

Horse Racing Penalty Guidelines



1. Overview

The LGCA horse racing penalty guidelines suggest the types and ranges of penalties for each category of infraction. These guidelines ensure consistency and fairness by providing a framework for determining appropriate sanctions for violations of the rules of racing. Sanctions include a variety of methods to deter a racing participant or race track operator from further rule violations and/or suspend their privileges. Penalties may include monetary fines, percentage of purse earnings penalties, licence privilege suspensions, and licence cancellations.

Depending on the facts and any mitigating circumstances of the violation, the LGCA may determine that a penalty outside the range stated in the penalty guidelines be imposed, i.e., no penalty imposed or a penalty below the stated range. The LGCA may also determine that egregious misconduct, impact on the integrity of a horse race or the need for increased deterrence elevates the sanction to a compliance order issued under The Liquor, Gaming and Cannabis Control Act.

The LGCA will exercise discretion and consider relevant aggravating and mitigating factors when determining penalties and issuing a ruling. In addition, for any penalty given, the LGCA will identify and discuss the violation or compliance order in a meeting with race administration officials and provide a written explanation.

The LGCA uses a progressive discipline model across all the industries we regulate. This means that penalties escalate and become progressively more severe with more serious or repeated offences, including switching between financial penalties and racing privilege suspensions when the financial incentive outweighs the sanction, or the initial type of sanction isn't resulting in compliance.

The introduction of penalties that withhold or revoke a percentage of purse earnings is a modern approach to ensuring compliance with the rules of racing and is seen as best practice, supported by Standardbred Canada and the Horse Integrity and Safety Act in the USA. This penalty reinforces the concept that owners are responsible for the actions of those they employ, and offsets any financial incentive to violate the rules of racing.

2. Table of Penalties

	First Violation	Second Violation	Third Violation
Administrative Infraction	<ul style="list-style-type: none"> • Verbal warning as a result of a meeting with race administration officials and/or <ul style="list-style-type: none"> • Monetary fine ranging from \$50-\$500 	<ul style="list-style-type: none"> • Monetary fine ranging from \$200-\$1000 and/or <ul style="list-style-type: none"> • Suspension of racing privileges up to two days 	<ul style="list-style-type: none"> • Monetary fine ranging from \$500-\$5,000 and/or <ul style="list-style-type: none"> • Monetary fine issued as a percentage of purse earnings (up to 50%) and/or <ul style="list-style-type: none"> • Suspension of racing privileges up to four days
Racing Infraction	<ul style="list-style-type: none"> • Verbal warning as a result of meeting with race administration officials and/or <ul style="list-style-type: none"> • Monetary fine ranging from \$100-\$1,000 and/or <ul style="list-style-type: none"> • Suspension of racing privileges up to two days 	<ul style="list-style-type: none"> • Monetary fine ranging from \$200-\$2,000 and/or <ul style="list-style-type: none"> • Monetary fine issued as a percentage of purse earnings (up to 50%) and/or <ul style="list-style-type: none"> • Suspension of racing privileges up to four days 	<ul style="list-style-type: none"> • Monetary fine ranging from \$400-\$4,000 and/or <ul style="list-style-type: none"> • Monetary fine issued as a percentage of purse earnings (up to 100%) and/or <ul style="list-style-type: none"> • Suspension of racing privileges up to five days
Integrity/Safety/Welfare Infraction	<ul style="list-style-type: none"> • Verbal warning as a result of meeting with race administration officials and/or <ul style="list-style-type: none"> • Monetary fine ranging from \$200-\$5,000 and/or <ul style="list-style-type: none"> • Suspension of racing privileges up to two days 	<ul style="list-style-type: none"> • Monetary fine ranging from \$400-\$5,000 and/or <ul style="list-style-type: none"> • Monetary fine issued as a percentage of purse earnings (up to 50%) and/or <ul style="list-style-type: none"> • Suspension of racing privileges up to five days 	<ul style="list-style-type: none"> • Monetary fine ranging from \$600-\$5,000 and/or <ul style="list-style-type: none"> • Monetary fine issued as a percentage of purse earnings (up to 100%) and/or <ul style="list-style-type: none"> • Suspension of racing privileges up to five days
Compliance Order	<p>Issued by LGCA Executive Director under section 128 of The Liquor, Gaming and Cannabis Control Act. Sanctions to an individual may be licence cancellation, monetary fines of not more than \$100,000, imprisonment up to one year, or both.</p> <p>In the case of a corporation the sanction may be up to and including licence cancellation and a monetary fine up to \$500,000.</p>		

Administrative Infractions i. May impact outcome of a race	Racing Infractions i. May impact outcome of a race ii. Financial incentive to violate rule	Integrity/Safety/Welfare Infractions i. Directly impacts the outcome of a race ii. Financial incentive to violation of rule iii. Integrity of horse racing iv. Safety of racing participants or race horses
Jockey/Driver infractions Frivolous objections, failure to report weight, delay a start, breaks from gait, set or maintain pace	Whipping infraction, careless riding, jockey not riding to line, foot out of stirrups, indiscriminate or excessive action, impede the progress of another horse	Dangerous riding, aggressive action
Trainer Infractions Lateness to paddock, ineligible entries, weight infractions, claim infraction	Conduct prejudicial to best interest of horse racing	Conduct prejudicial to the best interest of horse racing (serious nature)
Race track operators Entries, starting gate, race official obligations, workouts	Miscellaneous offences or prohibited practices as outlined in the Rules of Racing	Positive test for drug prohibited by Canadian Pari-Mutuel Agency Elimination Guidelines, Bicarbonate (TCO2)
	Positive test for a controlled drug (class 4 & 5) by Uniform Classification Guidelines of Foreign Substances and by the Association of Racing Commissioners International Inc. and as per the Canada Pari-Mutuel Agency Elimination Guidelines.	Violation of human drug and alcohol policy
		Equine welfare Illicit medications, possession of needles/ syringes

Race administration officials will consider the following when applying these guidelines:

1. The suggested penalties are guidelines only and will consider licensee's compliance history, mitigating and aggravating factors, and seriousness of offence.
2. Race administration officials have discretion to issue verbal or written warnings on first offenses. Verbal warnings will include a written summary on licensee's file in all circumstances.
3. Percentage of purse sanction can be issued to driver, jockey, trainer or owner.
4. The authority and/or its representatives may exercise discretion in interpreting these guidelines when assessing penalties and may consider all previous violations outside of Manitoba for up to a five-year period.
5. Consequential infractions may be elevated to a compliance order, regardless of the number of occurrences.
6. Suspensions of racing privileges will be effective for live racing days.

This document is available in alternate formats, upon request.