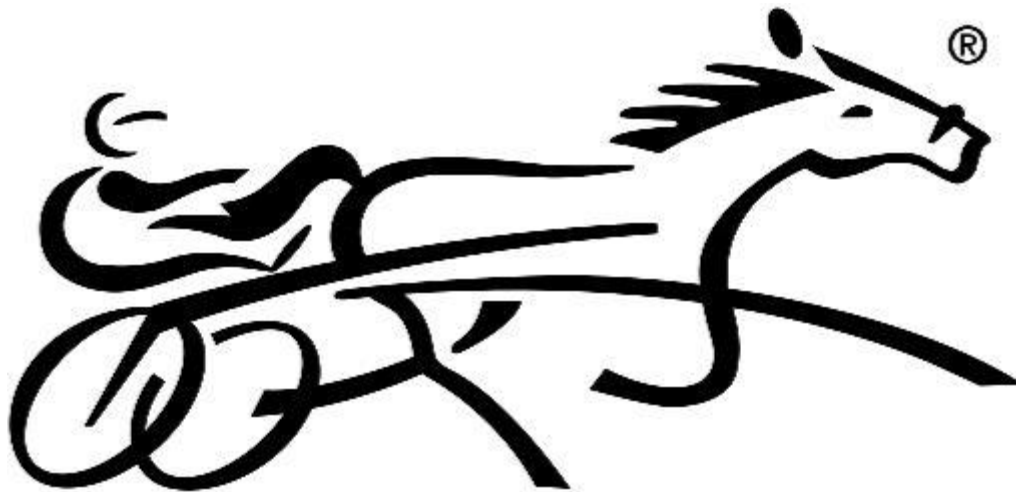


Study Guide for Official's Licenses

The United States Trotting Association



USTrotting

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Contents

Presiding Judge (Pari-mutuel).....	3
Presiding Judge (Fair).....	3
Associate Judge.....	3
Starter (Pari-mutuel).....	4
Starter (Fair).....	4
Race Secretary.....	4
Patrol Judge, Paddock Judge, and Identifier.....	4
Rule 4 – RACING TERMINOLOGY AND DEFINITIONS.....	5
Rule 5 – TRACK MEMBERS.....	6
Rule 6 – RACE OFFICIALS.....	7
Rule 7 – HORSE IDENTIFICATION AND PROGRAM INFORMATION.....	10
Rule 8 – RACING, FARM, CORPORATE OR STABLE NAMES.....	11
Rule 9 – ELECTRONIC ELIGIBILITY.....	12
Rule 10 – CLASSIFICATION OF HORSES.....	13
Rule 11 – CLAIMING RACES.....	14
Rule 12 – NOMINATIONS, ADDED MONEY EVENTS.....	15
Rule 13 – DECLARATIONS, STARTERS REQUIRED, PURSE MONEY DISTRIBUTION.....	15
Rule 14 – DECLARATIONS, DRAWING OF POST POSITIONS, POST DRAW.....	16
Rule 15 – POSTPONEMENT.....	19
Rule 16 – STARTING OF HORSES.....	20
Rule 17 – DRIVERS AND TRAINERS.....	21
Rule 18 – RACING AND RACETRACK RULES.....	23
Rule 20 – STANDARDS OF CONDUCT.....	26
Rule 21 – MEDICATIONS AND DRUGS.....	27
Rule 22 – FINES, SUSPENSIONS AND EXPULSION.....	28
Rule 23 – PROTESTS AND APPEALS.....	29
Rule 24 – TIME AND RECORDS – RACE WINNERS.....	30
Horse Identification Worksheet.....	31

Introduction and Types of Licenses

Thank you for your interest in becoming a USTA licensed racing official. This set of study questions, along with the USTA Rule Book, will assist you as you prepare for the required written exam.

This guide is broken into section by USTA rule. Depending on the class of license for which you are applying, not all sections will apply. The following section is a list of USTA official's licenses, the requirements for each and the sections of this guide on which you should concentrate. ***Note that this guide does not cover licensing information or test questions for a licensed clerk, charter or program director. Please contact the USTA for study guides and test questions relating to these licenses.***

Presiding Judge (Pari-mutuel)

- Minimum of 2 years' experience as a licensed Associate Judge.
- Written recommendation from a USTA licensed Presiding Judge for whom you have worked.
- Satisfactory completion of the required exam.
- Study sections – all.

Presiding Judge (Fair)

- Minimum of 2 years' experience within the industry.
- Knowledge of the rules, temperament and qualifications to perform duties required.
- Written recommendation from a USTA licensed Presiding Judge that you have raced under or with whom you have worked.
- Satisfactory completion of the required exam.
- *Please Note:* Serving in the capacity as an Associate Judge at county fairs is strongly recommended if you have no prior officiating experience. Even though the USTA does not license Associate Judges at county fairs, we strongly encourage you to serve in that capacity prior to examination.
- Study sections – all.

Associate Judge

- Minimum of 2 years' experience involving 75 racing days per year as a USTA Licensed Official in another capacity, such as Patrol Judge, Paddock Judge, Clerk of the Course, Race Secretary, Starter or Identifier.
- In lieu of 2 years' experience, completion of the Racing Officials Accreditation Program.
- Satisfactory completion of the required exam.
- *Please note:* This license will be a restricted license, only issued upon verification of employment. The restriction will be lifted after one year of employment and a written letter of recommendation from the licensed official for whom your worked.
- Study sections – all.

Starter (Pari-mutuel)

- Current license as a fair starter.
- In lieu of a current license as a fair starter, satisfactory completion of the required exam.
- A letter from a licensed Pari-mutuel Starter and Presiding Judge verifying your qualifications to operate the starting gate.
- Once the recommendation has been submitted you are allowed to start selected pari-mutuel races with a licensed starter in the gate.
- At least 30 selected pari-mutuel race starts must be satisfactorily completed before the license can be issued.
- Study sections – Rules 4, 5, 6, 13, 16.

Starter (Fair)

- At least one year experience of driving the starting gate and schooling horses.
- Letter from a licensed pari-mutuel starter verifying your qualifications to operate the starting gate.
- Satisfactory completion of the required exam.
- Study sections – Rules 4, 5, 6, 13, 16.

Race Secretary

- Minimum 2 years' experience working as an assistant race secretary under a licensed race secretary (work experience needed before the exam can be taken).
- Written recommendation from the race secretary and presiding judge.
- Satisfactory completion of the required exam.
- Study sections – Rules 4, 6, 7, 9, 10, 11, 12, 13, 14, 20, 22, 24.

Patrol Judge, Paddock Judge, and Identifier

- Satisfactory completion of the required exam.
- Written recommendation from a presiding judge.
- Study sections – Rules 4, 6, 7, 20, horse identification worksheet.

Rule 4 – RACING TERMINOLOGY AND DEFINITIONS

Define the following:

1. Claiming race _____
2. Early closing race _____
3. Late closing race _____
4. Appeal _____
5. Declaration _____
6. Entry _____
7. Futurity _____
8. Stake _____
9. Maiden _____
10. Protest _____
11. Conditioned race _____
12. Classified race _____
13. Handicap _____
14. Nomination _____
15. Extended pari-mutuel meet _____
16. Overnight race _____
17. Coupled entry _____
18. Inquiry _____

Rule 5 - TRACK MEMBERS

1. Who prescribes the length of time before a race that horses must be in the paddock?

2. What persons are entitled to admittance to the paddock?

3. What items of technical equipment are prescribed in the rules as being mandatory at all pari-mutuel meetings?

4. When should the official sign be displayed?

5. What action is called for on the part of the judges in the case of a racing accident?

6. What are the physical requirements of a paddock?

7. Under USTA Rules, what are the requirements at an extended pari-mutuel track with respect to the use of a breath analyzer?

Rule 6 – RACE OFFICIALS

1. Who is responsible for the records of a meeting?

2. What are the reasons for which an official's license may be revoked?

3. What is the maximum fine or suspension the judges may impose without a hearing?

4. Who must be present for a hearing per USTA Rules?

5. May an official at a pari-mutuel track own a horse, or deal in horses racing at the track at which he works as an official?

6. Under which circumstances should the "objection" or "inquiry" sign be displayed?

7. On what should all judges concentrate during the post parade and preliminary scoring of the field?

8. At what meetings are patrol judges required?

9. If no complaint is received from the driver, is it necessary to investigate possible interference or other violations?

10. What are the reasons specified in the rules whereby a horse may be excluded from a race by the judges?

11. After official placings have been made at the conclusion of a race, is it possible for the judges to alter their decision, and by doing so affect the distribution of betting pools? Explain.

12. Do the rules state that the judges must investigate any act of cruelty seen by them or reported to them, or is this simply a moral obligation?

13. Who is responsible for the locking down of the pari-mutuel machines?

14. What is the duty of the judges when a track is thrown into darkness due to a power failure during a race?

15. Whose responsibility is it to furnish complete and accurate program information?

16. When should the photo sign be displayed?

17. When does the starter have control over the field of horses?

18. Can a race be made “official” before reports have been received from the patrol judges?

19. The rules list various duties of the judges. In your own words, what are they?

Rule 7 – HORSE IDENTIFICATION AND PROGRAM INFORMATION

1. Under whose name must a horse race?

2. If a horse, which is under lease, is racing, in whose name must he race – the owner’s name or the name of the lessee?

3. Under USTA Rules, may a horse that has not been freeze branded/microchipped start in a race at a pari-mutuel track? Explain.

4. What are the program requirements concerning a pacer racing without hobbles?

5. What information must be listed on the printed program and electronic eligibility regarding claiming races?

6. What is the penalty which may be imposed upon an individual who fails to provide legible, clear and accurate judge's sheets?

7. Is it necessary to record permissive medications on a judge's sheet and printed program?

Rule 8 – RACING, FARM, CORPORATE OR STABLE NAMES

1. What is the status of a horse that is registered under a stable name when one of the members is suspended?

2. How is a corresponding officer designated?

3. Who is responsible for signing on behalf of a racing, farm, corporation or stable name in regards to transfers and claims and other documents?

4. Must a racing, farm, corporate or stable name be registered with the USTA?

5. Must all members of a racing, farm corporate or stable name be members of the USTA?

Rule 9 – ELECTRONIC ELIGIBILITY

1. Is a horse permitted to start in a race without electronic eligibility?

2. Who may make corrections on an electronic eligibility?

3. If a horse is sold after electronic eligibility is issued, what must be done with regard to the transfer of ownership?

4. May a horse 15 years of age or older perform in a race? Explain.

5. Are there any instances when an electronic eligibility may not be issued? Explain.

Rule 10 – CLASSIFICATION OF HORSES

1. Per USTA Rules, what types of races may be offered at a meet?

2. Who sets the standards to determine whether a horse is qualified to race in overnight events at a meet?

3. When does a two-year old or three-year old become eligible to be placed on the preferred or invitational list to race against older horses?

4. When may a race secretary reject the declaration of a horse?

5. When is a horse's eligibility determined?

6. When may substitute races be used?

7. May an overnight event which fills satisfactorily ever be carried over to the next racing day in favor of a second division of another overnight event?

8. When may classified races be used?

9. When, if ever, is it permissible for a race secretary to select the divisions in which horses will race in the event a race is split?

Rule 11 – CLAIMING RACES

1. Under USTA Rules, who is eligible to claim a horse from a claiming race?

2. Under any circumstance may a trainer sign an authorization for a horse to start in a claiming race?

3. How long before post time must a claim be entered for a race?

4. When may a horse that was claimed be transferred or sold?

5. What other items, other than verification of electronic eligibility, must be on file with the race secretary's office before a horse may race in a claiming race?

6. What types of conditions may be applied to claiming races?

7. When, if ever, may a claim be voided?

Rule 12 – NOMINATIONS, ADDED MONEY EVENTS

1. What is the date for closing of nominations of yearlings to stakes? _____ To futurities? _____

2. In the event there are conflicting published conditions for a race, which one will govern?

3. If an early closing event is split into divisions, how much would the sponsor have to add to the advertised purse?

Rule 13 – DECLARATIONS, STARTERS REQUIRED, PURSE MONEY DISTRIBUTION

1. In the event an early closing race is declared off because of a lack of declarations, what disposition is made of the money paid in by the nominators?

2. What is the maximum number of horses that may start in any race?

3. What is the maximum number of horses that may start in an overnight race at an extended pari-mutuel meeting? _____ Distinguish between a half mile track and a larger track.

4. In an overnight event, if only four horses start in a race, what disposition is made of fifth money?

5. Except in the case of stake and futurities, unless otherwise specified in the conditions, how shall the purse money be distributed in dashes?

6. For stake and futurities, unless otherwise specified in the conditions, how shall the purse money be distributed?

7. If there are any premiums for which horses have started but were unable to finish due to an accident, what horse or horses are awarded this money?

8. What number of horses declared to start in an early closing or late closing race at a pari-mutuel track make it mandatory for the race to be contested?

9. When is it optional for a track to race a race in elimination heats?

Rule 14 – DECLARATIONS, DRAWING OF POST POSITIONS, POST DRAW

1. Unless otherwise specified in the conditions, what time does the declaration box close?

2. If a horse is place on the steward's list, what notices are required?

3. What are the reasons by which a presiding judge may place a horse on the steward's list?

4. For what reasons may the judges require a horse at a pari-mutuel meeting to go a qualifying race?

5. If the length of a race and the number of heats are not specified in the conditions, what length shall a race be and how many heats shall be raced at an extended pari-mutuel meet? _____
At a meeting of ten days or less? _____

6. How many heats or dashes may a two year old start in a single day and at what distance may he race?

7. If it was determined the day after a race that the winner was ineligible and the horse finishing second was awarded first purse money, what would be the effect on the place horse's status as a maiden?

8. How is preference date on a horse determined?

9. If a condition was advertised "non-winners of \$3,500" in a given year, "mares preferred", who would have preference – a mare with a date of an 8/10 preference date or a geldings with an 8/8 preference date? Explain.

10. Who is responsible for the coupling of horses?

11. When, if ever, may a horse that was omitted through error be added to a race?

12. Under what circumstances may an entry be “uncoupled”?

13. When must horses be coupled as an entry?

14. How many horses may be drawn as also eligibles?

15. May a horse be barred from a race because he has drawn as an also eligible in another race?

16. When must horses on the also eligible list, not moved in to race, be released?

17. State the procedure to be followed in reopening any event that did not fill.

18. How is preference applied in the event an overnight event has been reopened because it did not fill?

19. May the presiding judge or other official at a non-extended meet remove a horse from the steward’s list which has been placed on the list for being dangerous or unmanageable?

20. In your own words, state the rule which provides when starting fees are payable and the circumstances, if any, under which they may be refunded.

21. Under the elimination heats plan, when there are two elimination heats, how many horses qualify for the final? _____ When there are three or more? _____

22. How are post positions drawn for the final heat of an event raced under the elimination heats plan?

Rule 15 – POSTPONEMENT

1. Per USTA Rules, who decides to cancel or postpone races at a pari-mutuel track?

2. What occurs in the case of an early or late closing or overnight event that has been started but remains unfinished on the last day of the scheduled meet?

3. May a meet be extended to allow for a stake or futurity to be finished?

4. At a meet of five days or less, explain if/how races may be cancelled or postponed.

Rule 16 – STARTING OF HORSES

1. Where shall the starting point on a race track be located?

2. Under what circumstances is it possible for a starter to have a recall after the word “GO” has been given?

3. At what point are the horses placed under the control of the starter?

4. What are the possible reasons for a starter to have a recall?

5. How long may horses be held on the backstretch before the start of a race?

6. List the violations of the starting rule.

7. In the event there are two tiers of horses and a horse is scratched out of the first tier, how does this affect the horses in the second tier?

8. When may a horse that has been deemed a starter fail to complete the race?

9. Describe the process in which the starter shall increase the speed of the gate to maximum speed at the start of the race.

10. Shall the speed of the gate ever be decreased? Explain.

Rule 17 – DRIVERS AND TRAINERS

1. List the categories of driver’s licenses which are valid for extended pari-mutuel meetings.

2. Under what circumstances may a driver holding a qualifying license race in races at an extended pari-mutuel meeting other than qualifying races?

3. What are the requirements which must be met before a driver holding a provisional license can be considered for advancement?

4. State the rule relating to the “dress” of drivers.

5. Explain the provisions of Rule 17, Section 5 relative to obtaining a driver’s license.

6. List the eleven acts which constitute disorderly conduct under Rule 17, Section 14.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____
11. _____

7. Explain the following driver's license categories:

a. Qualifying

b. Conditional

c. Provisional

8. Explain the provisions of Rule 17, Section 16 relative to obtaining a rider's license.

Rule 18 – RACING AND RACETRACK RULES

1. What actions are required by a driver whose horse breaks from its gait in a race?

2. If a driver is guilty of interference and is to be set back in the placings, state the rule which prescribes how far he may be set back.

3. If a driver is not mounted in the sulky at the finish of the race, where must the horse be placed?

4. What are the three violations of the breaking rule?

1.

2.

3.

5. Explain the procedure which a driver must follow in filing an objection.

6. In your own words, distinguish between the application of Rule 18, Section 5(a) and Rule 18, Section 5(b) (the rule on inconsistent performance).

7. Under USTA Rules, may a penalty which is imposed for an act of interference be in the form of either a fine or suspension from driving? _____ Explain.

8. If there has been no failure on the part of the driver in complying with the "breaking rule" may he still be set back? _____ Explain.

9. In your own words, state the rule relating to the substitution of drivers.

10. If a driver driving a horse coupled in the betting as part of an entry is guilty of interference, is it necessary for the judges to penalize the entire entry?

11. There are thirteen sub-sections of Rule 18, Section 1 (driving violations). List them.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____
11. _____
12. _____
13. _____

12. In your opinion, what factors should be considered by officials in determining whether or not a horse was raced inconsistently?

13. What shall be the time between separate heats on a single race?

14. What are the two reasons by which a horse that fails to finish after starting in a heat may return for the next heat?

15. In your own words, state the rule which relates to a horse wearing hobbles.

16. Per USTA Rules, what are the mandatory penalties for the violation of the urging (whipping) rule?

Rule 20 – STANDARDS OF CONDUCT

1. Explain the rule which relates to an owner, trainer or driver betting on a horse other than one they represent, handle or have an interest in.

2. When a mare is spayed, where must this information be noted?

3. What responsibilities are placed upon an owner or trainer of a horse that has been nerved?

4. In your own words, state the provision in the rules that fixes the responsibility for the condition of the horse.

5. Explain the financial responsibility rule.

Rule 21 – MEDICATIONS AND DRUGS

1. What horses are subject to the blood or urine test at every pari-mutuel track?

2. What do the rules prescribe shall be procedure followed by the presiding judge in the event he/she is notified by the laboratory that there has been a positive test finding?

3. When a horse has had a positive test, what changes must be made on the electronic eligibility and how is it indicated on the program and judge's books?

4. Do the rules prescribe a definite time for a hearing to be set after a positive test finding?

5. When a positive test is charged to the winner of the race, what becomes of the official time of the race?

6. There is a definite rule on the medication of horses that are racing. What is the rule?

7. What is required if an owner, trainer, driver, authorized agent who has the care, custody and/or control of the horse refuses to submit a horse for testing?

Rule 22 – FINES, SUSPENSIONS AND EXPULSION

1. When does a penalty become effective?

2. In the event of a fine or suspension, what notices are necessary?

3. May the ownership of a horse be transferred in order to circumvent a suspension?

4. Under any circumstances may a horse race that is owned by a person under suspension?

5. Explain the rule which deals with the effect of a minor penalty on the future driving engagements of a driver.

Rule 23 – PROTESTS AND APPEALS

1. What is the time limit requirement which must be met in the filing of an appeal?

2. Who is eligible to file a protest against a horse?

3. When must a protest be filed?

4. When an appeal is made, is the appellant always granted a stay of suspension? Explain.

5. In the event the horse starts under protest and there is nothing further done to sustain the charges, when may winnings which the protested horse may have had be paid?

6. What penalty may be imposed on an official who refuses to accept a protest or an appeal?

Rule 24 – TIME AND RECORDS – RACE WINNERS

1. If a horse is disqualified for interference in winning a race, can the horse placed first get credit for the time of the race?

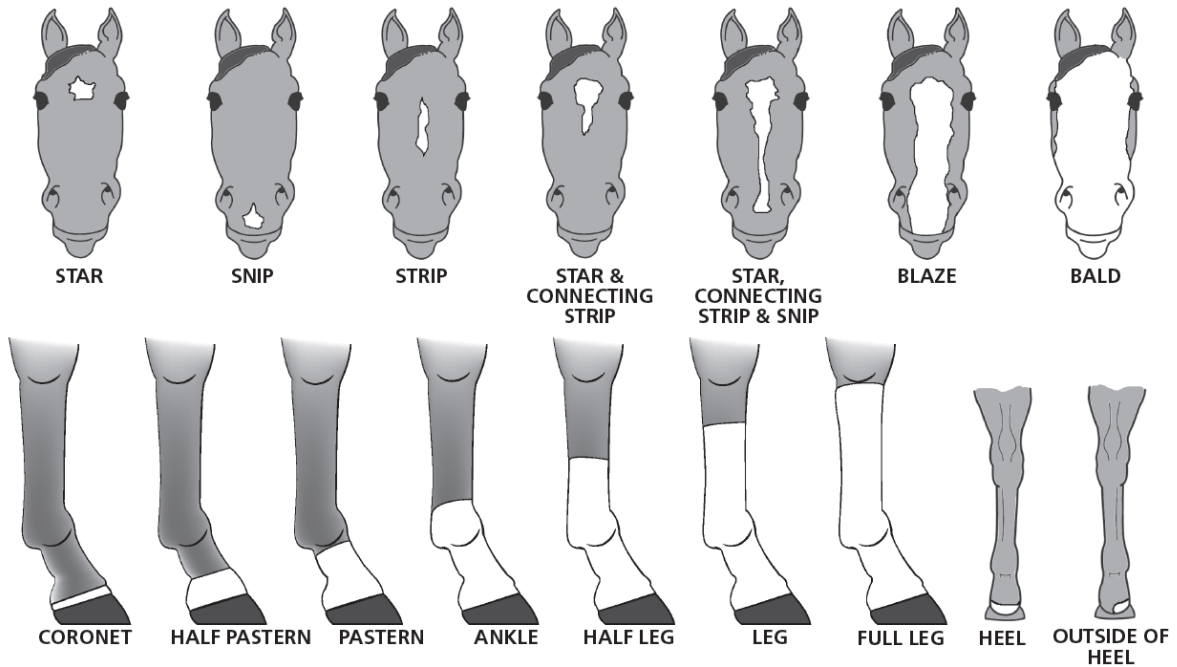
2. What age(s) of horse may perform in a time trial and what times must they equal or beat?

3. In the case of a malfunction of an approved electric timer, how may a race be timed?

4. In the case of a dead heat for first place, which horse, if any, receives the record?

Horse Identification Worksheet

Horse Markings



Abbreviations of Markings Used for Identification

AND	&	INTO	INT
ANKLE	ANK	IRREGULAR	IRR, IR
BEHIND	BHND, BEH	LARGE	LG
BLACK	BLK, BL	LEFT FRONT	LF
BLAZE	BLZ	LEFT HIND	LH
BOTH	BO	LOWER	LOW LWR
BRANDED	BRND	LOWER LIP	LWLIP, LWLP
BROKEN	BRKN	MUZZLE	MUZ, MZ
CONNECTING	CON, CO	NECK	NK
CORONET	COR, CO	NOSE	NS
CRESCENT	CRSNT, CRES	NOSTRIL	NSTL, NST
DARK	DRK, DK	OUTSIDE	OUT, OU
ELONGATED	ELNG	PASTER	PAST, PAS, PA
EXTENDING	EXT, EX	QUARTER	QRTR, QTR
FAINT	FNT	RIGHT FRONT	RF
FETLOCKS	FET	RIGHT HIND	RH
FOREHEAD	FRHD, FHD	SCATTERED	SCAT, SC
FRONT	FR	SHOULDER	SHLD
HEAD	HD	SMALL	SM
HIGHER	HI	UPPER LIP	UPLIP, UPLP
HIND ANKLES	HDANKS	WITH	W/
INSIDE	INS, IN		