

UNIFORM CLASSIFICATION OF FOREIGN SUBSTANCES

Version 19.1 (December 2025)

PENALTY GUIDELINES

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PENALTY CATEGORY “A”

The following are recommended penalties for violations due to the presence of a drug carrying a Category “A” penalty and for violations of ARCI-011-015 and ARCI-025-015: Prohibited Practices:

LICENSED TRAINER		
First Offense	Second LIFETIME offense in any jurisdiction	Third LIFETIME offense in any jurisdiction
Minimum one-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a three-year suspension	Minimum three-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of license revocation with no reapplication for a three-year period.	Minimum five-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of license revocation with no reapplication for a five-year period.
AND Minimum fine of \$10,000 or 10% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$25,000 or 25% of purse (greater of the two); AND May be referred to the Commission for any further action deemed necessary by the Commission.	AND Minimum fine of \$25,000 or 25% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$50,000 or 50% purse (greater of the two); AND May be referred to the Commission for any further action deemed necessary by the Commission.	AND Minimum fine of \$50,000 or 50% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$100,000 or 100% purse (greater of the two); AND May be referred to the Commission for any further action deemed necessary by the Commission.

LICENSED OWNER		
First Offense	Second LIFETIME offense in owner’s stable in any jurisdiction	Third LIFETIME offense in owner’s stable in any jurisdiction
Disqualification and loss of purse AND Horse shall be placed on the Veterinarian’s List for 180 days and must pass a commission-approved examination before becoming eligible to be entered.	Disqualification and loss of purse AND Horse shall be placed on the Veterinarian’s List for 180 days and must pass a commission-approved examination before becoming eligible to be entered.	Disqualification, loss of purse and \$50,000 fine AND Horse shall be placed on the Veterinarian’s List for 180 days and must pass a commission-approved examination before becoming eligible to be entered AND Referral to the Commission with a recommendation of a suspension for a minimum of 90 days.

PENALTY CATEGORY “B”

The following are recommended penalties for violations due to the presence of a drug carrying Category “B” penalty, for the detection of two or more NSAIDs in a plasma/serum and/or urine sample, the detection of two or more corticosteroids in a plasma/serum and/or urine sample subject to the provisions set forth in ARCI-011-020(E) and ARCI-025-020(E) and for violations of the established levels for total carbon dioxide:

LICENSED TRAINER		
First Offense	Second LIFETIME offense in any jurisdiction	Third LIFETIME offense in any jurisdiction
Minimum 15-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 60-day suspension.	Minimum 30-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 180-day suspension.	Minimum 60-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a one-year suspension.
AND Minimum fine of \$500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$1,000.	AND Minimum fine of \$1,000 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$2,500.	AND Minimum fine of \$2,500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$5,000 or 5% purse (greater of the two). AND May be referred to the Commission for any further action deemed necessary by the Commission

LICENSED OWNER		
First Offense	Second LIFETIME offense in owner’s stable in any jurisdiction	Third LIFETIME offense in owner’s stable in any jurisdiction
Disqualification and loss of purse [in the absence of mitigating circumstances]* AND Horse must pass a commission-approved examination before becoming eligible to be entered.	Disqualification and loss of purse [in the absence of mitigating circumstances]* AND Horse must pass a commission-approved examination before becoming eligible to be entered.	Disqualification, loss of purse, and in the absence of mitigating circumstances a \$5,000 fine.* AND Horse shall be placed on the Veterinarian’s List for 45 days and must pass a commission-approved examination before becoming eligible to be entered.

PENALTY CATEGORY “C”

The following are recommended penalties for violations due to the presence of a drug carrying a Category “C” penalty and overages for permitted NSAIDs and furosemide: **(All concentrations are for measurements in serum or plasma.)**

LICENSED TRAINER	Furosemide (>100 ng/ml) and/or no furosemide when identified as administered	Phenylbutazone (>0.3 mcg/ml) Flunixin (> 5.0 ng/ml) Ketoprofen (> 2.0 ng/ml) and CLASS C Violations
1 st Offense (365-day period) in any jurisdiction	Minimum of a written warning to maximum fine of \$500	Minimum fine of \$1,000 absent mitigating circumstances
2 nd Offense (365-day period) in any jurisdiction	Minimum of a written warning to maximum fine of \$750	Minimum fine of \$1,500 and 15-day suspension absent mitigating circumstances
3 rd Offense (365-day period) in any jurisdiction	Minimum fine of \$500 to a maximum fine of \$1,000	Minimum fine of \$2,500 and 30-day suspension absent mitigating circumstances
LICENSED OWNER	Furosemide (>100 ng/ml) and/or no furosemide when identified as administered	Phenylbutazone (>0.3 mcg/ml) Flunixin (> 5.0 ng/ml) Ketoprofen (> 2.0 ng/ml) and CLASS C Violations
1 st Offense (365-day period) in any jurisdiction	Horse may be required to pass commission-approved examination before being eligible to run	Disqualification and loss of purse in the absence of mitigating circumstances. Horse must pass commission-approved examination before being eligible to run.
2 nd Offense (365-day period) in any jurisdiction	Horse may be required to pass commission-approved examination before being eligible to run	Disqualification and loss of purse in the absence of mitigating circumstances. If same horse, placed on veterinarian's list for 45 days, must pass commission-approved examination before being eligible to run
3 rd Offense (365-day period) in any jurisdiction	Disqualification and loss of purse. Horse must pass commission-approved examination before being eligible to run	Disqualification and loss of purse in the absence of mitigating circumstances. Minimum \$5,000 fine. If same horse, placed on veterinarian's list for 60 days, must pass commission-approved examination before being eligible to run

After a two-year period, if the licensee has had no further violations, any penalty due to an overage in the 2.0-5.0 category will be expunged from the licensee's record for penalty purposes.

PENALTY CATEGORY “D”

The recommended penalty for a violation involving a drug that carries a Category “D” penalty is a written warning to the trainer and owner. Multiple violations may result in fines and/or suspension.

MMV Point System

Multiple Medication Violation Model Rule. ARCI- 011-020 (B)(13)

Officials are advised to check a licensee's ARCI regulatory record to see if multiple medication violations should be considered as an aggravating factor in the determination of an appropriate penalty.

(1) Multiple Medication Violations (MMV)

- (a) A trainer who receives a penalty for a medication violation based upon a horse testing positive for a Class 1-5 medication with Penalty Class A-C, as provided in the most recent version of the ARCI Uniform Classification Guidelines for Foreign Substances, or similar state regulatory guidelines, shall be assigned points as follows:

Penalty Class	Points If Controlled Therapeutic Substance	Points If Non- Controlled Substance
Class A	N/A	6
Class B	2	4
Class C	½ for first violation with an additional ½ point for each additional violation within 365 days ¹	1 for first violation with an additional ½ point for each additional violation within 365 days
Class D	0	0

¹ Points for NSAID violations only apply when the primary threshold of the NSAID is exceeded. Points are not to be separately assigned for a stacking violation.

If the Stewards or Commission determine that the violation is due to environmental contamination, they may assign lesser or no points against the trainer based upon the specific facts of the case.

- (b) The points assigned to a medication violation by the Stewards or Commission ruling shall be included in the ARCI official database. The ARCI shall record points consistent with Section 13(a) including when appropriate, a designation that points have been suspended for the medication violation. Points assigned by such regulatory ruling shall reflect, in the case of multiple positive tests as described in paragraph (d), whether they constitute a single

violation. The Stewards' or Commission Ruling shall be posted on the official website of the Commission and within the official database of the Association of Racing Commissioners International. If an appeal is pending, that fact shall be noted in such Ruling. No points shall be applied until a final adjudication of the enforcement of any such violation.

- (c) A trainer's cumulative points for violations in all racing jurisdictions shall be maintained by the ARCI. Once all appeals are waived or exhausted, the points shall immediately become part of the trainer's official ARCI record and shall be considered by the Commission in its determination to subject the trainer to the mandatory enhanced penalties by the Stewards or Commission as provided in this regulation.
- (d) Multiple positive tests for the same medication incurred by a trainer prior to delivery of official notice by the commission may be treated as a single violation. In the case of a positive test indicating multiple substances found in a single post-race sample, the Stewards may treat each substance found as an individual violation for which points will be assigned, depending upon the facts and circumstances of the case.
- (e) The official ARCI record shall be used to advise the Stewards or Commission of a trainer's past record of violations and cumulative points. Nothing in this administrative regulation shall be construed to confer upon a licensed trainer the right to appeal a violation for which all remedies have been exhausted or for which the appeal time has expired as provided by applicable law.
- (f) The Stewards or Commission shall consider all points for violations in all racing jurisdictions as contained in the trainer's official ARCI record when determining whether the mandatory enhancements provided in this regulation shall be imposed.
- (g) In addition to the penalty for the underlying offense, the following enhancements shall be imposed upon a licensed trainer based upon the cumulative points contained in his/her official ARCI record:

Points	Suspension in days
5-5.5	15 to 30
6-8.5	30 to 60
9-10.5	90 to 180
11 or more	180 to 360

MMV penalties are not a substitute for the current penalty system and are intended to be an additional uniform penalty when the licensee:

- (i) Has had more than one medication violation for the relevant time period, and (ii) Exceeds the permissible number of points.

The Stewards and Commission shall consider aggravating and mitigating circumstances, including the trainer's prior record for medication violations, when determining the appropriate penalty for the underlying offense. The MMP is intended to be a separate and additional penalty for a pattern of violations.

- (h) The suspension periods as provided in Section 13(g) shall run consecutive to any suspension imposed for the underlying offense.
- (i) The Stewards or Commission Ruling shall distinguish between the penalty for the underlying offense and any enhancement based upon a Stewards or Commission review of the trainer's cumulative points and regulatory record, which may be considered an aggravating factor in a case.
- (j) Points shall expire as follows:

Penalty Classification	Time to Expire
A	3 years
B	2 years
C	1 year

In the case of a medication violation that results in a suspension, any points assessed expire on the anniversary date of the date the suspension is completed.

REVISIONS TO ARCI UNIFORM CLASSIFICATION GUIDE FOR FOREIGN SUBSTANCES

Version	Date	Drug/Substance	Notes
14.2	September 2020	Medroxyprogesterone	Replaced methoxyprogesterone as probable typo
14.2	September 2020	Medroxyprogesterone	Added as Drug Class 3, Penalty Class B.
14.2	September 2020	Methoxyprogesterone	Removed as drug does not exist 14.2
	September 2020	Methoxyprogesterone	Removed Asterisk Language on Permitted Nsaids

“*If the trainer has not had more than one violation within the previous two years, the Stewards/Judges are encouraged to issue a warning in lieu of a fine provided the reported level is below 3.0 mcg/ml absent of aggravating factors.”

14.3	September 2020	Medroxyprogesterone	Moved to correct location alphabetically
14.4	December 2020	Alpha pyrrolidinovalerophenone	Added as Drug Class 1, Penalty Class A
14.4	December 2020	Aripiprazole	Added as Drug Class 2, Penalty Class A
14.4	December 2020	Arsenic	Added as Drug Class 3, Penalty Class B
14.4	December 2020	Diisopropylamine	Added as Drug Class 2, Penalty Class B
14.4	December 2020	Etofenamate	Added as Drug Class 4, Penalty Class B
14.4	December 2020	Flufenamic Acid	Changed to Drug Class 4, Penalty B
14.4	December 2020	Harpagoside	Added as Drug Class 4, Penalty B
14.4	December 2020	Hypoxia-inducible factor (HIF) activators	Changed from Drug Class 3, Penalty A to Drug Class 1, Penalty A
14.4	December 2020	Hypoxia-inducible factor (HIF) stabilizers (e.g. IOX-2)	Added as Drug Class 1, Penalty A
14.4	December 2020	Molidustat	Added as Drug Class 1, Penalty A
14.4	December 2020	Norethisterone(norethindrone)	Added as Drug Class 4, Penalty B
14.4	December 2020	Oliceridine	Added as Drug Class 1, Penalty A

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14.4	December 2020	Oripavine	Added as Drug Class 2, Penalty A
14.4	December 2020	Parecoxib	Added as Drug Class 4, Penalty B
14.4	December 2020	Pregabalin	Added as Drug Class 3, Penalty B
14.4	December 2020	Tapentadol	Added as Drug Class 1, Penalty A
14.4	December 2020	Trometamol (Also known as THAM)	Added as Drug Class 3, Penalty B
14.4	December 2020	Valdecoxib	Changed from Drug Class 2, Penalty B to Drug Class 4, Penalty B
15.0	April 2022	Isoxsuprine	Changed from Penalty D to Penalty C
15.1	December 2022	Bufotenine	Added as Drug Class 1, Penalty A
15.1	December 2022	Higenamine	Added as Drug Class 3, Penalty A
15.1	December 2022	Lubabegron	Added as Drug Class 2, Penalty A
16.0	April 2023	Tianeptine	Added as Drug Class 1, Penalty A
		Mofebutazone	Added as Drug Class 4, Penalty B
	August 2023	Higenamine	Changed from Penalty A to Penalty B
17.0	December 2023	Cabergoline	Added as Drug Class 2, Penalty A
		Troparil	Added as Drug Class 1, Penalty A
		Fritillaria Alkaloids	Added as Drug Class 5, Penalty B (provisional)
18.0	March 2024	Fritillaria Alkaloids	Changed from Drug Class 5 to Class 4
18.1	December 2024	ADB-FUBINACA	Added as Drug Class 1, Penalty A
19	May 2025	Carmoterol	Added as Drug Class 1, Penalty A
19.1	December 2025	Cannabidiol (CBD)	Reclassified to 3B
		Olodaterol	Added as Drug Class 3, Penalty B (EXCEPT FOR QUARTER HORSES – Drug Class 3, Penalty A)
		Metformin	Remains Drug Class 2, Penalty B. Addition – to substantiate positive finding, Laboratories shall perform confirmatory analysis in blood only with a Minimum Reporting Level (MRL) of 4 ng/mL

