technical Advisor,

- j) in general, to adopt any decision concerning the UET's operation for any matter not concerning the General Assembly.

### C) PRESIDIUM

- C1. The Presidium is made up with the President, the two Vice-Presidents and the General Secretary of UET. It meets at least twice a year between 15 and 30 days before the meeting of the Board.
- C2. The Presidium's mission is to prepare the agenda and the items on the agenda of the meetings of the Board.

### D) PRESIDENT AND VICE-PRESIDENTS

- D1. The President and Vice Presidents shall be elected for a three-year period. The President, the first Vice President and the second Vice President are elected among the members of the board representing each one a different Group Horseracing Authorities.
- D2. In the event of the resignation, loss of representative mandate or death of any one of these personalities, the General Assembly shall designate a successor for the remaining duration of the current mandate, in compliance with the representation rule for the three different Groups.

However, if such an event affects the President, the 1st Vice-President or in the event of the latter's unavailability, the 2nd Vice-President shall be the acting President, until the successor is elected by the General Assembly.

- D3. The President's and Vice-President's shall not be paid fees for the duties they perform. Their travel expenses shall be refunded.
- D4. The President's powers are
  - a) to conduct UET in accordance with this Constitution and with the Board's decision,
  - b) to draw up any specific regulation to this end and to manage their implementation,
  - c) to draw up the annual report, to prepare the end-of-year accounts,
  - d) to draft the agenda of the General Assembly,
  - e) to suggest any Horseracing Authority for membership or exclusion by the General Assembly,
  - f) to submit to the Board for approval the budget for the following financial year drawn up by the General Secretariat.

### E) GENERAL SECRETARIAT

- E1. The UET's day-to-day management shall be carried out by the General Secretariat, which is composed of one General Secretary and one Technical Advisor, both elected by the General Assembly for a three-year period.
- E2. The General Secretary and the Technical Advisor shall be elected among candidates presented by Member Horseracing Authorities.

Ballots for these elections shall be organised among those candidates whose names have been registered with the General Secretariat at least fifteen days before the election date.

- E3. The General Secretary and the Technical Advisor shall their expenses refunded subject to the approval of the Board.
- E4. The General Secretary and the Technical Advisor shall attend the meeting of the General Assembly and of the Board in an advisory capacity.
- E5. They shall be entrusted, under the President's and the Board's authority, with carrying out UET's missions as defined in Article 1 of this Constitution. Their respective functions, within such missions, shall be defined by the Board.
- E6. The General Secretariat's specific mission shall be to:
  - a) organise the sessions of the General Assembly's meetings and draft the minutes of these meetings,
  - b) to gather the necessary elements and to prepare the UET's budget for the following year,
  - c) to take care that members annual fees are duly paid in one payment only.
- E7. The Technical Advisor is specifically in charge of all operating matters dealing with breeding and racing and betting. He operates under the direction and the responsibility of the General Secretary and in accordance with the Board.

### **ARTICLE 3 - ADMISSION OF NEW MEMBERS**

- 1. Aside from to the Member Horseracing Authorities, that are signatories to this Statutes, UET may admit any new Member Horseracing Authority, providing the latter fulfills the conditions applicable to every Member Horseracing Authority, i.e.
  - a) There shall be only one UET Member Horseracing Authority per country.
  - b) The applicant Horseracing Authority shall provide any necessary evidence of its role and responsibility in trotter breeding and racing activities in its own country and shall undertake to fulfil its obligations towards UET as set out in this Constitution.
  - c) The applicant Horseracing Authority undertakes to include the International Agreement on Trotting Races in its national regulations and to comply with it.
  - d) The applicant Horseracing Authority undertakes to respect the common regulation adopted by the General Assembly and to follow the UET guidelines.

2. A Horseracing Authority that does not fulfil UET's requirements for membership may be accepted as invited member on decision of the General Assembly. In this case, only one Horseracing Authority per country shall be accepted.
3. Any application for admission to UET shall be sent to the General Secretariat with the following documents :
  - all necessary elements to identify the Horseracing Authority concerned, with the names and addresses of its President and the General Secretary,
  - one copy of the current Statutes and rules of procedure governing breeding and trotting races in the country concerned,
  - one copy of the latest edition of the Stud-Book.
4. The General Secretary and the Technical Advisor shall examine each application before presenting it to the Board for final admission to be approved by the General Assembly.

#### **ARTICLE 4 - RESIGNATION OR EXCLUSION OF A MEMBER HORSERACING AUTHORITY**

1. A Horseracing Authority shall cease to be a member of UET by resignation or by exclusion.
2. Any declaration of intent to resign shall be sent to the General Secretariat, at least six months before the end of the current calendar year.
3. Any regular or invited member that seriously transgresses the Constitution or the regulations deriving there from shall be excluded from UET.
4. Any member Horseracing Authority that has failed to pay its annual fees before December 31st of the current year will be invited by registered letter with acknowledgment of receipt to settle the outstanding amount within a maximum period of 3 months. If, by the end of this period, the outstanding amount has not been paid, the Horseracing Authority concerned shall receive an official notice from UET informing it that if the amount is not settled within 30 days, the Horseracing Authority will be stripped of its right to vote at the General Assembly and banned from organizing or taking part in any championship conducted under the aegis of UET.
5. A member country not respecting its commitments or not attending the UET Board more than one time is excluded from the Board and be replaced by another UET country.
6. Furthermore, this Horseracing Authority is liable to be excluded from UET by the General Assembly.

7. The Board shall take due note of the resignation of a Member Horseracing Authority. The Board may also take the decision in principle that to exclude a Member Horseracing Authority and submit its decision to the General Assembly for final approval.
8. Any resigning Member Horseracing Authority shall fulfil its commitments to UET until the end of the current calendar year, particularly as far as annual fees are concerned.

#### **ARTICLE 5 - DISSOLUTION OF UET**

1. The dissolution of UET shall be decided by the General Assembly.
2. The decision shall be put on the agenda at the request of half of the Member Horseracing Authorities and after approval by the Board.
3. The General Assembly shall decide to dissolve UET by a majority of at least of two-thirds of the Member Horseracing Authorities present or represented. It shall appoint a liquidator in charge of liquidating UET's assets.
4. In case of dissolution, UET's assets, as determined by the liquidator appointed by the General Assembly, shall be distributed among Member Horseracing Authorities in proportion to the amount of their respective contributions.

#### **ARTICLE 6 - UET'S HEADQUARTERS**

UET's headquarters are located in Paris (France) where the General Secretariat is based. However they may be transferred to any other country by decision of the General Assembly.

#### **ARTICLE 7 - GENERAL RULES**

1. The time limits provided for in this Constitution shall be governed by the following rule: day of beginning is not counted and day of end is counted in the time period.
2. In case of communication by mail, the time limits provided for in the articles of this Constitution shall start on the day of posting and the date marked on the stamp shall be taken as first reference day.
3. The financial year shall start on January 1st and end on December 31st of each calendar year.
4. The official languages of UET are French and English. In the case there is a difference between the French version and the English version of an act, the French version shall prevail.
5. If any database, platform, data processing, mobile application, software,

website, communication tool, IT system or any other IT tool ( “IT tool”) is made available by UET to the Member Horseracing Authorities and that Member Horseracing Authorities wish to use this IT Tool, the Member Horseracing Authorities agree to comply with any terms and conditions of use of such IT Tool which will be made available to the Member Horseracing Authorities by any means by the UET or the relevant service provider.

#### **ARTICLE 8 - COURT OF COMPETENT JURISDICTION**

Any legal dispute involving UET shall be settled before the court of jurisdiction in the country where UET’s headquarters are located.

# QUESTIONNAIRE REGARDING THE MEMBERSHIP OF A NATIONAL HORSERACING AUTHORITY TO UET

## I - GENERAL ORGANIZATION

### 1. ROLE AND MISSION OF THE APPLICANT ASSOCIATION

- Juridical structure (Association, Federation, Commercial Firm, Public Body, etc.).
- Position with respect to the Governmental Authorities (Tutelage, private firm with Governmental participation, Public body, etc.).
- Position with respect to the flat races.
- Statutes (to be communicated).

### 2. ORGANISATION CHART

- Structures.
- Designation of the Board (Chairman, Committee, Director or Secretary General).

## II - ECONOMICAL IMPORTANCE

### 1. TROTTERS LIVESTOCK

- Number of births (yearly evolution of births).
- Brood-mares.
- Stallions.
- Number of trotters having raced.

### 2. PERSONS

- Number of registered owners.
- Number of breeders.
- Number of trainers (licence-holders).
- Number of drivers (licence-holders).

### 3. TROTTING RACES

- Number of races.
- Total amount of purse money paid to the owners.
- Average purse money of races.
- Average winnings by horse.
- Number of Race tracks.
- Number of racing days.

### 4. BETTING ON TROTTING RACES

- Total amount of wagering.
- Amount returned to Trotting Races.
- Body in charge of wagering.
- Public frequentation.

### **III - STUD BOOK FOR TROTTERS**

1. EXISTENCE OF A STUD-BOOK FOR TROTTERS
2. BODY IN CHARGE WITH THE KEEPING OF THE STUD-BOOK
3. RULES OF REGISTERING (INDIGENOUS FOALS, IMPORTED HORSES)
4. BREEDING TECHNIQUES:
  - Artificial Insemination
  - Transported Semen
  - Embryo Transplantation
5. IDENTIFICATION AND CONTROL OF MARKINGS AND BLOOD LINES

### **IV - REGULATIONS**

1. STATUTE-BOOK FOR RACING RULES (TO BE COMMUNICATED)
2. BODY IN CHARGE WITH ITS APPLICATION
3. SANITARY RULES.

### **V - CONDITIONS FOR MEMBERSHIP**

1. ACKNOWLEDGEMENT OF UET STATUTES
2. ACKNOWLEDGEMENT WITHOUT RESTRICTION OF THE UET STATUTES, THE INTERNATIONAL AGREEMENT ON TROTTING RACES AND THE DOPING REGULATIONS

## CRITERIA FOR THE MEMBERSHIP OF A NATIONAL HORSERACING AUTHORITY TO UET

1. ONE SINGLE HORSERACING AUTHORITY BY COUNTRY CAN BE MEMBER OF UET (UET STATUTES, ART. 3)
2. THE REQUESTED INFORMATION (QUESTIONNAIRE) SHOULD BE GIVEN
3. REJECTION OF ANY CANDIDATURE OF A HORSERACING AUTHORITY ORGANISING TROTGING AND PACING RACES
4. NECESSITY OF A LEGAL STATUTE
5. THE HORSERACING AUTHORITY MUST BE APPROVED BY THE GOVERNMENTAL AUTHORITIES
6. MINIMAL ECONOMIC IMPORTANCE:
  - livestock : minimum 200 Trotters,
  - persons : licence compulsory,
  - trotting races : minimum 50 per year.
7. SEPARATE STUD-BOOK FOR TROTTERS COMPULSORY
8. NECESSITY OF RELIABLE BLOOD-LINE AND IDENTIFICATION CONTROL
9. EXISTENCE OF RACING RULES COMPULSORY
10. COMMITMENT OF ACCEPTANCE OF THE UET STATUTES, THE INTERNATIONAL AGREEMENT ON TROTGING RACES AND THE DOPING REGULATIONS, WITHOUT RESTRICTION