



Dear Applicant

**APPLICATION FOR A RIDER'S AGENT'S LICENCE  
UNDER RULE (B)42 OF THE RULES OF RACING**

Please find following the information to assist you in applying for an Agent's Licence. Within this pack you will find;

- a) The Guidance Notes for a Jockey Agent Licence, which should be read before an application is submitted.
- b) A user guide to completing the Application Form.

Every application for the renewal of a licence has to be considered individually upon its merits. In some cases a personal interview with the applicant may be required therefore please ensure that your form is submitted in good time prior to the expiry of your current licence.

The Application Form can be found at:

<http://www.britishhorseracing.com/resources/licensing/riders-agents.asp>

Please do not hesitate to contact the Licensing Team if you have any queries regarding this process. In addition, we would very much welcome your feedback on the new online approach, so please do contact us with your thoughts and observations. We look forward to receiving your completed Application.

Yours sincerely,

**Licensing Team**

Tel: 0207 152 0000

Email: [licensing@britishhorseracing.com](mailto:licensing@britishhorseracing.com)

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## APPLICATIONS FOR AGENTS LICENCES GUIDANCE NOTES

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1. These Guidance Notes should be read before completing the Application Form to which they relate. They are designed to assist but should any matter be unclear, applicants are encouraged to contact the Licensing Team for further confidential guidance.
2. Applications are considered on their individual merits but within the framework of these Guidance Notes.
3. Licences may be issued to Riders' Agents only on application on the prescribed form.
4. The fees for licences are laid down by the British Horseracing Authority.
5. Applicants are required to demonstrate or confirm that:
  - They are otherwise in all circumstances suitable to hold a licence (i.e. that they are 'fit and proper')
  - That they are not actively engaged as a Bookmaker.
6. The detailed guidance contained in the remainder of this document sets out what is required and what each applicant will need to show.

### **A. COMPETENCE AND CAPABILITY**

7. Each applicant will have to satisfy him/herself and confirm to the Authority, that:
  - 7.1. They have a basic understanding of the racing industry, its aims and standards;
  - 7.2. Save in exceptional circumstances they possess at least a conversant level in the English language;
  - 7.3. They have familiarised themselves with the Rules of Racing in so far as they relate to Agents. The Rules of Racing are available online at <http://rules.britishhorseracing.com>
  - 7.4. They have familiarised themselves with the Agent's Code of Conduct as laid out in Section G of these Guidance Notes.
8. In relation to persons who have not been licensed by the Authority in the preceding two years, the Authority will require full particulars of that person's experience and employment to date.
9. In relation to persons who have previously been licensed outside Great Britain, a Certificate of Clearance and licensing record from the relevant Turf Authority (under whose Rules they were last licensed) should also be provided.

## **B. GENERAL SUITABILITY ('FIT AND PROPER')**

10. In considering any application, the Authority must be satisfied, taking into account any fact or matter that it considers appropriate, that the applicant is suitable to hold a licence.
11. The Authority expects full and frank disclosure from the applicant, who is required to disclose all matters known to him/her and those which he/she can be expected to discover by making enquiries. Failure to do so will be a relevant factor in the assessment as to an applicant's honesty and integrity.
12. A person whose conduct or character is not in accordance with that which, in the opinion of the Authority, should be expected of a licensed person, may not be considered suitable and therefore may be refused a licence.
13. In some cases a single factor may lead to the conclusion that someone is not suitable, whereas in another case the determination of whether someone is not suitable may depend upon the cumulative assessment of a number of matters.
14. It is not possible to produce a definitive list of all matters that would be relevant to a particular application. This document should be considered a guide as to the sorts of considerations that the Authority will have in mind when making such an assessment.
15. The criteria to which the Authority will have regard in assessing honesty and integrity include the following:
  - 15.1. Whether the applicant has been convicted of any criminal offence in Great Britain, or a foreign jurisdiction, excluding road traffic offences and offences which are spent under the Rehabilitation of Offenders Act 1974 and in the case of foreign offences, such as may be appropriate. Particular consideration will be given to offences of dishonesty, fraud and those relating to sexual conduct, violence, and animal welfare.
  - 15.2. Whether the applicant is the subject of any proceedings of a criminal nature or has been charged in connection with any alleged criminal offence involving dishonesty, fraud or those relating to sexual conduct, violence, or animal welfare.
  - 15.3. Whether the applicant has been the subject of any adverse finding by a judge in any civil proceedings, or has settled civil proceedings brought against him/her relating to any matter which could reasonably be said to materially affect his/her suitability to hold a licence.
  - 15.4. The applicant's record of compliance with the regulatory requirements of the Authority or its predecessors, of any other Turf Authority or of a regulator of any other sport in which he/she has participated or has been otherwise involved.
  - 15.5. Whether the applicant has been candid, open and truthful in all his/her dealings:
    - 15.5.1. with the Authority in relation to the present or relevant past licence applications; and
    - 15.5.2. with any other Turf Authority or other sports regulator.
  - 15.6. Whether or not the applicant has been dismissed from any previous employment or position of trust or has been asked to resign or resigned on grounds connected with his/her honesty or integrity.
  - 15.7. Whether an applicant has been convicted of, or dismissed or suspended from employment for drug or alcohol abuses or other abusive acts or has other lifestyle or social issues, which are likely either to:

- 15.7.1. Impair significantly his/her ability to meet the regulatory requirements of the Authority; or
- 15.7.2. Render the applicant a threat to the health, welfare or safety of others involved in horseracing, or to the integrity of the sport.
- 15.8. Whether the applicant has engaged in conduct or there are circumstances which may render the applicant susceptible to pressure from persons seeking to corrupt horseracing and whether the applicant is likely to or may engage in such conduct.
- 15.9. An applicant's fitness and propriety includes assessment of the fitness and propriety of those with whom he/she is or may be associated or connected with in their personal or business dealings. For example, if the applicant is known to remain associated with person(s) who are considered by the Authority to pose an unacceptable risk to the integrity of horseracing notwithstanding specific warnings issued by the Authority about such association, that matter will be taken into account and its ultimate relevance to his/her suitability will be assessed in the light of the applicant's attitude to the association.
- 15.10. The Authority has a policy of not granting an agent's licence to a person actively engaged as, or otherwise associated with, a Bookmaker, having made the judgement that such a close financial interest, potentially in conflict with his interest as an agent, is likely to diminish public confidence in the integrity of racing.
- 15.11. Whether the applicant has observed the Integrity Provisions contained within section G of these Guidance Notes.

### **Integrity Provisions**

- 16. The following Integrity Provisions set out the standards of behaviour to be observed by all Riders Agents as conditions of the grant of their Licence. As a Riders Agent, you agree to:
  - 16.1. Avoid the company of Persons whose conduct, character or reputation indicate that they may pose a threat to the integrity of horseracing
  - 16.2. Make sure you have read and understood the definition of Inside Information in Rules (J)16 – (J)18.
  - 16.3. Refrain from regularly passing Inside Information to anyone other than the connections of the horse, even where there is no reward except in cases specifically allowed for in the Rules.

### **C. SPECIFIED CASES**

- 17. The specified cases detailed below are requirements which an applicant must satisfy in order for an application to be considered by the Authority:

Requirements	Guidance Reference Point	Notes
To supply such documentation as detailed in the Guidance Notes & application form (first time applicants only)		
To submit a certificate of clearance where the applicant has previously been licensed outside Great Britain from the relevant Racing Authority	10	

- 18. The mere provision of the documents required above may not be sufficient to ensure that an application is considered by the Authority. Such documents must also be complete and fit for purpose. Similarly, whilst satisfaction by the applicant of the other requirements in paragraph 18 (as a matter of fact) will enable the Authority to consider their application, the applicant should not

presume that will result in a Permit being granted. The manner in which such requirements are met will be one of the factors for the Authority to consider in assessing the applicant's suitability in accordance with these Guidance Notes, and in deciding whether or not to grant a Licence.

#### **Procedural Guidelines for applications for Licences, Permits and Registrations**

19. For the full procedural guidelines relating to applications to the Authority for Licences, Permits and Registrations and procedural guidelines for hearings of the Licensing Committee, where it is considered appropriate to convene a hearing pursuant to the Rules of Racing please visit <http://rules.britishhorseracing.com/> Chapter B and the Judicial Panels Code (part six)

#### **D. AGENT'S CODE OF CONDUCT**

20. Report to the relevant Trainer(s) or Owner(s) at the earliest available opportunity if it becomes necessary to replace the intended rider.
21. Avoid failing to declare the intended rider having advised the trainer or owner that they would declare the intended rider in accordance with paragraphs 58 - 61 of the Race Entry Code.
22. Avoid advertising and remove the availability of a rider on the British Horseracing Authority/Weatherbys Racing Administration Internet Site after the rider has accepted rides at another meeting on the same day unless another meeting is within an achievable travelling distance.
23. Ensure the best available information is maintained on the British Horseracing/Weatherbys Racing Administration Internet Site regarding rider bookings.
24. Ensure that ample time is provided for jockeys to travel between meetings to fulfil bookings.

If you require any further information, please contact the Licensing Team - Tel: 020 7152 0140 - Fax: 020 7152 0141 - E-mail: [licensing@britishhorseracing.com](mailto:licensing@britishhorseracing.com).



# **Riders' Agents Licence Renewal Application** **using the New** **Racing Administration System**

## **INTRODUCTION**

The following document is a User Guide to assist you through the process of completing the new online licence application forms for a Riders' Agent's Licence.

The Guide takes you through the process of completing an application for the first time and provides screen mock-ups and tips to assist you.

If you have any queries, please contact the Licensing Team on 0207 152 0146 who will be happy to assist.

June 2014 V2.1

## Initial Questions

All applications for a new application or a renewal for a Riders' Agents can be started from britishhorseracing.com website. <http://www.britishhorseracing.com/resources/licensing/>

The initial application page asks the basic questions relating to eligibility.

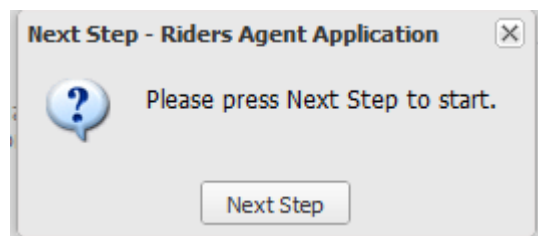
Complete the questions and then click "Start Application"

The screenshot shows a web form titled "Initial Questions" with a green header bar. The form contains eight numbered questions:

- 1 What is your First Name: [Text box with "John"]
- 2 What is your Last Name: [Text box with "Jones"]
- 3 Date of Birth: [Dropdown "07" - "02" - "1985"]
- 4 What is your Email Address: [Text box with "jjones@hotmail.com"]
- 5 Repeat Email Address: [Text box with "jjones@hotmail.com"]
- 6 Are you currently a Disqualified (including Forfeit List) or excluded person with the BHA or any other Recognised Racing Authority?  
☒ No
- 7 Have you read the Riders Agents' Guidance Notes?  
☒ Yes
- 8 Do you have a Rider you are intending to represent?  
☒ Yes

At the bottom right, there is a green checkmark icon and a button labeled "Start Application".

If you click Start Application you will be asked if you wish to take the next step which is the start of the main application form. Click Next Step



The entire application form will open in an "accordion" format. You will now need to complete the relevant sections of the form and most importantly the mandatory data fields that would previously have appeared on the paper application form.

The screenshot shows the "New Application (Riders' Agent)" form in an accordion format. The form has a green header bar with the title "New Application (Riders' Agent)". Below the header, there are three sections, each with a plus sign icon and a label:

- + Personal Details
- + General Questions
- + Declaration

At the bottom right, there is a "Submit" button. Below the form, there is a small link: "For details on how to contact the Licensing Team, [click here](#)".

## Application Form

### General comments about the Application Form

Mandatory fields are marked with a red \*

A post code look up is available for all address boxes. Key in the post code and click on the magnifying glass icon.

Any further or extra details you wish to submit can also be attached using the Other Box within the “Additional Documents” attachment form.

To add another file to any of the fields press “Attach File” as many times as necessary. The green cross allows you to delete off attachments.

Some documents have a link to a pro-forma version of the form, this can be completed electronically or on paper and attached to the form. Alternatively this could be emailed to [licensing@britishhorseracing.com](mailto:licensing@britishhorseracing.com),

### Personal Details

This is an example of the style of a typical personal details application section.

Personal Details

Surname: \*

Jones

Title: \*

Mr

Please enter if your title is not listed

All Previous Surnames:

Home Address: \*

3 Ridge Road  
Cheltenham  
Gloucestershire

Postcode: \*

gl15 4po

Home Telephone Number: \*

01654321

Full Name of Spouse/Partner (if applicable):

Jen Jones

Is it your first time applying for this licence? \*

Yes ☐

No ☒

Riders you will be representing (first time applicant only):

All Forenames: \*

John

Nationality: \*

British (GB & NI)

Date of Birth: \*

07/02/1985

Email Address: \*

jones@hotmail.com

Mobile Telephone Number: \*

0785643536

### General Questions

This is an example of the style of a typical General Questions section of an application section.

General Questions

Are you actively engaged as a Bookmaker or do you have any financial interest in any betting businesses including spread betting businesses, e.g. as a Shareholder or Director? \*

Yes ☐

No ☒

Are you engaged in any other profession, business or occupation other than that of a Jockey's Agent? \*

Yes ☐

No ☒

Are you or your spouse engaged in any form of equine business enterprise? \*

Yes ☐

No ☒

Please provide full details of previous employment in the horseracing industry including dates: \*

As previously provided on initial application

Have you previously been issued with any form of Licence or Permit by another Turf Authority? \*

Yes ☐

No ☒

Have you ever been made the subject of any proceedings of a criminal nature, been charged in connection with any alleged criminal offence or are aware of any circumstances which may lead to you being charged? \*

Yes ☐

No ☒

Have you or your spouse ever been warned off, refused any registration or included on a Forfeit List by any Turf Authority? \*

Yes ☐

No ☒

Have you ever been made the subject of any judgement debt or court award in Great Britain or elsewhere? \*

Yes ☐

No ☒

Have you ever been declared bankrupt, been the subject of an Individual Voluntary Arrangement or other statutory based composition with creditors alone? \*

Yes ☐

No ☒

When answering the “Please provide full details of previous employment” question, It is ok to refer us to details on a previously submitted application form



## Declaration

☐ Please tick here if you do not wish to receive such mailings.

☒ I have read and understood the Declaration and to the best of my knowledge and belief the foregoing particulars as completed are accurate and true. \*

☒ I agree to be bound in all respects by the BHA Rules of Racing in force from time to time. \*

Name of Person Completing Form: \*

Date:

Please read the entire declaration text. The Name of the Person Completing Form: must be the actual person who physically filled in and submitted the form.

## **Submit Application**

Click on Submit to submit your application, you will be alerted to any incomplete fields within the application by a red warning triangle on the accordion header. Complete the required field and click on submit. When your application is successfully submitted you will receive a system screen message and an email confirming your application retrieval details.

## **View My Application**

When you have submitted your application you can monitor the progress by logging into the View My Application page advised to you on screen and by email when you first saved or submitted.

Your application accordion (see below) will allow you to view your

Application Status – this section will display at what stage your application is currently at.

View and Confirm Outcome – this will display the outcome of your application when it becomes available.

Correspondences – this section will allow you to send a textual message to the licensing team and for the licensing team to send you a message. It also allows you to attach any more relevant documentation relating to this application.

All Accordion Sections – from your submitted application are available to view.

Application Status

Your application 86564181 was submitted on: 15/08/2013 16:59

The BHA has **not started** processing your application.

Application current status is: **Submitted**

View and Confirm Outcome

There is currently no outcome.

Correspondences

There are currently no messages.

To send a confidential message to the BHA Licensing Team, please enter a comment in the box below, and if necessary, attach any relevant files:

## Licensing Dashboard

Licence Holders will be emailed a Licensing system login shortly after their new licence or first renewal is issued.

On logging in the user will be taken to the inbox of their communications hub through which they can receive messages and announcements from BHA and Weatherbys.

The menu on the left hand side of the page will display an option for Licensing Dashboard, this will give you access to the licences and permits, active or applications that you currently have with BHA. The Licence Holder can view and change their licence details plus make new applications.

Holder	Type	Category	Status	Start Date	Expiry Date
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## My Licences Tab

The licence holder can see their current active licences their status, start and end dates. The licence holder can then select a licence to view, change, or renew.

## My Applications Tab

The licence holder can see their submitted applications their status and details. The licence holder can then select a licence application to view, change or cancel.

## Change Request

A licence holder can apply to make a change to the details of an active licence.

Select the active licence you wish to change from your licensing dashboard. Go into the accordion section you wish to change and click on REQUEST CHANGE. This allows you to maintain any part of the licence details during the period of the licence.

Make the change/changes and then click SAVE

A yellow warning symbol will appear at the top of the accordion to indicate that this section is awaiting change approval.

Finally the Licence Holder should submit changes by clicking the Submit Changes button at the bottom of the licence details accordion.

+

 Declaration

Submit Changes

The Licence Holder can review the changes made using the View Change History option at the bottom of each section. This displays the date and status of the change.

Change History:				
Change Date/Time	Changed by	Review Date/Time	Reviewed by	Status

## Correspondences

By selecting a licence in My Licences you can use the Correspondences function to communicate directly to the licensing team on any subject relating to that licence. Any messages sent to you by the licensing team will also be notified to you by email so you can view

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 Correspondences

From Customer: On 20/08/2013 12:08:58, Mr R. Tulip wrote:  
Dear Licensing Team , please be aware that I will be emailing you the information you requested next Thursday.

To send a confidential message to the BHA Licensing Team, please enter a comment in the box below, and if necessary, attach any relevant files: \*

X Attach File

Submit

## Conditions and Restrictions

By selecting a licence in My Licences you can open the Conditions and Restrictions section to view any conditions and restrictions relating to this licence.

- Conditions and/or Restrictions					
Description	Type	Review Date	Clear Date	Reason for Clearance	Actions
Other Condition	Condition	22/08/2013			View