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CHAPTER 7 VIOLATIONS AND PENALTIES

SUBCHAPTER 7-A INDIVIDUALS

GR701 General

The provisions of this rule apply in connection with any Licensed Competition to the following persons: owner, exhibitor, agent, trainer, manager, rider, driver, handler, competition official, competition staff (see GR112 and GR113), a veterinarian who, while on the competition grounds, prescribes, dispenses, or administers a prohibited substance to a horse and member of the family of the above, a member of the Federation or any person who acts in a manner in violation of the rules of the Federation or deemed prejudicial to the best interests of the sport and the Federation. Any act in connection with a Licensed Competition in violation of the Rules by a member of the family of a person participating in the competition who is described in the previous sentence, may be deemed to have been committed by such person and subject them to penalties.

GR702 Violations

1. A violation is any act prejudicial to the best interests of the Federation, including but not limited to the following:
 - a. Violation of the Code of Conduct or any rules of the Federation.
 - b. Disqualification by a Licensed Competition.
 - c. Determination that disciplinary action has been taken by an administrative agency, arbitration or other tribunal body, humane society, other National Governing Body, or a court of law.
 - d. Acting or inciting or permitting any other to act in a manner contrary to the rules of the Federation, or in a manner deemed improper, unethical, dishonest, unsportsmanlike or intemperate, or prejudicial to the best interests of the sport and the Federation.
 - e. Any act committed or remark made in connection with the competition considered offensive and/or made with the intent to influence or cast aspersions on the character or integrity of the licensed officials, approaching a judge before or after a decision without first obtaining permission from the show committee or steward/technical delegate, inspecting a judge's card without the judge's permission, or public verbal abuse of competition officials.
 - f. Physical assault upon a person and/or unethical treatment to the horse as defined in GR838, cruelty, or abuse to the horse.
 - g. Failure to obey any penalty imposed by the Federation.
 - h. Exhibiting any horse while in the care, training or custody of a suspended trainer.
 - i. Riding, exhibiting, coaching or training for the benefit, credit, reputation or satisfaction of a suspended person.
 - j. Failure to pay indebtedness to the Federation or indebtedness for hearing transcripts or other hearing expenses arranged through the Federation.
 - k. Participating in any manner at a licensed competition while not in good standing or competing horses not in good standing at a licensed competition. (See GR137)
 - l. Prescribing, dispensing, or administering a drug by a veterinarian which results in a finding of a prohibited substance. In the event a positive report is received by the Federation for a horse or pony to which a prohibited substance has been administered in any manner and the veterinarian is identified in any manner as the source of said prohibited substance, said violation will be addressed pursuant to GR412.
 - m. Any action which is subject to reciprocity by the Federation under the Federation Bylaws.
 - n. Retaliation against a person for making an allegation of any rule violation, for supporting a reporting party or witness, or for providing information relevant to a potential violation. Retaliation may be considered any adverse action taken by an individual against a person participating in a USEF proceeding.
 - o. Failure to cooperate with any investigation carried out by, or on behalf of, the Federation in relation to a possible violation of these rules, including, without limitation, failure to provide accurately, completely, or without undue delay any information and/or documentation and/or access or assistance requested by the Federation as part of such investigation.
 - p. Obstruction or delay of any investigation that may be carried out by, or on behalf of, the Federation in relation to a possible violation of these rules, including without limitation concealing, tampering with, or

destroying any documentation or other information that may be relevant to the investigation, or precluding another person from participating in the process by written agreement.

GR703 Penalties

1. If found guilty, the accused will be subject to such penalty as the Hearing Committee, or other individuals with authority to assess penalties may determine, including but not limited to the following. The penalties set forth below will be published on the Federation's web site.
 - a. **CENSURE.** A vote of Censure will be listed under the defendant's name in the Secretary's Record of Penalties. If found guilty of a further violation the defendant will be subject to a heavier penalty than for a first offense.
 - b. **SUSPENSION** of such person for any period from showing or having others show, exhibit, or train for them.
 1. A suspended person is forbidden for the time specified in the decision from the privilege of taking any part whatsoever in any Competition licensed or endorsed by the Federation and is excluded from all competition grounds during Competitions licensed or endorsed by the Federation, as an exhibitor, participant or spectator.
 2. In addition, a suspended person is forbidden from participating in all Federation affairs and activities, to hold or exercise office in the Federation or in any Competition licensed or endorsed by the Federation, to attend, observe or participate in any event, forum, meeting, program, clinic, task force, or committee of the Federation, sponsored by or conducted by the Federation, or held in connection with the Federation and any of its activities.
 - a. Notwithstanding the above, a Director may be removed from the Board of Directors only in accordance with the applicable provisions of the Bylaws.
 - b. If the Hearing Committee deems it appropriate, it may send its findings concerning a Director to the Board for its consideration.
 3. Where practical and appropriate in the opinion of the Hearing Committee, suspension may include the comparable dates during which the violation occurred.
 - c. **SUSPENSION** for any period of the horse or horses, owned by them, or shown in any name or for their credit or reputation, whether such interest was held at the time of the alleged violation or acquired thereafter. The Board of Directors or the Hearing Committee may at a later date remove the suspension of said horse or horses if it is demonstrated to their satisfaction that a sale or transfer thereof was made by such person, partnership, or corporation in such as to be a bona fide transaction and not with the intention of relieving the suspended owner of penalty. See GR137.
 - d. **SUSPENSION** for any period of any volunteer or any employed person who rides or exhibits for the benefit, credit, reputation, or satisfaction of another suspended person.
 - e. **EXPULSION** from all Licensed Competitions.
 - f. **EXPULSION** or **SUSPENSION** from membership in the Federation.
 - g. **PERMANENT INELIGIBILITY** from Federation membership and all Federation related activities, including a prohibition from taking any part whatsoever in any Competition licensed or endorsed by the Federation and exclusion from all competition grounds during Competitions licensed or endorsed by the Federation in any capacity, including as an exhibitor, participant or spectator. Additionally, a permanently ineligible person is prohibited from attending, observing, or participating in any event, forum, meeting, program, clinic, task force, or committee of the Federation, sponsored by or conducted by the Federation, or held in connection with the Federation and any of its activities.
 - h. **FORFEITURE** of trophies, ribbons, prize money, and/or sweepstakes won in connection with the offense committed, which will be redistributed accordingly and payment of a fee to the competition in question. Federation points may be nullified and redistributed at the discretion of the Hearing Committee.
 - i. **SUSPENSION** from office as steward, technical delegate, judge, course designer or competition official.
 - j. **REVOCAION** of judge's, steward's, technical delegate's or course designer's license.
 - k. **FINE.**
2. Federation Affiliated Associations must honor all Federation penalties. See GR204.

GR704 Regulations as to Suspended Persons

This rule applies to all persons deemed ineligible to participate.

1. The purpose of this Rule shall be to prevent the avoidance by suspended exhibitors, trainers, coaches and other persons of the terms and conditions of their suspensions, or the penalties intended by the Hearing Committee as appurtenant to such suspensions. This Rule shall apply to the spouse of a suspended person as well as to any other persons or entities, including, without limitation, companions, family members, employers, employees, agents, partnerships, partners, corporations or other entities, whose relationship, whether financial or otherwise, with a suspended person would give the appearance that such other persons are riding, exhibiting, coaching or training for the benefit, credit, reputation or satisfaction of the suspended person.
2. No suspended person's spouse or companion shall assume any of the suspended person's responsibilities whatsoever at Federation competitions during the term of said suspension. Companion shall be defined as any person who co-habits with, or otherwise shares living accommodations with, a suspended person.
3. No suspended person's spouse or companion may fill out any entry blanks for any of the suspended person's customers for Federation competitions during the term of the suspended person's suspension, except when the suspended person's spouse or companion is the parent or legal guardian of a minor entered to compete at a Competition licensed or endorsed by the Federation, or pay or advance entry fees on behalf of customers for Federation competitions during said period.
4. Any person who assumes the responsibility for the care, custody or control of an unsuspended horse completely or in part owned, leased, trained by or coached by a suspended person, must not:
 - a. Be paid a salary directly or indirectly by or on behalf of the suspended person; or
 - b. Receive a bonus or any other form of compensation in cash, property or other remuneration or consideration such as to make up for any such lost salary; or
 - c. Make any payments of any kind, or give any remuneration or other compensation or consideration, to the suspended person, their spouse or companion, any corporation, partnership or other entity owned or controlled by said suspended person or to any other person for transfer to any of said individuals or entities for the right to ride, exhibit, coach or train for the suspended person or any of the suspended person's customers during Federation Licensed Competitions; or
 - d. Use the farm or individual name of the suspended person.
5. An individual who takes over the horses of a suspended trainer or coach must:
 - a. Bill customers directly on their own bill forms for any services rendered at or in connection with any Federation Licensed Competitions;
 - b. Maintain a personal checking account totally separate from and independent of that of the suspended person for purposes of paying all expenses of and depositing all income from customers;
 - c. Pay all their employees working at Federation competitions, none of whom may be employees, directly or indirectly, of the suspended person;
 - d. Keep checks, books, employee records and make withholding of taxes and other regular deductions from their employees' paychecks;
 - e. Pay all feed bills, motel, van bills, travel expenses, etc. from their separate and independent checking account and preserve, for six months after the date that said suspension is terminated, invoices for said bills;
 - f. If such individual makes use of any equipment of a suspended trainer, the use of said equipment must be enumerated in detail in a written lease, the form and substance of which must be satisfactory to counsel for the Federation and shall be at the fair rental value for said equipment and said price must be included in said agreement;
 - g. File such federal and state tax returns as will reflect as their income the income from said training or coaching responsibilities at Federation Licensed Competitions;
 - h. Not borrow funds from a suspended trainer or coach, their spouse or companion, their families, corporations, partnerships, or any other entities owned or controlled by said suspended trainer or to any other person for the purpose of going into business for themselves at Federation Licensed Competitions during the period of said suspension, nor will they allow any of the above-named parties or entities to sign or guarantee any notes or any type of loans to enable them to go into business as described above.
6. Suspended trainers and coaches, and individuals taking over the horses or customers of a suspended trainer or coach may be requested to make their books, canceled checks, invoices, tax returns and other evidence

available to Federation representatives to verify and affirm the details of any relationship between them and suspended trainer or coach.

7. This Rule is intended to provide guidance for suspended persons and anyone contemplating taking over the responsibility for the riding, exhibiting, coaching, or training, of an unsuspended horse from a suspended person. It is not intended to anticipate every potential circumstance in which the intent of a suspension may be frustrated, and the Hearing Committee shall have the power to determine whether the facts and circumstances peculiar to any particular case compel a finding that there was or is a violation of the rules prohibiting exhibiting any horse while in the care, training or custody of a suspended trainer, or riding, exhibiting, coaching or training for the benefit, credit, reputation or satisfaction of a suspended person (see GR702.1h and .i).

SUBCHAPTER 7-B LICENSED COMPETITIONS

GR705 General

The provisions of this Chapter apply to all Regular Competitions, Local Competitions, Eventing Competitions, Dressage, Driving, Endurance and Vaulting Competitions.

GR706 Violations

1. Any competition licensed or endorsed by the Federation is subject to penalty by the Hearing Committee or other individuals with authority to assess penalties for violation of the rules. Violations include, but are not limited to, the following. All penalties will be published on the Federation's web site.
 - a. Failure to conduct a competition in accordance with the Federation rules and applicable specifications.
 - b. Failure to pay its indebtedness to the Federation.
 - c. Failure to pay premiums and other indebtedness within 30 days.
 - d. Failure to report the disqualification of a person at the competition.
 - e. Failure to honor written contracts with judges, stewards or other competition officials and employees.
 - f. Failure to furnish the Federation with entry blanks, judge's cards, class sheets or any other documents it may request in connection with the competition.
 - g. The use of judges not licensed in those divisions covered by Federation rules if due notice has been received from the Federation.
 - h. The use of judges in divisions in which they have not been enrolled without obtaining in advance the required Special or Guest judge's card.
 - i. The use of stewards, technical delegates, or where required, course designers who are not Federation licensed if due notice has been received from the Federation.
 - j. The listing of a judge, steward, technical delegate or course designer in the prize list or catalogue before the invitation to serve has been accepted in writing by such licensed official.
 - k. Permitting individuals, entities or horses that were placed on suspension at least seven days prior to the competition start date to be on the grounds and/or to participate in any manner.
 - l. Permitting acts which are improper, intemperate, dishonest, unsportsmanlike or contrary to the rules of the Federation, or prejudicial to the best interests of the sport and the Federation.
 - m. Acting in a manner prejudicial to the best interests of the sport and the Federation.
 - n. Assessing and/or collecting a drug enforcement fee in excess of, or in addition to, that specified and required by GR407.1 of these rules, unless said assessment is approved in writing by the Federation in advance, and then only under the terms and conditions set forth.
 - o. Withholding from the Federation any or all of the drug fees collected in accordance with GR407.1, for any purpose, including to defray the expenses incurred providing stalls, passes, and other items to the Federation drug testing personnel, as required by GR407.4 and .5.
 - p. Using the name or title of a championship that has not been assigned to that Licensed Competition during the same competition year.

GR707 Penalties

1. A Licensed Competition found guilty of a violation will be subject to penalty including but not limited to the following:
 - a. CENSURE. A vote of Censure will be listed under the defendant's name in the Secretary's Record of Penalties. If found guilty of a further violation, the defendant will be liable to a heavier penalty than for a first offense.
 - b. SUSPENSION for any period from the list of Licensed Competitions.
 - c. EXPULSION from membership in the Federation.
 - d. FINE.