

<b>POWERS</b>					
<i>rule num</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
1	i	a	F	11	Authorising fixture and transfer meetings
1		b	F	11	Authorising fixture and transfer meetings
1	ii	a	F	11	Authorising point to point fixtures
1		b	F	11	Authorising arabian fixtures
1	i, ii		A	9	General race admin powers
1	iii		A	88	Control of race advertising/ sponsorship
1	iv		A	101	Publication of information
1	v		Deleted		Publication of instructions
1	vi		A	6, 7, 12	General powers to act, guide, deal
1	vii		A	6, 12, 109	General powers as to Rules
1	viii		A	11	Main fee charging powers
1	ix		A	11	Additional fees
1	x		A	90	Function of controlling race numbers
1			F	83	Policy as to race elimination/ division
1	xi		F	83	Accepting etc declarations of riders
1	xii		A	23, 24, 25	Powers as to registration: general
1			E	8	Horse names: setting conditions for registration
1				29, 61, 73, 80	Owners: powers to register, refuse, cancel
1	xiii		F	83	Accepting etc declarations to run
1	xiv		A	102, 103	Delegation of powers to employees

## PART 1A- Powers (2)

POWERS OF HRA					
Old rule number	Subrule	Para	New Manual	New rule number	Description
1A	i		A	13, 24	Powers to grant racecourse licences
			F	13, 15	Powers to grant racecourse licences
1A	ii		A	13, 24	Powers to refuse racecourse licences
			F	14	Powers to refuse racecourse licences
1A	iii		A	12	Powers to abandon meetings
			F	15	
1A	iv	a	A	96	Point to point regulations
		b	A	95	Arabian horse racing regulations
		c	F	18	Approving equine events
1A	v	a	A	13, 14, 15, 16, 23, 24	Licences and permits; riders, valets etc
		a	C	General	Licences and permits; trainers
		a	D	General	Licences and permits; riders, valets etc
		b	C	9	Temporary trainer licences
		c	A	97	Power to approve equine swimming pools
1A	vii		A	94	Authorised agents
1A	viii		A	7, 44, 52	Power to make enquiries
1A	ix		A	7	Review Judges. Clerk of Scales' decisions
1A	ix	a	B	63	Power to review decisions of judges
	ix	b	F	54	Power to review decisions of Clerk of Scales
1A	x		A	7, 80	Oversight of Stewards' decisions
1A	xi		A	7	Deciding other objections made to Authority
			B	74	Deciding other objections made to Authority
1A	xvi		A	93, Schedule 8	Approving RRA's
	xvii		F	19	Approving all weather tracks
1A	xviii		A	12	Power to refuse race entries
			F	66	Ditto
			F	83	Ditto
1A	xx		A	73	Power to suspend horse from racing
1A	xxi		A	48	Power to inspect premises
1A	xxii		A	91	Power to prohibit use of equipment
1A	xxiii		B	17	Correcting Stewards' decisions
1A	xxiv		A	92	Power to require stalls tests
1A	xxv		A	65	Power to prohibit overseas rider from riding
2	i		A	2	Disciplinary penalties for rule contravention
2	i		A	52, 53	Disciplinary penalties for rule contravention
		a	A	55	Fines: contraventions
		b	A	58	Disqualified person: contraventions

POWERS OF HRA					
Old rule number	Subrule	Para	New Manual	New rule number	Description
		c	A	56	Withdraw or suspend licence/ permit: contraventions
		d	A	57	Ineligibility for licence/ permit/ registration: contraventions
		e	A	54	Cautions: contraventions
		f	A	60	Riders to go to training centre: contraventions
		g	A	59	Imposition of restrictions applying to trainers: contraventions
2	ii		A	74, 75 (ground 1)	Power to disqualify horse after penalty for rule contravention
2	iii		A	61, 62, 75	Suspended rider and horse: suspension at racecourse X to apply to all racecourses
2	iv	a	A	63	Withdraw or suspend licence/ permit: interests of racing etc
		b	A	72	Supplementary directions after licence/ permit suspended/ withdrawn
		c	A	58	Directions as to permission for racing stable employment
2	v		A	64	Exclusion orders: general powers
2	vi	a	A	46	Power to determine procedure at enquiries
		b	A	46	Payment of enquiry costs
		c	A	46	Payment of costs of enquiry adjournment
2	vii		A	83	Power to provide for appeals to Appeal Board
2	viii	a + b 2(part)	A	85(1), 86	Certain decision subject to appeal to have immediate effect
			A	85(2) to (4)	Other decisions to be delayed
2	ix		F	16	Authorising imposing of fixed penalties by inspectors of courses
3	i		A	47	Video recordings etc
			B	18	Power to quash stewards' decisions
3	ii		B	18	Power to extend stewards' suspension on appeal or during enquiry
3	iii		B	18	Varying Stewards' decision to disqualify horse/ alter placings on reference from Stewards
6			A	2, 45, 77	Duty to attend enquiries and appeals (including persons no longer subject to rules)
7			A	103	Right of person affected by decision on employee to refer matter to Authority

## PART 1B - Stewards

STEWARDS OF MEETINGS						
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>Part/Chapter</i>	<i>New rule number</i>	<i>Description</i>
10	i		B	1 (stewards)	1, 2,	Approval of Stewards/ Chairman
	ii		B	1 (stewards)	2	Stipendiary stewards
	iii		B	1 (stewards)	2	Stipendiary stewards
12			B	1 (stewards)	5	Access to stands etc
14	i		B	1 (stewards)	4	General functions
	ii		B	1 (stewards)	9	Abandonments
	iii		B	1 (stewards)	9	Leave out obstacles
	iv		B	1 (stewards)	11	Enquiries
	v		B	1 (stewards)	6	Horses
	vi		B	1 (stewards)	6	Horses; sampling
			C	4 (prohibited substances)	56	Horses; sampling
	vii		B	1 (stewards)	6	Horses
	viii		B	1 (stewards)	11	Enquiries
	ix		B	1 (stewards)	11	Enquiries
	x		B	1 (stewards)	7	Equipment
	xi		B	1 (stewards)	8	Riders
	xii		B	1 (stewards)	7	Equipment
	xiii		B	1 (stewards)	10	Race
	xiv		B	1 (stewards)	10	Race
	xv		B	1 (stewards)	6	Horses
	xvi		B	1 (stewards)	11	Enquiries
	xvii		B	1 (stewards)	8	Riders
	xviii		B	1 (stewards)	10	Race
	xix		B	1 (stewards)	7	Equipment
	xx		B	1 (stewards)	8	Riders
	xxi		B	1 (stewards)	6	Horses
	xxii		B	1 (stewards)	6	Horses
15	i		B	1 (stewards)	12, 13	Disciplinary action
	ii		B	1 (stewards)	16	Referrals to Authority
	iii		B	1 (stewards)	16	Referrals to Authority
	iv		B	1 (stewards)	16	Referrals to Authority
17			B	1 (stewards)	15	Suspension of horses
18			B	7 (disputes)	71	Resolution of disputes as to bets

## PART 2- OFFICIALS

OFFICIALS					
<i><b>Id rule number</b></i>	<i><b>Subrule</b></i>	<i><b>Para</b></i>	<i><b>New Manual</b></i>	<i><b>New rule number</b></i>	<i><b>Description</b></i>
20			A	10	Appointing Officials
21	i		B	4	Stewards power to appoint substitute officials
	ii		B	86	Complaints against officials
23	i		B	22	Weighing out in accordance with these Rules
	ii		B	26	Info as to changes from race card
	iii		B	26	Info as to changes sanctioned by Stewards
	iv		B	26	Info as to horse withdrawals
	v		B	67	Requirement to weigh in
	vi		B	79	Info as to objections/ enquiries
	vii		B	69	Clerk of Scales reports
	viii		B	69	Clerk of Scales reports
	ix		B	22	Not weighing out when sums due to stakeholder
	x		B	84	Clerk of Scales power to grant access to weighing room
24		1	F	132	Making handicap
		2	F	133	Publication and application of rating
		3	F	134	Publication of weights
		4	F	134	Alteration of weights
		5	F	134	Alteration of weights
25	i		F	16	Inspector of courses
	ii		F	16	
	iii		F	16	
	iv		F	16	
26	i		B	60	Judge to determine result
	ii		B	60	Horse not placed if passes post after judge leaves box
	iii		B	61, 62	Announcement of decision
	iv		B	63	Correction by Authority; electronic image evidence
	v		B	70	Judge's reports
27	i		F	107	Stakeholder
	ii		F	107	Payment to be made in cash: ownership of prize money pool
	iii		F	129, 130	Stakeholder to credit stakes etc due, including exemptions
			C	63	
	iv		F	114	Payments by racecourse managing exec
	v		F	129	Stakeholder to credit appearance money due
28	i				Not reproduced as imposes obligation on starter
	ii		B	33, 36	Getting to the Start
	iii		B	34	Rider under Starter's control
			D	44	
	iv		B	32, Schedule 5	Starting procedure
	v		B	36	Flat race positions
	vi		B	32, 37, Schedule 5	Starting time, starting procedure (gate)

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OFFICIALS					
<i><b>Id rule number</b></i>	<i><b>Subrule</b></i>	<i><b>Para</b></i>	<i><b>New Manual</b></i>	<i><b>New rule number</b></i>	<i><b>Description</b></i>
	vii		B	32, Schedule 5	Starting time, starting procedure (gate)
	viii		B	32, Schedule 5	
	ix		B	36, 37	Who may start race, when race is started
	x		B	35, 36	Withdrawals
	xi		B	42	Reports as to rider misconduct
			D	44	Rider not to engage in misconduct
	xii	a	B	38	False starts: faulty gate
		b	B	38	False starts: flag raised without starter's order
		c	B	39	False starts: one rider only returning after recall
		d	B	39	False starts: one rider only returning after recall
		e	B	39	False starts; rule breach
		f	B	40	False starts: flag not raised after false start called
		g	B	39	False start: starter's decision final
	xiii		B	41	Starter's reports
	xiv		B	44	Effect of Starter's report

<b>HORSES</b>					
<b>rule number</b>	<b>Subrule</b>	<b>Para</b>	<b>New Manual</b>	<b>New rule number</b>	<b>Description</b>
30			E	25	Reckoning the age of a horse
31			A	20	Requirement to register horse names
31	i		E	3,4,	Registration of names
	ii		E	4, 8	Information as to sex, age etc
	iii	1	E	5, 8	Supporting documents for GB foaled horses
	iv		E	6,7,8	Supporting documents for horses foaled elsewhere
	v		E	5	Circumstances when age and marking certificate required
	vi		E	7	Inconsistency between certificate and Stud book/ DNA test
	vii		E	3, 4, 8,9,	Registered name to be name of horse under the rules, conditions to be met for registration
	viii		E	Schedule 1, para 4	Numerals added to registered name
	ix	a	E	9	Letter code on register for horse foaled elsewhere
		b	E		not reproduced - pre 1987 horses
	x		E	11,12	Reserving horse name
	xi		E	10	Changing horse name
	xii		E	10	Changing horse name
	xiii		E	Schedule 1, para 5	Simultaneous claiming of name
	xiv		E	8	Horse to produce of natural service/ covering/ gestation
			A	8, 19 to 25	Authority's general power to register/ refuse
	xv		E	9	Publication on Racing Admin Internet Site
	xvi		E	3, 7, 12	Fees for names
	xvii		E	8	Authority's general power to refuse/ cancel
			A	8, 19 to 25	Authority's general power to refuse/ cancel
	xviii		A	8, 19 to 25	Authority's general power to cancel registration
32	i	a,b	E	13, 14	Requirement to have passports
		c	E	13	Passport returnable on demand
	ii		C	24	Trainer duty to ensure passport at racecourse
	iii		E	14, 22	Fees for passports
33	i		E	2, 15, 16	ID checks/ export certificate
	ii		E	15	Horse not qualified to run if ID checks not complete
	iii		E	17	Export certificate where horse imported to GB
	iv		E	16, 17	Non-GB horse run on passport for 90 days only
	v		A	106	Electronic notification
			E	93	Electronic notification
34			B	Schedule 5	Right to examine microchip on racecourse
35			E	18, 19	Vaccination against equine influenza

<b>HORSES</b>					
<i>rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
36	i	a	E	18	Enforcement of vaccination requirements
			C	24	Trainer: passport to show up date vaccination
		b	E	19	Discipline: failure to complete vaccination section of passport
			C	24	Trainer: passport to show up date vaccination
		c	E	13	Discipline: no passport on racecourse property
			C	24	Trainer to ensure passport available for inspection
		d	E	15, 19	Discipline: ID checks on racecourse property
			C	24	Trainer: other documents for ID check available
	ii		E	19	Vaccination section of passport: no alterations
	iii		B	13	Have regard to non-runner penalty under 144(i)
37			A	106	Electronic notification
38	i		E	20, 24	Racing clearance notification etc
	ii		E	22, 23	Passport endorsement
	iii		E	24	RCN for horses trained outside GB
39			E	26	Registration of non-racing agreement



## PART 4 - Owners

<b>Old rule number</b>	<b>Subrule</b>	<b>New Manual</b>	<b>OWNERS New rule number</b>	<b>Description</b>
40	i	E	29	Register of owners
		A	19, 21	Requirement to register names of owners
	ii	E	29	Effective date of registration
	iii	E	30, 73, 80	Financial arrangements and other conditions
	iv	E	33	Cancellation of registration if disqualified etc
	v	E	33	Delay on re-registration
	vi	E	31, 37, 43, 50, 58	Horse disqualified if run under assumed name
		A	74 ground 6	Horse disqualified if run in other than required name
	vii	E	31	Use of pen names etc for individuals
	viii	E	31	Running horse after death of individual owner
	ix	E	33	Registration to lapse if no horse in training for 24 months
41	i	E	29	Recognised clubs
	ii	E	53	Registration of part of club
	iii	E	29, 53	Power to approve/ refuse registration: accompanying docs
	iv	E	57	Cancellation of registration
	v	E	56	Notifying the Authority of changes to rules etc
	vi	E	57	Cancellation of registration
	vii	E	59	Registration of units of HM armed forces
42	i	E	53, 55	Entering under name of club; requirement for trustees
	ii	E	58	Ensuring horse under name of club
	iii	E	55	Trustees treated as joint owners
	iv	E	55	Authority does not recognise intra-club disputes
	v	E	55	Club members have no general privileges of ownership
43	i	E	34,38	Recognised stud companies:registraion
	ii	E	36, 38	Recognised stud companies: role of nominees
44	i	E	39	Recognised companies
	ii	E	28	Definition of company
	iii	E	29	Application on prescribed form
	iv	E	29, 39	Approval of application, accompanying documents
	v	E	29	Power to impose restrictions on registration
	vi	E	45	Registration void on company ceasing to be recognised
	vii	E	44	Notifiatiion of changes of director etc
	viii	E	45	Cancellation of registration of recognised company
45	i	E	41	Requirement to have a registered agent
	ii	E	41	Appointment and registration of agent
	iii	E	41	Power to refuse to register agent
	iv	E	42	Sub-agents
	v	E	41	Horse to be entered by registered agent
	vi	E	46	Cancellation of registration of agent
	vii	E	46	Cancellation of registration of agent

## PART 4 - Owners

<b>Old rule number</b>	<b>Subrule</b>	<b>New Manual</b>	<b>OWNERS New rule number</b>	<b>Description</b>
	viii	E	41	Fee for registration of agent
47A	i	E	52	Power to cancel registration of recognised business partnerships
	ii	E	29	Application on prescribed form
	iii	E	29	Application on prescribed form
	iv	E	29	Power to approve/ refuse registration
	v	E	47	Application to be signed by no more than 4 business partners
	vii	E	49	Liabilities of business partners
	viii	E	47, 50, 51	Deciding name for running horse at application
		E	32	Business partner: no need to register as sole owner
	ix	E	49	Horse to be entered by business partner or agent
	x	E	51	Notifying the Authority of resignation of business partner
	xi	E	49	Business partner treated as joint owner
	xii	E	52	Cancellation of registration
47B	Opening	E	67, 68, 73, 75, 76, 80	Joint owners, lessees to be registered and limited in number
	i	E	67, 74	Joint ownership: automatic registration on receipt of documents
	ii	E	68, 74, 76	Application requirements
	iii	E	73, 80	Power to cancel registration
	iv	E	68	Application requirements
	v	E	75, 76	Lease etc: automatic registration on receipt of documents
	vi	E	67,	No entries unless joint ownership/ lease registered
	vii	A	74 ground 7	Disq of horse: non-registration of certain ownership arrangements
	viii	E	75	Publication on Racing Administration Internet
	ix	E	73	Termination/ changes in joint ownership
	x	E	70, 77	Annual renewal on payment of fee
	xi	E	73	Cancellation of registration if joint owner/ lessee becomes disqualified
	xii	E	72	Horse subject o joint ownership to run in name of any joint owner
	xiii	E	71	Register of joint ownership names
	xiv	E	71	Fees for registration of joint ownership name
47C	i	E	66	Racing partnerships: cancellation
	ii	E	61	Application on prescribed form
	iii	E	61	Application on prescribed form
	iv	E	61	Power to approve/ refuse registration
	v	E	61	Limits as to size, requirement for nominated partners etc
	vi	E	65	Notifying the Authority of changes in partnership, etc
	vii	E	64	Fees for changes to partnership name
	viii	E	63	Liability of nominated partners
	ix	E	61, 64	Horses to be run in name of racing partnership
	x	E	63	Horses to be entered by nominated partners
	xi	E	63	Nominated partners treated as joint owners

## PART 4 - Owners

<b>OWNERS</b>				
<b>Old rule number</b>	<b>Subrule</b>	<b>New Manual</b>	<b>New rule number</b>	<b>Description</b>
	xii	E	66	Cancellation of registration
	xiii	E	66	Requirement to maintain interest in every horse in partnership
48	i	E	82, 85	Racing colours: requirement to register
	ii	E	85	Disputes as to colours to be settled by Authority : applicatino procdure etc
	iii	E	85	Procedure and fees
	iv	E	82	Power to cancel registration of colours
	v	E	82	Failing to run horse in registered colours: colours registered with RTA
	vi	E	82	Multiple runners, alternative colours, penalty for failure to carry colours
	vii	E	85	Fees for registration
	viii	E	82	First colours
49	i	E	90	Annual registration of authority to act
	ii	E	90	Requirements as to appointment of agent
	iii	E	90	Appointment of sub-agents
	iv	D	77	Requirements for appointing rider's agent to particular rider
	v	D	77	Requirements for appointing rider's agent to particular rider
	vi	E	90	Fees and procedure
	vii	E	90	Power to cancel

HORSES				
<i>Old rule number</i>	<i>Subrule</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
50	i	C	1	Persons treated as trainer for hunters' steeple chase etc
		C	3, 4,	Different kinds of licence
		A	14, 23, 24	Power to issue etc
	ii	C	8	Fees
	iii	C	39	Identity cards for trainers
	iv	C	14	Trainer's representative
51	i	C	22, 27	Duties of care and skill
	ii	C	30 Schedule 9	Reporting communicable diseases
	iii	C	25	Trainers to ensure protective clothing worn
52	i	C	rule 20, Schedule 4	Owner/ trainer agreement
		E	88, Schedule 4	Owner/ trainer agreement
	ii	C	rule 20, Schedule 4	Owner/ trainer agreement
		E	88, Schedule 4	Owner/ trainer agreement
	iii	C	rule 20, Schedule 4	Owner/ trainer agreement
		E	88, Schedule 4	Owner/ trainer agreement
	iv	C	rule 20, Schedule 4	Owner/ trainer agreement
		E	88, Schedule 4	Owner/ trainer agreement
	v	C	rule 20, Schedule 4	Owner/ trainer agreement
	vi	C	rule 20, Schedule 4	Owner/ trainer agreement
		E	88, Schedule 4	Owner/ trainer agreement
53	i	C	50, 53	Exam by stewards order: conseq for trainer of positive test for prohibited substances
	ii	C	52	All prohibited substances
	iii	C	60	Evidence for reporting of samples
	iv	C	54, Schedule 6	Exam following starting stalls test: conseq for trainer of positive test for prohibited substances
	v	C	52, 54, Schedule 6	Prohibited substances within para 5 of I C1
54	i	C	Schedule 2	Employment to be made only after receipt of reference
	ii	C	Schedule 2	Register of stable employee names
		A	22	Duty of Authority to maintain register of stable employees
	iii	C	40	Identity cards for stable employees
	iv	C	40	Procedure when stable employee unable to produce ID cards
	v	C	Schedule 2	Termination of employment of stable employee
	vi	C	15	Stable employee return
	vii	C	40	Fees in respect of stable employee ID cards
55	i	C	Schedule 2	Stable employees pensions

HORSES				
<i>Old rule number</i>	<i>Subrule</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
	ii	C	Schedule 2	Accident insurance for stable employees
	iii	C	Schedule 2	Stable employee pensions
56		C	7	Disqualification - 14 day grace period where on forfeit list
57		C	29	Responsibility when horse visits equine swimming pool
58		C	12	Check horse identity
59	i	C	16	Horses in trainer's care
	ii	C	18	Info as to horse arriving from outside UK
	iii	C	19	Info as to horse racing outside UK
	iv	C	17	Information as to gelding

<b>RIDERS</b>				
<b>Old rule number</b>	<b>Subrule</b>	<b>New Manual</b>	<b>New rule number</b>	<b>Description</b>
60		A	13, 15, 24	Requirement for licence for jockeys
		D	1	
	i	D	3,5,6,12	Flat race jockeys
	ii	D	3,5,6,12	Jump race jockeys
	iii	D	3,8,10,11,12	Apprentice jockeys
		C	15	Trainer to notify Authority of termination of flat race apprentice jockey's agreements
	iv	D	3,9,10,11,12	Conditional jockeys
		C	15	Trainer to notify Authority of termination of conditional jockeys agreements'
	v	D	16, 18, 20	Category A amateur rider permits
	vi	D	16, 18, 20	Category B amateur rider permits
61		A	15, 23, 24	Restriction on riding without licence etc
61	i	D	27	Rider's authorised by RRAs
	ii	D	27	Requirements to be met if racing
	iii	D	27	Authority power to prevent rider racing
	iv	D	27	Offence to rider
62	i	D	19	Persons not eligible for amateur rider permits
	ii	D	14, 29	Restrictions on owning horses entered to race
	iii	D	62	Requirement to submit to medical examination
63		D	4, 17	Fees payable for application for licence/ permit
64		D	23	Medical record books for amateur riders
65		A	74, ground 2	Disqualification of horse where rider unlicensed, disqualified, suspended or unfit
66	i	C	65	Restrictions as to racing by trainer with rider's licence
	ii	A	56, 61	Rider suspended under Authority's Rules
		D	7,11,21,	Rider suspended under Authority's Rules
	iii	A	69, 70	Rider suspended by RRA or under rules of racing
	iv	D	51	Rider subject to declaration of unfitness to ride
	v	A	15, 24, 56	Rider disqualified - licence/ permit revoked
		D	7,11, 21	
	vi (a)	D	61	Duty to submit to medical examination and comply with procedures
		A	2	Persons remaining subject to rules for investigation
	vi(b)	D	59, 61	Effect of departure from protocol
	vii	D	65	Positive test for banned substance- Pt 1, App P
	viii	D	67	Positive test for banned substance- Pt 2, App P
	x	D	63, 64	Notifiable medications

## PART 6 - Riders

<b>RIDERS</b>				
<b>Old rule number</b>	<b>Subrule</b>	<b>New Manual</b>	<b>New rule number</b>	<b>Description</b>
	xi	D	66	Positive test for alcohol on second breath test
		B	12	Power of Stewards to suspend rider
67		A	17	Requirement for rider's agents to be licensed etc
67		D	68, 69, 70, 71, 72, 73	Authorised rider's agents
68		D	17	Amateur riders to contribute to insurance scheme
69		A	16	Requirement fo valets to be licensed etc
69	i	D	68, 69, 70, 73	Licences/permits master valets and assistants
	ii	D	Schedule 6	Attendance allowances for valets and assistants
	iii	D	72	Revocation of licence/ permit on disqulaification
	iv	D	70	Publication of persons granted licences/ permits

PART 7 - Rider fees and expenses

<b>RIDERS FEES AND EXPENSES</b>					
<i><b>Old rule number</b></i>	<i><b>Subrule</b></i>	<i><b>New Manual</b></i>	<i><b>New rule number</b></i>	<i><b>Para</b></i>	<i><b>Description</b></i>
70		D	rule 80, Schedule 6	1	Flat race fees: jockeys
71		D	rule 80, Schedule 6	3	Jump race fees: jockeys
72		D	rule 80, Schedule 6	3	Jump race fees: amateur riders
73	a	D	rule 80, Schedule 6	5, 7	When fee is payable
	b	D	rule 80, Schedule 6	5	No fee where rider guilty of dangerous riding
74		D	rule 80, Schedule 6	6	Insurance scheme payments by owner
75		D	rule 80, Schedule 6	2	Riders by apprentices; payment to training
76		D	rule 80, Schedule 6	4	Riders by conditional; payment to training



Part 8 - Racecourses and meetings

<b>RACECOURSE AND MEETINGS</b>					
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
80	i		A	18	Requirement for racecourses to be licenced
			F	13	Licence requirements
	ii	a	F	15	Duties of Racecourse Managing Executive
			A	12	Power to issue general instructions
		b	F	15	Duties of Racecourse Managing Executive
		c	F	15	
		d	F	15	
		e	F	15	
		f	F	15	
		g	F	15	
	iii		F	15	Emergencies
	iv		F	15	Stop Race Procedure (new provision)
80	v	a	F	15	Abandonments
		b	F	15	Leave out obstacles
81			A	17	Authorised meetings to be at licensed racecourse
82			F	17	Submission of racecourse statement of accounts

Part 9 - Programmes, handicaps, selling and claiming races

PROGRAMMES, HANDICAPS, SELLING/CLAIMING RACES						
Old rule number	Subrule	Para	Sub-para	New Manual	New rule number	Description
90	i			F	22	Publication of race conditions
	ii			F	23	Races with fewer than 5 entries
	iii			F	20	Content of race conditions
	iv			F	20	Restrictions on prizes
	v			F	22	Corrections to race conditions
FLAT RACES						
91	i			F	29	Restrictions on running
	ii	1		F	29	Restrictions re 2 year olds
		2		F	29	Restrictions re southern hemisphere 3 year olds
	iii	a		F	26	Programmes: minimum distance
		b		F	26	Programmes: 2 day meetings
		c	1	F	26	Programmes: total prize fund
			2	F	26	Programmes: 6/7 races - division
			3	F	27	Programmes: maximum number of races
			4	F	28	Programmes: division at evening meeting
			5	F	28	Programmes: races permitted to divide (B1)
			6	F	28	Programmes: all weather track division
		d		F	26	Programmes: maiden/ novice race open to 2/3 year olds
		e		F	21	Conditions: stables and riders allowances
	iv			F	29	Minimum carrying weight
CLASSIFIED STAKES/ RATING RELATED MAIDENS						
	v	a		F	30	Minimum experience
		b		F	30	Exception to (a)
		c		F	30	Exception to (a)
		d		F	30	Exception to (a)
		e		F	33	Certain races not to count
		f		F	33	Insufficient info for handicap rating
	vi			F	8	Race classification
JUMP ETC RACES						
92	i	a		F	41	Restrictions on running
		b		F	41	Programmes: minimum distance
	ii	a		F	41	Hunters' steeple chase: restrictions
92		b		F	41	Hunters' steeple chase: restrictions
	iii	a		F	21	National hunt flat race: weight for age race
		b		F	41	National hunt flat race: authorised trainers
		c		F	21	National hunt flat race: conditions as to riders
		d		F	21	National hunt flat race: previous experience
	iv	a		F	38	Programmes: one steeple chase
		b		F	38	Programmes: 2 day meetings

PROGRAMMES, HANDICAPS, SELLING/CLAIMING RACES						
Old rule number	Subrule	Para	Sub-para	New Manual	New rule number	Description
		c		F	21	Conditions: stables and riders allowances
		d	1	F	38	Minimum number of races
			2	F	39	Programmes: 6 races - division
			3	F	39	Programmes: 7 races - no division
			4	F	39	Programmes: maximum number of races
			5	F	40	Programmes: division at evening meeting
			6	F	40	Programmes: races permitted to divide (B1)
	v			F	41	Minimum carrying weight
	vi			F	8	Race classification
93				F	24	MIXED MEETINGS: Cross-application of rules 91/92: maximum number of races
93A				F	24	Novelty etc races: approval of programme
93B				F	24	Novelty etc races: approval of arrangements
HANDICAP FLAT						
94	i	a		F	31	Previous experience
		b		F	31	Exceptions to (a)
		c		F	31	Exceptions to (a)
		d		F	31	Exceptions to (a)
		e		F	31	Exceptions to (a)
		f		F	31	Exceptions to (a)
		g		F	32	Previous experience: 2 year olds in nursery handicap
		h		F	33	Certain races not to count
		i		F	33	Insufficient info for handicap rating
	ii			F	34	Top/bottom weights in handicaps
	iii	a		F	35	Weight adjustment: declaration of forfeit
94		b		F	36	Weight adjustment: declaration of runners
		c		F	36	Addition of penalties
		d		F	36	Raising weights below lowest permitted
		e		F	36	Penalties calculated on adjusted weight
		f		F	36	Lowering to 9st 12lb
	iv			F	34	Horse rated below 46
HANDICAP JUMP ETC						
95	i			F	43	Top/bottom weights in jump handicaps
	ii	a		F	44	Weight adjustment: scratching deadline
		b		F	45	Weight adjustment: declaration of runners
		c		F	45	Top weight below highest permitted
		d		F	46	Certain horses disregarded (eg non-preferreds) for highest weight
		e		F	45	Adding penalties

PROGRAMMES, HANDICAPS, SELLING/CLAIMING RACES						
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>Sub-para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
		f		F	45	Weights below lowest permitted
		g		F	45	Penalties
	iii	a		F	42	Previous experience required
		b		F	42	Previous experience required: class 1, 2, 3
		c		F	42	Exceptions to (a)
		d		F	42	Exceptions to (a)
		e		F	42	Exceptions to (a)
		f		F	42	Exceptions to (a)
96	i			F	49	Minimum selling price
	ii			F	48	Winner to be offered for sale by auction
	iii			F	48	Dead heats
	iv			F	48	Walk overs
	v			F	48	Interference with bidding process
	vi			F	50	Post-sale requirements
	vii			F	50	Payment
	viii			F	48	Restriction on sale of non-winners
	ix			F	48	Auctioneer's instructions
	x			F	49	Race conditions: division of surplus
97	i			F	52	Maximum advertised claiming price
	ii			F	51, 52, 53	Horses that may be claimed: price
97	iii			F	54	Racecourse: requirements as to claim
	iv			F	55	RCO: requirements as to claim
	v			F	54	Racecourse: who may claim
	vi			F	54	Racecourse: Processing
	vii			F	56	Duplicate claims
	viii			F	53	More than one claim
	ix			F	52	Price subject to VAT
	x			F	57	Payment of price
	xi			F	57	Consequences of non-payment
	xii			F	59	Resale
	xiii			F	57	Honouring payment within 12 days
	xiv			F	53	Requirement to remain on racecourse
	xv			F	59	Restriction after successful claim
	xvi			F	53	Interference with claiming process
	xvii	a		F	53, 55	Stakeholder
		b		F	54	Clerk of the Scale decision final
	xviii			F	53	Entitlement to prize money
	xix			F	53	Authority's powers
	xx			F	51	Report to Authority for failure to comply/ consequences

PROGRAMMES, HANDICAPS, SELLING/CLAIMING RACES						
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>Sub-para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
	xxi			F	58	Intervention by Authority where non-payment
	xxii			F	58	Preservation of civil remedies
	xxiii			F	58	Authority's powers to require delivery up
98	i			F	64	Effect on sale of disqualification of horse
				A	74 ground 9	Disq of horse: no lessor consent to selling etc race
	ii			F	65	Objection/ appeal to Authority
	iii			F	65	Positive test for prohibited substance
	iv			F	63	Passport of sold horse to be lodged
	v			F	63	Sold horse subject to examination by order of Stewards
	vi			F	62	Terms of sale
	vii			F	64	Effect on sale where race void
99	i			F	61	Horse subject to lease
	ii			F	61	Horse subject to lease

Part 10 - Penalties, qualifications and allowances

PENALTIES, QUALIFICATIONS AND ALLOWANCES							
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Schedule</i>	<i>Para</i>	<i>Description</i>
100	i		F	137			The value of a race
	ii		F	137			The value of a race
	iii		F	136			Races to be taken into account
	iv		F	135	Sch 13 (penalties)	para 6	Penalty: races of greater value
101			F	138	Sch 14 (Exchange rates)		Exchange rates
102	i		C	38			Info as to past perf of non GB horse
	ii		C	38			Info as to past perf of non GB horse
102A			C		Not reproduced	Unnecessary	Enforcement of 102
103	i		F		Sch 13 (penalties)	para 1	Penalty: fixed sums
	ii		F		Sch 13 (penalties)	para 2, 3	Penalty: specific race class
	iii		F		Sch 13 (penalties)	para 4	Penalty: pattern/ listed races
	iv		F		Sch 13 (penalties)	para 5	Penalty: pattern/ listed races
104	i		F		Sch 13 (penalties)	para 7	Non-cumulative penalties
	ii		F		Sch 13 (penalties)	para 2	Penalty: specific race class
	iii		F		Sch 13 (penalties)	para 3	Penalty: specific race class
105	i		F		Sch 13 (penalties)	para 7	Penalty: apprentice jockeys
	ii		F		Sch 13 (penalties)	para 7	Penalty: conditional jockeys
106	i		F	137			Challenge cup not in race value
	ii		F		Sch 13 (penalties)	para 7	Penalty: exclusion of certain races
	iii		F		Sch 13 (penalties)	para 7	Penalty: exclusion of certain races
	iv		F		Sch 13 (penalties)	para 7	Penalty: exclusion of walk-overs
	v		F		Sch 13 (penalties)	para 7	Penalty: exclusion of non-winners
107	i		F	139			Horse allowances
	ii		F	139			Horse allowances
	iii		F	139			Horse allowances
	iv		F	139			Horse allowances
108			F	139			Horse allowances
109	i		F	140			Rider allowances: flat
109	ii	a	F	141			Rider allowances: jump professional
		b		142			Rider allowances: jump amateur
	iii		F	143			Rider allowances
	iv		F	143			Rider allowances
	v		F	143			Rider allowances
	vi		F	143			Rider allowances
	vii		F	143			Rider allowances

Part 11 - Entries and acceptances

ENTRIES, ACCEPTANCES AND TRANSFERS OF ENGAGEMENTS					
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
110			F	66	Entries/ transfer of engagements - subject to these rules
110A			F	66	Subject to Authority's general powers
110B			F	74	Closing of races
111	i		F	75, 76	Deadline for races closing more than 6 days before running
	ii		F	76	Deadline for other races
	iii		F	73	Races closing to other RRAs
	iv		F	75, 76	No entries accepted after deadline
	v		F	77	Exceptions to (iv)
112	i		F	67, 70, 71, 72	Requirements for making an entry
	ii		F	73	Entries to other to be in writing
	iii		F	70, 71	Owner to be registered
	iv		F	70, 71	Entries in name of one person etc, info to be given
	v		F	70	Owner to have equal beneficial interest
	vi		F	70	Joint ownership name to be used if one registered
	vii		F	70, 71, 80	No entry by disqualified person
113	i		F	69, Sch 5, para 2	Horse name must be registered
			B	Sch 2, para 2	
	ii		F	71, Sch 5, para 2	Horse trained overseas to be registered
			B	Sch 2, para 2	
	iii		F	69	Void entry if name incorrectly registered
	iv		F	Sch 5, para 3	GB horse to have microchip
	v		F	73	Requirements for entries closing to other
	vi		F	73	Entry Void entry if name incorrectly registered
	viii		F	70	Entry for overseas horse- info as to overseas performance
	ix		F	79	Pre-notification where horse first enters training in GB
	x		F	79	Pre-notification for certain handicaps: training overseas
113	xi		F	79	Pre-notification for certain jump handicaps
	xii		F	145	Email entries
	xiii		F	80	Handicap rating incorrect and horse ineligible for race
114	i		F	80	Application to acceptance for free handicap
	ii		F	80	Effect of death of person making entry
115	i		F	78	Correcting errors in entries
	ii		F	78	Horse accidentally entered when not qualified
116	i		F	81	Transfer of engagements

Part 11 - Entries and acceptances

ENTRIES, ACCEPTANCES AND TRANSFERS OF ENGAGEMENTS					
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
	ii		A	74 ground 8	Disq of horse for non-notification of transfer of engagements
			F	81	Ditto
117			F	82	Effect of scratching deadline
118			F	68	Racecourse not to charge for entry



Part 12 - Declarations

DECLARATIONS					
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
120	i		F	84	All races to deaclaration of runners
	ii		F	84, 87	Confirmation for 6 day closures
121	i		F	84	No scratching deadline for non-6 day closures
	ii		F	85	Scratching deadline
122	i		F	85	Making a scratching
	ii	a	F	86	Info to be given on scratchings
		b	F	86	Non-GB horses
123	i		F	95	6 day closures - notification of non-running before declaration of runners
	ii		F	95	Info to be given in such notification
	iii		F	95	non-GB horses - notification of non-running
	iv		F	101	Notification of death of horse
	v		F	95	Withdrawal of notification of non-running
124	i		F	87	6 day closures - confirmation of entry
	ii	a	F	89, 90	Declarations to run
		b	F	90	Extension of time
		c	F	90	Extension of time
	iii	a	F	88, 91	Info to be given for declarations, confirmations withdrawals
		b	F	88, 91	Info for non-GB horses
		c	F	86, 88, 91	Deadlines for scratching, declarations, confirmations
		d	F	86, 88, 91	Deadlines for scratching, declarations, confirmations
		e	F	95	Scratchings for certain races
125	i		F	102	Division of race where relevant limit exceeded
	ii		F	103	Procedure for division
	iii		F	103	
126			F	104	The draw
127			F	104, 105	Alterations after the draw
128	i - v		F	92	Declaration of rider
	vi		F	94	Restriction on riders' schedule
129	i-iii		F	93	Procedure for making/ withdrawing declaration of rider

Part 13 - Liability for stakes, forfeits etc

LIABILITY FOR STAKES, FORFEITS ETC					
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
130	i		F	108	Liability for stakes - scratching deadline
	ii		F	108	Liability for stakes - transfer of engagement
131	i		F	109	Liability for stakes - scratching deadline
	ii		F	109	Liability for stakes - transfer of engagement
132			F	112	Authority power to direct earlier payment
133	i		F	106	Fee for entry processing
	ii		F	112	Payment of stake money
	iii		F	113	Consequences of non-payment
	iv		F	106	Allocation of fee : equine health
	v		F	106	Allocation of fee : former racehorses
134	i		F	110	Cases where no stake payable
	ii		F	80	Void entry if horse does not meet handicap rating requirement
				110	Stake not payable if entry void
	iii		F	110	Waiver of fee on omission at dec forfeit stage
	iv		F	111	Liability for stake: abandoned division
	v		F	106, 110	Liability for stake: horse not qualified
135	i		A	87	Maintaining forfeit list
	ii		A	87	Maintaining forfeit list
137	i		A	66, 67	Disqualification where person on forfeit list
	ii		A	66, 67	Disqualification where person on forfeit list
	iii		A	66, 67	Disqualification where person on forfeit list
139			A	98	VAT

## PART 14 - Weighing out, non-runners, equipment

WEIGHING OUT, NON-RUNNERS EQUIPMENT					
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule/Sch number</i>	<i>Description</i>
140A			B	84, 85	Access to weighing room
140B			D	33, 74	Use of mobile phone in weighing room
141	i		B	22, 23, 24	Weighing out; declaration sheet signed
	ii		C	43	Trainer to ensure correct weight
	iii		B	25	Late change of rider
	iv		B	25	Late change of rider
	v		B	22	Weighing out
			D	41	Duty of rider to weigh out
	vi		B	4	Power to extend certain deadlines on raceday
			B	22	Deadline for rider to weigh out
	vii		D	40	Rider to consult race plan
142	i		D	42	Carrying over-weight - declaration
	ii		D	42	Items to go in scale
			B	67	Procedures for weighing in
	iii		D	42, 47	Items to go in scale
			B	67	Number cloth excluded if rider too heavy
	iv		B	22	Weight compensation for body protector: weighing out
			B	67	Weight compensation for body protector: weighing in
143			B	25	Late change of rider: illness
			D	43	Rider must ride horse for which weighed out
144	i		F	96, 97	Non-runners : fixed penalty
		a to d	F	97	Justified grounds for not running
		e	F	97	Owner liable to financial penalty
		f	F	96	Greater penalty in appropriate case
	ii		F	96	Restriction on double declarations
	ii		B	13	Have regard to penalty under 144(i)
	iii		F	98	Permissible double declarations
	v		F	98	Consequence of running at non-preferred meeting
	vi		F	96	Prohibition on racing twice
	viii		F	99	
	ix		F	99	
145	i		D	36	Duties as to Saddle
			C	44	Saddles - apprentice and conditional riders
	ii		C	36	Resp as to reins etc

## PART 14 - Weighing out, non-runners, equipment

WEIGHING OUT, NON-RUNNERS EQUIPMENT					
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule/Sch number</i>	<i>Description</i>
	iii		C	43	Resp to ensure proper saddling
	iv		D	38	Equipment failure after leaving parade ring
146	i		D	36	Rider to wear body protector
	ii		B	22	No weighing out without body protector
	iii		D	36	Resp for wearing skull cap/ body protector
	iv		C	25, 44	Resp for use of unserviceable skull cap
			D	36	Resp for use of unserviceable skull cap
	v		C	25	Resp for use of unserviceable skull cap
147	i	a	B	Schedule 4 (equipment)	Requirement to declare certain headgear
		b	B	Schedule 4 (equipment)	Requirement to declare certain headgear
			B	Schedule 4 (equipment)	Definitions
	ii	a	B	Schedule 4 (equipment)	Where declaration made
		b	B	Schedule 4 (equipment)	No declaration made
		c	B	Schedule 4 (equipment)	Where declaration made
		d	B	Schedule 4 (equipment)	Where declaration made
		e	B	Schedule 4 (equipment)	No declaration made
		f	B	Schedule 4 (equipment)	Declaration made in error
	iii		B	Schedule 4 (equipment)	Prohibition on certain head gear
148			B	Schedule 4 (equipment)	Requirements as to shoes
			C	36	Duty of trainer to as to shoes
149	i		D	38	Prohibition on spurs
	ii		D	rule 37, Schedule 2 (equipment)	Whips
			C	44	
	iii		B	Schedule 4 (equipment)	Number cloths must be worn
			C	43	Ensuring number cloth worn
	iv		C	37	Ensuring right horse runs

THE RACE ETC					
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
150	i	a	B	27	Saddling
		b	B	27	Entry into parade ring: horse & attendants
		c	B	28	Entry into parade ring: horse
		d	B	28	Entry into parade ring: persons
	ii		B	27	Provision of clean number clothes by Man Exec
	iii		B	28	Proceeding to parade ring
	iv		B	27, 28	Mounting
			B	33	Late at start
	v		B	27, 28	Mounting
	vi		B	29	After mounting
	vii		B	33	No preliminary jumping en route to start
151			B	65	Walk overs
152	i		B	46, 47	Remounting, removing saddle
	ii		B	52	Horse led over fence or hurdle
	iii		B	51	Requirement to ride correct course
	iv	a	B	49	Unsafe to jump: direction markers
		b	B	49	Longer lead in
		e	B	48	Yellow stop race flag
	v	a	B	49	Disq of horse
		b	B	49	Discipline of rider (iv)(a), (b)
	vii		B	47	Carrying insufficient weight
	viii		B	66	Void race: yellow stop race flag
153	i	a	B	53	Dangerous riding
		b	B	54, 55	Careless improper riding, accidental interference
			B	14	Power to alter placings on interference
	ii		B	54	Supplementary to (i)(b)
	iii		B	53, 54	Rider guilty of offence for dangerous, careless, improper riding
	iv		B	57	Assisting another horse: rider
	v	1	B	53	Meaning of dangerous riding
		2	B	54	Meaning of careless riding
		3	B	54	Meaning of improper riding
	vi		B	57	Assisting another horse: trainer
154			B	66	Void races
155	i			58	Horse to run on merits: rider

THE RACE ETC					
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
	ii		C	45	Trainer to instruct rider to run on merits
	iii		C	45	Deemed offence: intentional failure to run on merits
	iv		C	45	Trainer not to race for schooling etc purposes
	v		B	58, 59	Horse to run on merits: trainer, owner etc
156			B	59 (case 2)	Negligent failure to run on merits
157			B	59 (case 1)	Intentional failure to run on merits
158			B	59 (case 3)	Failure to take all reasonable measures
159			B	64	Dead heats
			F	120	Prizes for dead heats

## PART 16 - Weighing in

WEIGHING IN				
<i>Old rule number</i>	<i>Subrule</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
160	i	B	67	Weighing in procedure
		D	47	Requirement for riders to weigh in
	ii	B	67	Clerk of scales to weigh in riders
		D	46	Dismounting when judge's decision not announced
	iii	D	46	Rider dismounting before appointed place
	iv	B	67	Not weighing in
		B	14	Horse disq by Stewards for rider's failure to weigh in
161	i	B	67	Items to be included in scale
		D	47	Weighing in
	ii	B	67	Rider over weight
	iii	B	14	Horse disq by Stewards for underweight rider
			67	
	iv	A	74 (ground 5)	Horse disq by Authority for carrying less weight than it should
162	i	B	68	Announcement
	ii	B	68	Objections prior to weighing in announcement
	iii	B	68	No changes to board/ screen after announcement
	iv	D	47	Riders to remain around for period after announcement
		C		

<b>DISPUTES, OBJECTIONS AND APPEALS</b>				
<b>Old rule number</b>	<b>Subrule</b>	<b>New Manual</b>	<b>New rule number</b>	<b>Description</b>
170	i	B	71	No restriction on general powers of Authority or Stewards
	ii	B	75	Timing of objections to race distance
	iii	B	75	Timing of objections to Clerk of Scales
	iv	B	73, 75, 77	Grounds for making an objection to Stewards
	v	B	76	Objections made on other grounds: Authority
	vi	B	76, 77	No time limit in cases of fraud etc
	vii	B	77	Objections to Authority: overlapping grounds
171	i	B	72, 74, 75, 76	Persons who may object: procedure: withdrawal
	ii	B	72	Objections by Clerk of Course or officials
	iii	B	11	Stewards consideration
	iv	B	73	Stewards' consent to withdrawal of objection
172	i	B	74	Authority to determine objection on other grounds
	ii	Not reproduced in so far as re internal		Time limit on Stewards' decision, negligence etc
		B	73	Objections to Stewards: 3 stewards
173		A	73	No disqualification for error on entry if financial penalty suitable
		B	14	No disqualification for error on entry if financial penalty suitable
174		B	78	Consequences for prizes, stakes etc
175		B	78	Arrangements pending determination of objection
176		A	76	Appeals to Authority
177	i	A	78	Time for appeal
	ii	A	81	Delay pending appeal on disqualification of horse for future races
178	i	A	78	Procedure on appeal
	ii	A	78	Option to decide on written evidence
	iii	A	79	Procedure for appeal on written evidence
	iv	A	80	Authority to determine appeal
	v	A	80	Powers on determination
	vi	A	82	Implementation after appeal of suspension of rider
	vii	A	81	Implementation after appeal of disqualification of horse for future races
179		A	80	Costs on appeal to Authority



DISQUALIFICATION OF HORSES				
<i>Old rule number</i>	<i>Subrule</i>	<i>New Manual</i>	<i>New rule/Sch number</i>	<i>Description</i>
180	i	A	74 (ground 1), 75 (ground 2)	Fraudulent practice
	ii	A	74 (ground 3), 75 (ground 3)	Testing positive for prohibited substance
	iii	A	75 (ground 5)	Racecourse sampling outside sampling unit
	iv	A	74	Positive sample; prize money consequences
181	i	B	Schedule 2, para 13	Conditions for horse to be entered for race
			Schedule 3, para 1	Meet entry conditions to run
	ii	B	Schedule 2, para 8	Not owned by disq person
	iii	B	Schedule 2, para 9	Not trained by disq person
	iv	B	Schedule 2, para 3	Identifying microchip
	v	B	Schedule 2, para 4, 10	Catch all - other requirements
	vi	B	Schedule 2, para 11	Horse not disq
	vii	B	Schedule 2, para 5, 6	Registered ownership
	viii	B	Schedule 2, para 7	Recog co with registered agent
	ix	B	Schedule 2, para 1	Natural service
	x	B	Schedule 2, para 2	Name change
182	i	B	Schedule 3, para 2	Horse must be entered to run in race
		B	Schedule 3, para 3	Horse must be confirmed
	ii	B	Schedule 3, para 4	Horse must be declared to run
	iii	B	Schedule 3, para 7	Feed and water only on raceday
	v	B	Schedule 3, para 8	Implants
	vi	B	Schedule 3, para 9	Equine swimming pools
	vii	B	Schedule 3, para 10	Vaccinations
	viii	B	Schedule 3, para 10	Vaccinations
	ix	B	Schedule 3, para 5	I D checks
	x	B	Schedule 3, para 11	Neurectomy
	xi	B	Schedule 3, para 12	rider weighed out
	xii	B	Schedule 3, para 13	Short disq for self-certified non-runner
	xiii	B	Schedule 3, para 14	Same day racing
	xiv	B	Schedule 3, para 5	Failure to produce docs for ID check
		E	15(2)	Self certification for routine check
	xv	B	Schedule 3, para 15	Bood transfusion
	xvi	B	Schedule 3, para 20	90 day limit for non-GB horse
		B	Schedule 3, para 21	Supervision by trainer for non-GB horse
		E	24	Requirement for RCN/ passport endorsement
	xvii	B	Schedule 3, para 6	Not tubed on all weather track
	xviii	B	Schedule 3, para 17	Not disq by Stewards
	xix	B	Schedule 3, para 16	120 days pregnant
	xx	B	Schedule 3, para 18	Not otherwise disq
	xxi	B	Schedule 3, para 19	ID for non-GB horse

PART 18 - Disqualification of horses

183		A	74 (ground 1)	Disq by Auth for failure to comply: race already run
184		B	Schedule 3, para 22	Flat races
		B	Schedule 3, para 23	Jump races
185		A	74, ground 4	Disq by for failure to comply with 184
186		B	Schedule 3, para 24, 25, 27	Hunter's steeple chase
187		B	Schedule 3, para 24, 26	Hunter's steeple chase
188		C	37	Trainer responsible for declaring qualified horse
189		B	Schedule 2, para 12	Disq horse: additional restriction for flat races

Part 19 - Distribution of prizes

<b>DISTRIBUTION OF PRIZES</b>					
<i><b>Old rule number</b></i>	<i><b>Subrule</b></i>	<i><b>Para</b></i>	<i><b>New Manual</b></i>	<i><b>New rule number</b></i>	<i><b>Description</b></i>
191	i		F	115, 117	Money to be distributed: sweepstakes
	ii		F	117	Money to be distributed: guaranteed sweepstakes
	iii		F	117	Money to be distributed: total prize fund race
	iv		F	116	Trophies returnable for cash
192	a		F	122	More prizes/ finishers
	b		F	121	More prizes/ runners
193			F	116	Trophies
194			F	118, Schedule 9	Distribution (incl app W)
195			F	119	Money payable to stables
196	i		A	89	Running Breeders' prize scheme
	i		F	123, 124, 127	Breeders' prizes: registration
	ii		F	124	Application re horse
	iii	a	F	124	Exported horse eligible in certain circs
		b	F	124	Exported horse eligible in certain circs
	iv	a	F	128	Succeeding to business or recorded breeder
		b	F	128	Succeeding to business or recorded breeder
		c	F	128	Succeeding to business or recorded breeder
		d	F	128	Succeeding to business or recorded breeder
		e	F	128	Succeeding to business or recorded breeder
		f	F	128	Succeeding to business or recorded breeder
	v	a	F	125	Restriction on eligibility
		b	F	126	Reduced payments

PART 20 - Prohibited practices

<b>PROHIBITED PRACTICES AND DISQUALIFICATION OF PERSONS</b>					
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
200	i		A	27	Admin prohibited substance to horse
201	i		A	33	Bribes
	ii		A	33	Bribes
	iii		A	29	Entering etc unqualified horse
	iv		A	28	Blood transfusion
	v		A	41	Corrupt/ fraudulent practices
	vi		A	40	Conviction of criminal offence
204	i	a	A	68	Effect of disqualification by other RRA
		b	A	68	Power to suspend automatic disqualification under these Rules
	ii		A	38	Participation in unrecognised meetings
	iii		A	34	Offering etc rewards to amateur riders
			B	56	Amateurs accepting etc rewards
205			A	71	Consequences of being a disqualified person

<b>FEES</b>					
<i><b>Old rule number</b></i>	<i><b>Subrule</b></i>	<i><b>Para</b></i>	<i><b>New Manual</b></i>	<i><b>New rule number</b></i>	<i><b>Description</b></i>
210	I, ii		A	11	Fee levels
211			F	12	Fixture fees
213			F	131	Sponsorship of number cloths

## PART 22 - Miscellaneous

MISCELLANEOUS					
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
220	i		A	37	Aid/ abet rule contraventions
	ii		A	32	Violent behaviour on racecourse
	iii		A	30	Conduct prejudicial to horseracing
	iv		A	30	Association with disqualified etc persons
	v		A	35	Making bets for professional riders
	vi		A	35	Making bets for amateur riders
	vii		A	31	Breach of undertakings, inaccurate info, failure to comply
	viii		A	31	Deliberately misleading officials etc
	ix		A	42	Involvement with licensed person in rule contravention
221			A	2	Compliance/ Deemed knowledge of BHB Orders
	ii		B	83	Comply with instructions of Stewards
223			A	96	Point-to-point steeple chases
224			C	43	Speed sensing device
225			<i>Spent</i>		Transitional provision
226			A	2	Persons who cease to be subject to Rules
227	i		A	97	Equine swimming pools
	ii		A	97	Equine swimming pools
			A	71	Disqualified persons not to operate such pools
	iii		A	97	Equine swimming pools
	iv		A	97	Equine swimming pools
	v		A	97	Equine swimming pools
	vi		A	97	Equine swimming pools
229			A	95	Arabian horse races
230/ 230A	i	a	A	106	Electronic transmissions
		b	A	106	Electronic transmissions
	ii		A	106	Electronic transmissions
230A			A	106	Electronic transmissions
231			A	2	Application of rules
231A			A	104	Exclusion of liability
231B			A	104	Exclusion of liability
232			F	129, Sch 11	Appearance money
233	i		A	100	VAT registration scheme ("the scheme")
	ii		A	100	VAT registration scheme ("the scheme")

## PART 22 - Miscellaneous

MISCELLANEOUS					
<i>Old rule number</i>	<i>Subrule</i>	<i>Para</i>	<i>New Manual</i>	<i>New rule number</i>	<i>Description</i>
	iii		A	100	VAT registration scheme ("the scheme")
	iv		<i>Express provision unnecessary</i>		Compliance
234			A	39	Duty to comply with sponsorship controls
			A	88	Controls on race conditions, advertising & sponsorship
			C	26	Restrictions on advertising on clothing/ equipment
			F	15	Racecourse man exec to comply with sponsorship controls
235			E	91	Owner sponsorship
235A			D	39	Controls on rider sponsorship
236			A	49	Powers of officials to enter training premises
237		a	A	49	Powers of officials to enter training premises
		b	A	49	Powers of officials to enter training premises
		c	A	49	Powers of officials to enter training premises
		d	A	49	Powers of officials to enter training premises
238			A	49	Enforcement of 237
239	i		C	55	Testing horses under trainer's care: penalties
	ii		C	52, 55	Meaning of positive sample
	iii		A	75 (ground 4)	Power to suspend horse
			C	55	
240	i		C	55	Testing horses under trainer's care: penalties
	ii		C	52	Meaning of positive sample
	iii		C	53	Penalty for failure to keep medical records
241	i		A	49, 50	Requirement to co-operate with investigations etc
	ii		A	50, 51	Requirement to provide records etc
	iii		A	50, 51	Requirement to provide records etc
242			A	45	Requirement to provide records; enquiries
			A	77	Requirement to provide records; appeals
243			A	36	Communicating inside etc info
244			D	53, 55	Betting, laying horses and rewards: professional
245			D	54	Betting, laying horses : amateur
246			D	75	Betting, laying horses etc: valets etc
247			C	64	Laying to lose: trainer/ stable employees
			D	78	Laying to lose: rider's agent
			E	92	Laying to lose: owner

## PART 22 - Miscellaneous

<b>MISCELLANEOUS</b>					
<b><i>Old rule number</i></b>	<b><i>Subrule</i></b>	<b><i>Para</i></b>	<b><i>New Manual</i></b>	<b><i>New rule number</i></b>	<b><i>Description</i></b>
			A	35	Laying to lose: service provider
248			D	32, 74	Remaining on racecourse during restricted period
249	i		B	Schedule 3 para 28	Horses trained outside Great Britain
	ii		A	48, 49	Horses trained outside Great Britain
	iii		A	49	Horses trained outside Great Britain



APPENDICES			
<i>Old appendix letter</i>	<i>New Manual</i>	<i>New rule/ schedule number</i>	<i>Description</i>
A	F	Schedule 12, Part 2	Flat races (northern hemisphere)
B	F	Schedule 12, Part 3	Jump races (northern hemisphere)
C	F	Schedule 14	Rates of Exchange
D	F	Schedule 12, Part 4	Flat National Hunt flat and jump races (southern hemisphere)
E	E	Schedule 1	Requirements as to horse names
F	D	19	Approved expenses for amateurs
	A	34	
G	E		Passport instructions
H	A	Schedule 8	Recognised Turf Authorities
I	E	Schedule 2	Approved stud books
J	A	rules 84, 86 and Schedule 7	Regulations for appeals to appeal boards
K	F	Schedule 15	Racing Calendar Office opening times
L	F	Schedule 2	Classification of races
M	A	Schedule 1	Fees
N	A	rule 26, Schedule 2	General standards: all licensed/ permitted/ registered persons
	D	rule 79, Schedule 5	Specific standards: riders, valets etc
	C	11, Schedule 3, Part 1	Specific standards: trainers
	C	11, Schedule 3, Part 2	Specific standards: stable employees
	E	87, Schedule 3	Specific standards: owners
	A	Schedule 5 (public domain)	Info treated as in the public domain
O	B	Schedule (equipment)	Classification of head gear
P	D	rule 59, Schedule 4	Banned substances, notifiable medications
Q	F	Schedule 6	Illustrative timetable of entry stages
R	F	Schedule 1	Racing season
S	A	rule 44, Schedule 6	Guidelines for disciplinary enquiries
	A	71	Procedure for permitting disqualified persons to be employed in racing stables
T	D	Schedule 5	Registration of ownership names styles
V	C	Schedule 4	Code of conduct for trainers: dealings with owners
W	F	Schedule 9	Distribution of prize money to stables

<b>Instruction A - Licences, training, employees and multi-ownership</b>			
<b><i>Old instruction number</i></b>	<b><i>New Manual</i></b>	<b><i>New rule number/Sch</i></b>	<b><i>Description</i></b>
1	C	5, 6	Application procedure: trainers
	D	5, 6, 8, 9, 18, 20	Application procedure: riders
	A	23	Application procedure: general
2	C	7	Training establishments
3	C	44	Apprentice/ conditional riders; trainer's responsibilities
4	D	8, 9, 10	Apprentice/ conditional riders; training
5	C	Schedule 2	Stable employee training
6	C	rule 10, Schedules 1, 2	Stable employee terms and conditions
8	C	25	Resp for use of unserviceable skull cap

<b>Instruction B - entries, vaccination endorsements</b>				
<b><i>Old instruction number</i></b>	<b><i>Advisory</i></b>	<b><i>New Manual</i></b>	<b><i>New rule number/Sch</i></b>	<b><i>Description</i></b>
1	NEW	F	Sch 3	Races permitted to divide
3	NEW	F	70, 71	Acceptance of entries
4	NEW	F	77	Procedures for re-opening of races at entry

<b>Instruction C - Prohibited substances and security of racehorses</b>						
<i>Old instruction number</i>	<i>Advisory/ mandatory</i>	<i>Sub rule</i>	<i>New Manual</i>	<i>Part/Chapter</i>	<i>New rule number/Sch</i>	<i>Description</i>
1			C	4 (prohibited substances)	52, Schedule 6	Definition of prohibited substances
			A	4 (req as to conduct)	Schedule 3	Prohibited substances
3		1	C	4 (prohibited substances)	56	Sampling to be conducted at sampling unit
		2	C	4 (prohibited substances)	57	Procedures for analysing initial sample
		3	B	1 (stewards)	6	Stewards' power to require more extensive examination
			C	4 (prohibited substances)	56	Costs etc on such examination
		4	C	4 (prohibited substances)	59	Positive test - further examination of horse
		5	C	4 (prohibited substances)	59	Positive test - seizing samples from trainers's yard
		6	C	4 (prohibited substances)	49, 61	Negative test - enquiries
		7	C	4 (prohibited substances)	63	Restrictions on payment by stakeholder pending result of test
4			C	4 (prohibited substances)	58, Schedule 7	Counter analysis procedure
7			C	3 (general duties)	28, 32, 39	Security in/ use of race course stables
			C	3 (general duties)	42	Overnight accommodation for horses
			C	3 (general duties)	23, 33	Restrictions as to treatment on racecourse
			A	4 (requirements as to conduct)	27	Restrictions treatment on racecourse (incl prohibited substance)
			C	3 (general duties)	47	Suspected doping
			C	3 (general duties)	33	Movement of horse once on racecourse property
			C	3 (general duties)	41	Attendants at hunter steeple chase - access to stables
8			C	2 (licences/ permits from Authority)	13	Records of treatment
9			C	3 (general duties)	13, 28	Code of medication for horses in training
10			C	4 (prohibited substances)	62	Storage and subsequent testing of samples

Instruction D - Declarations and pre-race requirements					
<i>Old instruction number</i>	<i>Mandatory/ advisory</i>	<i>New Manual</i>	<i>New rule number/Sch</i>	<i>Description</i>	
1		D	31	Notification of inability to ride	
2		D	31	Rider notification where rider switches meetings	
		B	25	Trainer notification where rider switches meetings	
5		C	46	Trainer's representative	
6		E	83	Declaration of colours	
7	NEW	C	31	Contagious diseases/ ringworm	
8		F	86, 88, 89, 91	Declaration to run	
9		F	92	Declaration of riders	
10		F	100, Schedule 7	Non-runners	
12		C	43	Proper saddling requires provision for girth adjustment	
13		C	26	Controls as to sponsorship in parade ring	Substance to be carried forward as directions
14		C	34, 36	Tongue straps	
		B	Sch 4 para 5		
15	NEW	B	Sch 3, para 6	Tubed horses	
16	NEW	C	43	Restriction on wearing of sheets and rugs	
17		E	23	Passport endorsement at racecourse	
18		B	Schedule 4	Nasal dilators	
19		B	Schedule 4	Lip chains	
20	NEW	C	42	Overnight accomodation for stable staff	
21		F	151, Schedule 16	Process for establishing field size limts	
22		E	21	Racing clearance notifications	
25	NEW	F	94	Flat jockey's working schedules	
26	NEW	F	11, 12	Cancellation of races	

Instruction E - pre-race requirements - riders				
<i>Old instruction number</i>	<i>Subrule</i>	<i>New Manual</i>	<i>New rule number/Sch</i>	<i>Description</i>
4		D	13, 25	Requirement to report all injuries since last racing
5		D	39	No advertising to be carried

Instruction F - pre-race requirements				
<i>Old instruction number</i>	<i>Subrule</i>	<i>New Manual</i>	<i>New rule number/Sch</i>	<i>Description</i>
1		D	Schedule 2	Technical specifications for skull caps
2		C	43, 44	Weighing out
		D	42, 43	Items rider must present to Clerk of Scales on weighing out
3		D	rule 36, Schedule 2	Body protectors
4		B	29	Procedure where managing exec requires a parade
5		D	33, 34, 35,	Use of mobile phones by riders etc

Instruction G				
<i>Old instruction number</i>	<i>Subrule</i>	<i>New Manual</i>	<i>New rule number/Sch</i>	<i>Description</i>
1	1	B	32, Schedule 5, para 1	Starting: trainer's responsibilities
	2	C	48	Duty to ensure schooling for starts
	3	D	40, 44	Duty of rider to ascertain draw, start from place allotted
	4	B	34	Restriction of access
	5	B	34	No use of whip or other striking of horse
	6	B	34	Riders under Starter's control
		D	44	Riders under Starter's control
	7	B	Schedule 5	Procedure for gates/ flags
	8	B	41, 43, 44	Starter's reports, criteria failures
	9	B	32	Certificates for starting stalls tests
		C	48, Schedule 5	The tests (including penalties)
	10	B	44	Restriction on running without certificate
	11	B	34	Starter to report improper saddling
		D	38	Rider responsible for adjusting girths
		C	43, 44	Trainer to see horse leaves paddock properly saddled
	12	B	Schedule 5	Starting stalls loading procedures
		C	44	Trainer to ensure apprentices know to remove blindfolds etc
		D	38, 44	Duty of rider to remove blindfold, no late loads
	13	C	48	Horse trained in GB
	14	C	48	Horse trained outside GB racing here
	15	C	43	Safety of trainers in loading assists
	16	B	Schedule 5, Part 5	Jump races
2		B	35	Starter final say on who runs
		C	36	Trainer to declare preference re removal of plates at start
3		D	31	Starting on time



Instruction H - The Race				
<i>Old instruction number</i>	<i>Mandatory/ advisory</i>	<i>New Manual</i>	<i>New rule number/Sch</i>	<i>Description</i>
3		D	38	Ear plugs
4		D	38	Contact lenses etc
5		B	46	Pulling up/ remounting
8		D	37, Sch 2	Whips used for racing
9				
		B	56, Sch 6	Examples of improper riding/ procedure
		C	45	Trainer's responsibility for instructions
		E	89	Owner's responsibility for instructions
10		D	46	Procedures before weighing in
11		D	50	Reporting accidents
13	NEW	B	56, Sch 6	Overtaking on the inside
14		C	34, 35	Trainer's report as to performance
16		A	61, 62	Effective days for riding suspensions
		B	Schedule 1	Effective days for riding suspensions
17		B	45	Riding to the draw
18		D	45	Running: permissible measures for best efforts
		B	46	Rider no longer taking part in race
20		D	48	Reports as to gurgling
		C	35	Trainer's report re gurgling
22		B	51	Failing to ride course correctly
23	NEW	B	56, Sch 6	False rail
24		D	49	Riders' reports as to performance
		C	34	Trainer may delegate to rider task of making trainer's report under H14
		C	35	Trainer's obligation re rider's reports

<b>Instruction J - Miscellaneous</b>				
<b><i>Old instruction number</i></b>	<b><i>Adivisory/ mandatory</i></b>	<b><i>New Manual</i></b>	<b><i>New rule number/Sch</i></b>	<b><i>Description</i></b>
2		Rider	15, 26	Riding outside GB
3		Race Admin	103, 105, Schedule 8	Elimination/ balloting procedures
4		Race Admin	Schedule 10	Breeders' Prize Scheme
5		Race Admin	61, 62	VAT: claiming/ selling races
6		Race Admin	103	Race division criteria
9	NEW	Race	80	Movement of injured horse
10		Trainer	30	Communicable diseases
11		Race Admin	129(3), Schedule 11	Appearance money schemes
12	NEW	Race	29, 30	Parades
13		Rider	52	Duty to report to Stewards' room
15		Horse and Owner	84	Joint use of racing colours
16	NEW	Trainer	43	Horses led on racecourse property
17	NEW	Race	81, 82	Destruction/ post-mortem of horses
18	NEW	Trainer	66, Sch 8	Procedure for assessing poor jumpers
21		General	30, Schedule 4	Bloodstock industry code of practice

# **PART 1 - INTRODUCTORY PROVISIONS**

## **1. The British Horseracing Authority**

1.1 All functions relating to the governance and regulation of horseracing shall be exercisable by the British Horseracing Authority (referred to in these Rules as the Authority).

1.2 This includes all matters now or in the future contained or to be contained in these Rules.

1.3 References in these Rules to Horserace are to any race in which a horse runs with any other horse either

1.3.1 in competition for any prize of any kind or nature whatsoever, or

1.3.2 for the purposes of deciding the result of any bet or wager,

and at which more than twenty Persons (not including participants in the race) are present.

1.4 For the purposes of Paragraph 1.3, events at horse shows or gymkhanas which are restricted to children under 18 years of age or which involve a substantial element of chance or skill unconnected with horse-riding shall not be regarded as horseraces.

## **2. Persons subject to the Rules**

2.1 These Rules apply to

2.1.1 all Persons who have agreed to be bound by these Rules,

2.1.2 the owner and any Person who is any way legally interested in, directly or indirectly, or who plays an active part in managing a horse which is entered to run under these Rules wherever trained,

so, for the avoidance of any doubt, each and every lessor or lessee of a horse that is the subject of a lease agreement is to be treated as a Person that is legally interested in that horse for the purpose of these Rules throughout the duration of the relevant lease agreement.

2.1.3 the riders and trainers of such horses,

2.1.4 the employees and officers (or, if from overseas, the local equivalent) of Persons referred to in Paragraphs 2.1.2 and 2.1.3,

2.1.5 any Overseas Rider who rides in a race run under these Rules,

2.1.6 any Person referred to in Rule 30.2, and

2.1.7 any Person within Paragraph 2.2.

2.2 A Person who, but for this Paragraph, would have ceased to be subject to these Rules shall remain subject to them

2.2.1 to the extent necessary to enable the Authority to investigate and take Disciplinary Action, and for the hearing of appeals under Part 7, as regards any event or events which

2.2.1.1 took place whilst that Person was still subject to these Rules, and

2.2.1.2 is or are relevant to a contravention, or alleged contravention of these Rules, whether committed by that Person or by someone else,

2.2.2 to the extent necessary to enable the Authority to investigate and take Disciplinary Action as regards any activity carried out by that Person which purports to have been done under a licence or permit granted to that Person by the Authority but after the licence or permit has ceased to be valid, or

2.2.3 for so long as any Arrears are due from that Person under these Rules.

2.3 Persons who are or have been subject to these Rules are deemed to have knowledge of them, including any amendments.

2.4 Every Person who is subject to these Rules

2.4.1 must comply with them at all times,

2.4.2 must comply with any directions, instructions or General Instructions given by the Authority as to the operation of these Rules, and

2.4.3 must comply with the instructions of the Stewards

2.5 Paragraph 2.4.1 does not apply to the extent that the Authority does not require compliance with any particular Rule.

2.6 A Person is liable to Disciplinary Action if

2.6.1 he contravenes a requirement imposed on him by or under a provision in this Manual or by any other provisions of these Rules,

2.6.2 any provision of these Rules states that he is taken to have contravened any such requirement, or

2.6.3 any provision of these Rules states that he is liable to Disciplinary Action.

2.7 Disciplinary Action may also be taken against a Person in any of the circumstances specified in Rules 63 to 70 of Part 6.

2.8 Where any Person behaves in such manner as the Authority considers to be contrary to the interests of racing that Person is liable under Rule 64 to exclusion from any premises licensed by the Authority.

2.9 A Person who agrees to be bound by these Rules has no right under the Contracts (Rights of Third Parties) Act 1999 to enforce any provision of these Rules against any other Person from time to time bound by these Rules.

### **3. Arrangement of Rules into Manuals**

3.1 These Rules are made up of the following Manuals

The General Manual (A)

The Race Manual (B)

The Trainer Manual (C)

The Rider Manual (D)

The Horse and Owner Manual (E)

The Race Administration Manual (F)

The Equine Anti-Doping Manual (G)

3.2 Each Manual is of equal standing and the fact that these Rules are divided into Manuals does not affect the weight of any requirements specified in each Manual.

### **4. Scheme**

4.1 This Manual has effect for the purposes of establishing the framework for the governance and regulation of horse racing.

4.2 It includes provision

4.2.1 about the functions of the Authority and the discharge of those functions,

4.2.2 requiring certain participants in racing to hold a licence or permit granted by the Authority,

4.2.3 requiring racecourses to be licensed by the Authority,

4.2.4 requiring the registration of horse names, horse owners and stable employees,

4.2.5 prohibiting certain conduct by Persons subject to these Rules,

4.2.6 for the Authority to obtain information, hold enquiries and take Disciplinary Action for the purpose of discharging its functions, and

4.2.7 for appeals to be made to the Authority or to an Appeal Board.

## **PART 2 - GENERAL FUNCTIONS OF THE AUTHORITY**

### **5. General functions of the Authority**

5.1 The Authority has the following general functions

- 5.1.1 making Rules relating to the governance and regulation of horse racing,
- 5.1.2 enforcing such Rules,
- 5.1.3 granting, refusing and withdrawing authorisations required by the Rules,
- 5.1.4 the administration of races,
- 5.1.5 appointing officials for races, and
- 5.1.6 determining when fees are payable and the level of fees.

5.2 The Authority also has

- 5.2.1 the specific functions in Part 8, and
- 5.2.2 such other functions as may be specified in any other provision of these Rules.

### **6. General Rule-making functions**

6.1 The Authority's Rule-making functions include

- 6.1.1 making Rules, and
- 6.1.2 giving guidance in relation to Rules.

6.2 In particular, the Authority may from time to time

- 6.2.1 add new provision to these Rules,
- 6.2.2 modify or delete an existing provision,
- 6.2.3 suspend any existing provision for such period or periods as the Authority may determine,
- 6.2.4 issue guidance to ensure compliance with any Rule,
- 6.2.5 issue guidance to prevent an anticipated contravention of any Rule,
- 6.2.6 give recommendations as to Disciplinary Action (including the imposition of disciplinary penalties) for contravention of these Rules generally, or of particular Rules, and
- 6.2.7 modify or delete any existing guidance or recommendations.

6.3 Any Rules made by the Authority for the purpose of discharging its functions may

- 6.3.1 contain such incidental, supplemental, consequential or transitional provision as the Authority considers appropriate, and
- 6.3.2 make different provision for different cases.

### **7. Compliance**

7. The Authority's compliance functions for the purpose of enforcing these Rules and otherwise discharging its functions include

- 7.1 gathering information,
- 7.2 carrying out enquiries and investigations,
- 7.3 taking Disciplinary Action,
- 7.4 the oversight of decisions taken by Judges, Clerk of the Scales and Stewards, and
- 7.5 determining objections made to the Authority in connection with racing.

### **8. Authorisations required under these Rules**

8. The Authority's functions as to authorisations include

- 8.1 granting, refusing, withdrawing and suspending licences or permits required by these Rules,
- 8.2 maintaining any register required by these Rules, and
- 8.3 giving, refusing or withdrawing any other approval or authority required by these Rules.

## **9. Race administration**

9.1 The Authority's functions as to race administration include

- 9.1.1 arranging race meetings and other fixtures, and
- 9.1.2 overseeing the conduct of meetings and fixtures.

9.2 Further provision as to race administration is contained in the Race Administration Manual (F).

## **10. Appointing officials**

10. Appointing officials

10.1 No Person other than the Authority may appoint officials for each race meeting.

10.2 For provisions of these Rules that make provision as to certain functions of officials see, in particular

- 10.2.1 Part (B)1 for functions of Stipendiary Stewards;
- 10.2.2 Parts (B)2 and (B)6 for functions of the Clerk of the Scales;
- 10.2.3 Part (B)3 for functions of the Starter;
- 10.2.4 Part (B)5 for functions of the Judge;
- 10.2.5 Part (F)2 for functions of the Inspector of Courses;
- 10.2.6 Part (F)7 for functions of the Stakeholder;
- 10.2.7 Part (F)8 for functions of Handicappers.

## **11. Fees**

11.1 The Authority's functions as to fees include

- 11.1.1 authorising the level of fees which are payable in the circumstances specified in these Rules,
- 11.1.2 making changes to the fees, and
- 11.1.3 where the Authority agrees to make exceptional arrangements in respect of the conduct of any race meeting, charging fees that are in addition to those otherwise provided for in these Rules.

11.2 Schedule 1 lists the occasions on which a fee is payable in accordance with these Rules and the amount of the fee due.

11.3 Any change to the amount of a fee will be published in The Racing Calendar with the date on which the change is to be effective.

11.4 All fees and Arrears due are payable to the Authority.

## **12. Supplementary powers**

12.1 The Authority may exercise all powers conferred on them by these Rules.

12.2 The Authority may give such directions, instructions or General Instructions as it considers appropriate as to the operation of these Rules, and any provision made under this Paragraph may make different provision for different cases.

12.3 The Authority may waive the application of a Rule, directions, instructions or General Instructions in such circumstances as it may consider appropriate.

12.4 In any case of expediency or of emergency, the Authority may

- 12.4.1 modify these Rules or any part of them,
- 12.4.2 suspend any Rule or part of a Rule for such period or periods as the Authority considers appropriate,
- 12.4.3 order the abandonment of any race or race meeting, and
- 12.4.4 refuse to allow a horse duly entered to run in any race.

12.5 The Authority may take such other action as it considers necessary for the purpose of

- 12.5.1 discharging its functions, and
- 12.5.2 carrying out or giving effect to these Rules (including preventing an anticipated

contravention).

## PART 3 - LICENCES, PERMITS AND REGISTRATION

### *Introductory*

#### **13. Scheme of this Part**

13.1 This Part imposes restrictions on the carrying out of activities connected with horseracing and requires Persons intending to carry out the activities in Great Britain

- 13.1.1 to hold the appropriate licence or permit, or
- 13.1.2 to secure that the names of any horse, owner or stable employee is entered in the appropriate register.

13.2 The effect of the restrictions in this Part is that

- 13.2.1 a licence or permit is required for any Person who acts as
  - 13.2.1.1 a trainer,
  - 13.2.1.2 a Jockey or an amateur rider,
  - 13.2.1.3 a valet to a rider (referred in this Manual as a master valet),
  - 13.2.1.4 an assistant to a master valet (referred in this Manual as an assistant valet),or
- 13.2.1.5 a rider's agent;
- 13.2.2 a licence is required to hold an authorised race meeting at any racecourse;
- 13.2.3 the names of any horse which is trained in Great Britain and runs at an authorised race meeting must be entered in a register maintained by the Authority;
- 13.2.4 the name of the owner of any such horse must be entered in a register maintained by the Authority; and
- 13.2.5 the names of stable employees must be entered in a register maintained by the Authority.

13.3 Rules 23 to 25 make provision as to the Authority's general powers under these Rules in connection with

- 13.3.1 the grant, refusal, withdrawal or suspension of any licence or permit, or
- 13.3.2 the making, modification or cancellation of any entry in a register maintained by the Authority under these Rules.

### *Licences and permits*

#### **14. Trainer's licences and trainer's permits**

14.1 A Person in Great Britain may not train a horse which runs in a race under these Rules unless

- 14.1.1 he holds a trainer's licence or a trainer's permit granted by the Authority in accordance with the Trainer Manual (C),
- 14.1.2 the horse is trained outside Great Britain and the trainer is duly qualified as a trainer in the country where the horse is trained, or
- 14.1.3 he is training a horse solely for the purpose of Hunters' Steeple Chases, the Grand Military Gold Cup or the Royal Artillery Gold Cup.

14.2 Requirements applying to all Persons to whom Paragraph 14.1 applies are specified in the Trainer Manual (C), along with detailed provisions about licences and permits granted by the Authority (including how to apply).

14.3 The provisions of Schedule 9 specify procedures applicable to the consideration and determination of applications.

14.4 **Hunters' Steeple Chase** means a weight-for-age steeple chase which is confined

- 14.4.1 to horses certified by a Master of Hounds to have been hunted, and
- 14.4.2 to Amateur Riders.

#### **15. Rider's licences and amateur rider's permits**



15.1 A Person may not ride in any race under these Rules unless

15.1.1 he has attained the age of sixteen years,

15.1.2 he

15.1.2.1 holds a jockey's licence or an amateur rider's permit granted by the Authority,  
or

15.1.2.2 is authorised by a Recognised Racing Authority to ride under the rules of that  
Recognised Racing Authority (whether by grant of a licence, permit or otherwise), and

15.1.3 he is not disqualified or suspended from riding either under these Rules or under the rules of  
any Recognised Racing Authority.

15.2 The types of jockey's licences granted by the Authority are

15.2.1 a licence to allow the holder to ride in flat races, and

15.2.2 a licence to allow the holder to ride in Jump Races.

15.3 In these Rules, a jockey's licence granted to a Person whom the Authority considers to be inexperienced in  
racing is referred to as

15.3.1 an Apprentice Jockey's licence, where the licence allows him to ride in flat races, and

15.3.2 a Conditional Jockey's licence, where the licence allows him to ride in Jump Races.

15.4 The types of amateur rider's permit granted by the Authority are

15.4.1 a Category A amateur rider's permit, and

15.4.2 a Category B amateur rider's permit.

15.5 Requirements applying to all Persons within Paragraph 15.1.2 are specified in the Rider Manual (D), along  
with detailed provisions about licences and permits granted by the Authority (including how to apply).

15.6 The provisions of Schedule 9 specify procedures applicable to the consideration and determination of  
applications.

15.7 **Jump races** means a steeple chase, hurdle race or National Hunt Flat Race.

## **16. Licences and permits for Master Valets and their assistants**

16.1 A Person may not act as a master valet unless he holds a master valet's licence granted by the Authority in  
accordance with the Rider Manual (D).

16.2 A Person may not act as an assistant to a master valet unless he holds a master valets' assistant's permit  
granted by the Authority in accordance with the Rider Manual (D).

16.3 Detailed provisions about licences and permits granted by the Authority (including how to apply) are  
specified in Part (D)7.

16.4 The provisions of Schedule 9 specify procedures applicable to the consideration and determination of  
applications.

## **17. Licences for rider's agents**

17.1 A Person may not act as an agent for a rider unless he holds an agent's licence granted by the Authority in  
accordance with the Rider Manual (D).

17.2 Detailed provisions about licences granted by the Authority (including how to apply) are specified in Part  
(D)7.

17.3 The provisions of Schedule 9 specify procedures applicable to the consideration and determination of  
applications.

## **18. Racecourse licences**

18.1 An authorised race meeting in Great Britain may not be held at any place or on any track unless it is licensed  
by the Authority for that purpose.

18.2 The circumstances in which a licence be granted are specified in Part (F)2, along with other detailed  
provisions about racecourse licences (including how to apply).

## ***Registration***

## **19. The Authority's general functions as to registration**

19.1 The Authority must maintain a register for

- 19.1.1 the names of horses,
- 19.1.2 the names of owners of horses,
- 19.1.3 the names of stable employees, and
- 19.1.4 such other purpose as may be provided for in these Rules.

19.2 The register must include such information as the Authority considers appropriate.

19.3 Where the Authority approves an application for entry in a register which is made to it in accordance with Rule 23, it must make an entry in the register.

19.4 Registration may be cancelled, and an entry amended or removed, if the Authority considers that is appropriate to do so.

## **20. Register of horse names**

20.1 A horse trained in Great Britain may not be entered for or run in any race under these Rules unless its name is entered in the register of horse names maintained by the Authority.

20.2 Detailed provisions about the registration of horse names (including how to apply) are set out in Part (E)2.

## **21. Register of Owners**

21.1 A horse trained in Great Britain may not be entered for or run in any race under these Rules unless the name of the Owner of the horse is entered in the register of Owners maintained by the Authority in accordance with these Rules.

21.2 No entry may be made in the register in respect of any equitable interest in the ownership of a horse.

21.3 A horse trained outside Great Britain is not qualified to be entered for or run in any race under these Rules unless the name of the owner is registered by the Racing Authority of the country in which the horse is trained.

21.4 Detailed provisions about owners (including, in relation to horses trained in Great Britain, who may be registered and how to apply) are set out in Part (E)3.

21.5 The provisions of Schedule 9 specify procedures applicable to the consideration and determination of applications.

## **22. Register of stable employees**

22.1 A Person employed by a trainer may not continue in his employment unless his name has been entered in the register of stable employee names maintained by the Authority.

22.2 Detailed provisions about the registration of stable employee names (including how to apply) are set out in the Trainer Manual (C).

### ***General provisions as to licences, permits and registration***

## **23. Application procedures for Persons requiring licences, permits or registration**

23.1 In respect of an application for

- 23.1.1 a licence or permit,
- 23.1.2 the renewal of a licence or permit,
- 23.1.3 registration in any register maintained by the Authority under these Rules,

the provisions of Schedule 9 specify procedures applicable to the consideration and determination of those applications.

23.2 Each application shall be considered individually on its merits.

23.3 At any time after receiving an application and before determining it, the Authority may require an applicant to provide it with such further information as it reasonably considers necessary to determine the application.

23.4 The Authority may require an applicant to provide information which he is requested to provide under this Rule in such form, or to verify it in such way, as the Authority may direct.

23.5 The Authority must notify the applicant of its decision on the application by a written notice.

## **24. The Authority's general powers as to licences and permits**

24.1 Where an application for a licence or permit is made to the Authority in accordance with the relevant

application procedure, the Authority may

- 24.1.1 grant the application,
- 24.1.2 grant it subject to restrictions or conditions, or
- 24.1.3 refuse the application.

24.2 The Authority may on an application or on its own initiative

- 24.2.1 withdraw any licence or permit it has granted,
- 24.2.2 suspend it,
- 24.2.3 renew it,
- 24.2.4 renew it subject to conditions, or
- 24.2.5 refuse to renew it

24.3 The Authority may refuse an application for a licence or permit if it is not accompanied by the appropriate fee specified in Schedule 1, but this does not limit the power of the Authority to refuse an application for other reasons.

## **25. The Authority's general powers as to registration**

25.1 Where an application for registration in any register maintained by the Authority is made to the Authority in accordance with the relevant application procedure, the Authority may

- 25.1.1 approve the application and register the name or other information to which the application relates, or
- 25.1.2 refuse to approve the application.

25.2 The Authority may on an application or on its own initiative

- 25.2.1 cancel any registration under this Part, and
- 25.2.2 remove or amend any entry on a register maintained by it under these Rules.

25.3 The Authority may refuse an application for registration if it is not accompanied by the appropriate fee specified in Schedule 1, but this does not limit the power of the Authority to refuse an application for other reasons.

## **26. Deleted**

## **PART 4 - GENERAL REQUIREMENTS AS TO CONDUCT**

### **27. Deleted**

### **28. Deleted**

### **29. Entering or running a horse not qualified to race**

29.1 A Person who knows or believes that a horse is not qualified for a race must not

- 29.1.1 enter the horse in the race,
- 29.1.2 cause it to be entered for the race, or
- 29.1.3 cause it to start in the race.

29.2 The Authority may decide not to take Disciplinary Action for a contravention of this Rule if the Person satisfies the Authority that he took all reasonable precautions and exercised all due diligence to avoid the contravention.

### **30. Conduct prejudicial to horseracing**

30.1 A Person must not act in any manner which the Authority considers to be prejudicial to the integrity, proper conduct or good reputation of horseracing in Great Britain.

30.2 For the purposes of Paragraph 30.1, any Person who

- 30.2.1 in Great Britain, engages in bloodstock transactions or deals in racehorses (including horses intended for racing), and
- 30.2.2 in so doing, fails to observe any provision of The Bloodstock Industry Code of Practice,

may be taken to have contravened a requirement imposed on him by Paragraph 30.1, whether or not he is otherwise subject to these Rules.

30.3 A Person must not in connection with horseracing in Great Britain associate with

- 30.3.1 a Disqualified Person; or
- 30.3.2 a Person who is excluded under Rule 64 from any premises licensed by the Authority

unless he obtains the prior permission of the Authority.

30.4 Paragraphs 30.1 to 30.3 apply whether or not a Person's conduct constitutes a contravention of any other provision of these Rules.

30.5 The Bloodstock Industry Code of Practice for the time being in force is set out in Schedule 4.

### **31. Conduct obstructing the proper administration or control of racing**

31.1 A Person must not, in relation to the administration or control of racing

- 31.1.1 breach any declaration or undertaking given to the Authority,
- 31.1.2 provide any inaccurate information,
- 31.1.3 omit any relevant information which is requested, or
- 31.1.4 fail to comply with a requirement imposed on him by the Authority.

31.2 A Person must not deliberately mislead or by an overt act endeavour to mislead the Authority, the Stewards, any employee of the Authority or a representative of the Racecourse Managing Executive either at any enquiry or in connection with the administration or control of racing.

31.3 The Authority may decide not to take Disciplinary Action for a contravention of this Rule if the Person satisfies the Authority that the circumstances were exceptional and that he had a satisfactory reason for his conduct.

### **32. Violent or improper behaviour on racecourse etc**

32.1 A Person must not act in any violent or improper manner on any land or premises which is used by the Stewards or licensed by the Authority.

32.2 A Person must not act in any violent or improper manner on any land or premises on which he is present

32.2.1 in his capacity as a Person licensed, permitted or registered by the Authority in accordance with Part 3, or

32.2.2 for training which relates to an activity connected with horse racing.

### **33. Offering or accepting bribes**

33.1 A Person must not give or offer a bribe, or promise a bribe, to

33.1.1 a Person who has official duties in relation to a race or a horse, or

33.1.2 a Trainer, Rider, agent or other Person who has charge of, or access to, a horse.

33.2 Paragraph 33.1 applies regardless of the form of the bribe and whether it is direct or indirect.

33.3 A Person who has official duties in relation to a race must not accept or offer to accept any bribe in any form.

33.4 A Person who is a Trainer, Rider, agent or other Person having charge of, or access to, a horse must not accept or offer to accept any bribe in any form.

### **34. Offering rewards for amateur riders**

34.1 A Person must not offer or promise any reward to an Amateur Rider for riding in a race.

34.2 Nothing in this Rule prevents the advertisement of a trophy for Amateur Riders in the conditions of a race.

34.3 Reward means a reward by way of fee, present, expenses or any consideration apart from

34.3.1 any trophy that was advertised in the conditions of the race;

34.3.2 any expenses apportioned by F.E.G.E.N.T.R.I. for their Championship races under these Rules;

34.3.3 any reasonable expenses for Overseas Riders which are

34.3.3.1 offered by sponsors of an amateur or club race,

34.3.3.2 included in the conditions of the race, and

34.3.3.3 approved by the Authority;

34.3.4 any assisted or free travel and accommodation which is

34.3.4.1 offered to Amateur Riders when taking part in invitation races abroad, and

34.3.4.2 approved by the Racing Authority appropriate to the racecourse concerned; or

34.3.5 any other expenses or benefits approved by the Authority

### **35. Placing bets or laying a horse to lose**

35.1 A Person must not make or offer to make a bet on horseracing on behalf of a Rider where the bet

35.1.1 in the case of an Amateur Rider, is to be placed on a race in which the Amateur Rider is riding, or

35.1.2 in any other case, is to be placed at any time during the term of the Rider's licence.

35.2 A Person must not offer a Rider the proceeds (or any part of the proceeds) of a bet on horseracing which is prohibited by Paragraph 35.1.

35.3 Paragraphs 35.1 and 35.2 apply regardless of where the bet is placed or where the race is run.

35.4 A service provider to a Person to whom these Rules apply must not

35.4.1 lay with a Betting Organisation any horse owned, trained or ridden by that Person to lose a race,

35.4.2 instruct another Person to do so on behalf of the service provider, or

35.4.3 receive the whole or any part of any proceeds of such a lay.

35.5 Paragraph 35.4 applies for the whole of the period in which the service was provided and for the period of 21 days afterwards.

35.6 Any reference to a Person laying a horse to lose includes any single instance of doing so, whether or not the single instance was, or was intended to be, one of a series of betting arrangements.

35.7 Nothing in this Rule prevents the laying of any horse owned by a Betting Organisation in the ordinary course of that Betting Organisation's business.

### **35.8 Betting Organisation means**

- 35.8.1 any bookmaker,
- 35.8.2 the Tote,
- 35.8.3 any company offering spread betting on horseracing or person-to-person betting exchanges on horseracing, and
- 35.8.4 the employees of any such organisation.

### **35.9 Any Person who is subject to these Rules must ensure that**

- 35.9.1 no Person but himself shall use an account with a Betting Organisation which is maintained in his own name to lay any horse to lose, and
- 35.9.2 all lay bets on such an account will be presumed to be effected by, or for, the benefit of the named account holder, unless in any case it is proved that the lay betting in question was effected by another Person without the account holder's actual or constructive knowledge, or actual or implied consent and not for his potential benefit.

## **36. Communication of Inside Information**

**36.1 Inside Information** is information about the likely participation or likely performance of a horse in a race, which

- 36.1.1 is known by an Owner, Trainer, Rider, stable employee or any of their service providers as a result of acting as such, and
- 36.1.2 is not information in the public domain.

36.2 A Person must not communicate Inside Information directly or indirectly to any other Person for any material reward, gift, favour or benefit in kind.

36.3 Schedule 5 specifies certain circumstances in which information is regarded as being in the public domain for the purposes of Paragraph 36.1.2.

## **37. Assisting, encouraging or causing Rule contraventions**

37. A Person must not assist, or encourage, or cause another Person to act in contravention of a provision of these Rules.

## **38. Participation at unrecognised meetings**

38.1 A Person must not

- 38.1.1 own, train or ride a horse at any unrecognised meeting, or
- 38.1.2 act in any official capacity in connection with such a meeting.

38.2 Paragraph 38.1 does not apply to

- 38.2.1 pony races, or
- 38.2.2 any other specific event comprising or including a race in respect of which the Authority has granted an exemption under this Rule.

38.3 An application for an exemption under Paragraph 38.2.2 will be considered by the Authority only if it is made in writing to the Authority's Office at least 2 months before the event is due to take place.

38.4 The Authority may impose conditions on the grant of any exemption.

### **Other provisions as to conduct**

## **39. Requirement to comply with controls on sponsorship**

39. A Person must comply with any Code of Conduct on sponsorship imposed by or under these Rules.

## **40. Conviction of criminal offence connected with racing**

40. A Person who is convicted of any criminal offence in relation to racing in Great Britain or in any other country or territory shall be taken to have contravened a requirement imposed on him by these Rules.

## **41. Involvement in corrupt or fraudulent practices in relation to racing**

41. A Person who

41.1 is guilty of the commission of any corrupt or fraudulent practice in relation to racing in this or any other country,

41.2 conspires with any other Person for the commission of such a practice, or

41.3 connives at any other Person being guilty of such a practice,

shall be taken to have contravened a requirement imposed on him by these Rules.

## **42. Involvement in contravention of Rules as to betting etc**

42.1 Paragraphs 42.3 and 42.4 apply where

42.1.1 a Person has dealings with a Person listed in Paragraph 42.2, and

42.1.2 those dealings cause that listed Person to contravene any provision of Rules 35, 36, (C)64,(D)53, (D)54, (D)55, (D)75 or (D)78 (which impose restrictions on riders and valets in connection with betting).

42.2 The listed Persons are any Rider, any Trainer, any stable employee whose name is entered in the register of stable employee names, any rider's agent, any master valet or any assistant valet.

42.3 If that Person is subject to these Rules, he shall be taken to have contravened a requirement imposed on him by these Rules.

42.4 If that Person is not subject to these Rules, he is liable to exclusion under Rule 64 from any premises licensed by the Authority.

42.5 In this Rule

**Register of Stable Employee Names** means the register of the names of employees of a trainer, which is maintained by the Authority under Part 3 (licences, permits and registration).

## **42A. Disclosure of unacceptable conduct**

42A. Any Person who is subject to these Rules must, as soon as reasonably practicable, disclose to the Authority full details of any approach or invitation made to

42A.1 him; or

42A.2 any other Person, of which he is, or becomes, aware, to engage in conduct that would amount to a breach of these Rules.

## **PART 5 - ENQUIRIES AND INVESTIGATIONS**

### **43. Application of this Part**

43. The Authority may exercise the powers conferred by this Part for the purpose of

- 43.1 determining whether or not the provisions of these Rules are being complied with,
- 43.2 carrying out any investigation concerning a contravention of these Rules,
- 43.3 carrying out an investigation of safeguarding matters in accordance with the Safeguarding Regulations;
- 43.4 determining any appeal made to it in accordance with Rules 76 to 82 (appeals to the Authority against Stewards' decisions), and
- 43.5 otherwise discharging the functions of the Authority.

### ***Enquiries***

### **44. Enquiries**

44.1 The Authority may at any time make enquiry into any matter relating to racing, whether the matter arises in Great Britain or elsewhere.

44.2 Paragraph 44.1 applies

- 44.2.1 irrespective of whether the matter was considered by the Stewards, and
- 44.2.2 whether or not the matter was referred to the Authority by the Stewards under Part (B)1.

44.3 Schedule 6 contains provision about Disciplinary Panels which may be convened for the purpose of carrying out enquiries.

### **45. Requirement to co-operate with enquiries**

45.1 Any Person who receives a notice under Schedule 6 of an enquiry in connection with possible Disciplinary Action being taken against him

- 45.1.1 must return the form sent to him in accordance with Paragraph 7.2 of Schedule 6,
- 45.1.2 must attend at the enquiry and at any proceedings connected with it unless his attendance is not required, and
- 45.1.3 must produce any information or record relevant to the enquiry if requested to do so by
  - 45.1.3.1 if the information or record requested is listed in Rule 50.4, the Disciplinary Panel Chairman, and
  - 45.1.3.2 otherwise, the Authority.

45.2 Any other Person, if requested to do so by or on behalf of the Authority, must

- 45.2.1 attend at the enquiry and at any proceedings connected with it, and
- 45.2.2 produce any information or record relevant to the enquiry.

45.3 The Authority may decide not to take Disciplinary Action against a Person for failure to comply with any provision of this Rule if the Person satisfies the Authority that there was good cause for the failure.

### **46. Conduct of enquiries and costs**

46.1 The Authority may determine the process and procedures applying in connection with the conduct of enquiries into

- 46.1.1 possible contraventions of these Rules, or
- 46.1.2 whether to take Disciplinary Action in relation to any person under these Rules.

46.2 The Authority may order any of the Persons listed in Paragraph 46.3 to pay

- 46.2.1 such reasonable costs and expenses relating to an enquiry, and



46.2.2 such reasonable compensation for outlay incurred in connection with it

as the Authority may determine.

46.3 The listed Persons are

46.3.1 any Person found to be in contravention of these Rules or on whom any award, order or other sanction has been imposed,

46.3.2 any Person who, under Part 7, has brought an unsuccessful appeal to the Authority against a decision of the Stewards,

46.3.3 the Trainer of any horse which has been the subject of an examination under these Rules, and

46.3.4 any Person whose conduct in relation to an enquiry was such that the Authority considers

46.3.4.1 it has unreasonably prolonged the enquiry, or

46.3.4.2 it has put the Authority or any other Person involved to additional direct or indirect expense and inconvenience.

46.4 Subject to Paragraph 46.5, the Authority may order the Trainer and/or owner to pay up to a total of £500 towards the costs of the B sample analysis procedure set out in Schedule (G)4.

46.5 For the Authority to make an order it must be satisfied that either the Trainer and/or owner should have accepted the result of the analysis of the A sample having regard to the knowledge of and the information which was available to one or other of them at the time.

46.6 The Authority may order any Person

46.6.1 who has requested and been granted an adjournment of an enquiry under these Rules, or

46.6.2 whose conduct may, in whole or in part, have caused an enquiry to be adjourned

to pay such reasonable costs and expenses as were wasted or occasioned by the adjournment and as the Authority may determine, irrespective of the final outcome of the enquiry.

## **47. Consideration of evidence**

47. The Authority may consider any video-recording, transcript, notes of evidence, statements or other material.

### ***Other powers of investigation***

## **48. Appointment of approved persons**

48.1 The Authority may approve such Persons as it considers appropriate for the purposes of exercising any of the following powers and may authorise them to

48.1.1 enter premises for training horses which are owned, controlled or occupied by a Trainer,

48.1.2 examine horses under the care of a Trainer,

48.1.3 request any information or record from any Person subject to these Rules,

48.1.4 inspect any vehicle used or to be used for the transportation of any horse or licensed Person to or from a racecourse,

48.1.5 take samples of any feedstuffs or feed additives or of any other substances or materials,

48.1.6 take custody of any vehicle, or of any substance or material, investigated under Paragraph 48.1.4 or 48.1.5, and

48.1.7 conduct a search of any Person present on licensed premises and take samples or custody of any article or materials found on such persons.

48.2 In exercising any such powers, an Approved Person must, if required to do so, produce evidence from the Authority of

48.2.1 his appointment, and

48.2.2 the scope of the investigating powers conferred on him.

48.3 In this Part **Approved Person** means a Person approved by the Authority under this Rule.

## **49. Powers to search training premises**

49.1 An Approved Person may enter any premises for training horses which the terms of his appointment authorise him to enter.

49.2 On entering premises, the Approved Person may

- 49.2.1 inspect the premises and their facilities,
- 49.2.2 inspect any vehicles used or to be used in connection with the training activity and whether or not present at the premises,
- 49.2.3 examine any horse under the care of the Trainer, whether or not it is currently in training,
- 49.2.4 conduct identification and vaccination checks,
- 49.2.5 inspect and take copies of the records a Trainer is required to keep under Rule (C)13 (duty to keep medication records),
- 49.2.6 take samples and other relevant details of any feedstuffs or feed additives or of any other substances or materials, and
- 49.2.7 take custody of any vehicle, substance or material investigated under Paragraph 49.

49.3 An examination under Rule 48.1.2 and Paragraph 49.2.3 may include taking samples for subsequent analysis.

49.4 A Person must not hinder or obstruct an Approved Person when the Approved Person is carrying out an investigation under this Part.

49.5 A Person shall be taken to have contravened a requirement imposed on him by this Rule if the Authority considers that he has

- 49.5.1 unreasonably refused an approved person access to premises, or
- 49.5.2 failed without reasonable excuse to comply with any requirement properly made by an Approved Person in exercise of his powers.

## **50. Requirement to provide information or records**

50.1 This Rule applies where an Approved Person requests any Person who is subject to these Rules to provide any information or record which the Approved Person reasonably believes is relevant to an investigation conducted under this Part.

50.2 that Person shall be taken to have contravened a requirement imposed on him by this Rule if

- 50.2.1 he fails to supply the information or record to the Authority within the time and in the manner specified when the request was made,
- 50.2.2 he fails to agree a time and place for an interview within the time specified when the request was made, or
- 50.2.3 he fails to attend such an interview.

50.3 Paragraph 50.2 does not apply if

- 50.3.1 that Person satisfies the Authority that he had good cause for his failure, or
- 50.3.2 the information or record requested falls within a category listed in Paragraph 50.4 and the request is made without prior specific authorisation from the Authority.

50.4 The listed categories of information are

- 50.4.1 telephone billing accounts for specified periods which are relevant to an investigation,
- 50.4.2 records relating to sponsorship agreements, where payment, hospitality or gratuities are involved,
- 50.4.3 training accounts providing details of payments and the Persons by whom the payments were made,
- 50.4.4 accounts in relation to the sale and purchase of horses, and
- 50.4.5 betting accounts.

50.5 that Person shall remain subject to these Rules until he has complied with the request to the reasonable satisfaction of the Authority.

50.6 Any Person who provides any information or record in accordance with this Rule is, unless the originals are

returned within 7 days, entitled to request and be provided with a copy or duplicate of it within a reasonable time of making a request.

50.7 The Authority may summarily take any of the following measures in relation to any Person who contravenes a requirement imposed on him by this Rule:

50.7.1 exclusion under Rule 64;

50.7.2 a restriction preventing any of horses in training with that Person from running under these Rules;

50.7.3 a suspension of any or all horses owned by that Person from running in races under Rule 75;

50.7.4 a suspension from riding in races under these Rules;

The taking of any of the above summary measures shall be without prejudice to the Authority's power to take any further Disciplinary Action.

## **51. Rule 50: supplementary provisions**

51.1 An Approved Person who makes a request for information or a record under Rule 50 may require

51.1.1 that any information or record is provided in such documentary or electronic storage medium as he may specify, and

51.1.2 if the information is stored in a computer or other electronic device, that copies on disc or in hard copy are provided.

51.2 A request for a telephone billing account under Rule 50.4.1 may require itemised details of all calls made during a specified period.

51.3 For the purposes of Rule 50.3.1, a failure to comply with a request for a telephone billing account on the ground that the agreement with the relevant service provider does not enable the individual to obtain itemised details shall be treated as if it were a refusal without good cause.

51.4 Accordingly, each of the following Persons must ensure that the agreement he enters into with the relevant service provider for any telephone that he uses regularly enables him to obtain itemised details of all calls

51.4.1 any Rider,

51.4.2 any Trainer,

51.4.3 any Master Valet,

51.4.4 any Assistant Valet, and

51.4.5 any Authorised Rider's Agent.

51.5 **Assistant Valet** means a Person who holds a permit to act as an assistant to a master valet which was granted by the Authority under Part (D)7;

**Authorised Rider's Agent** means a Person who holds a licence to act as a rider's agent which is granted by the Authority under Part (D)7;

**Master Valet** means a Person who holds a licence to act as a master valet which is granted by the Authority under Part (D)7.

## **PART 6 - DISCIPLINARY ACTION**

### **CHAPTER 1 - GENERAL**

#### **52. General power to deal with matters relating to racing**

52.1 The Authority may deal with any matter relating to racing whether the matter arises in Great Britain or elsewhere.

52.2 In particular, the Authority may

52.2.1 impose a Disciplinary Penalty or Penalties on any Person who contravenes a requirement imposed on him by or under these Rules,

52.2.2 on certain specified other grounds, apply such other award, order or sanction as it has power to apply under these Rules both in relation to Persons who are subject to these Rules and to other Persons,

52.2.3 deal with matters relating to safeguarding in accordance with the Safeguarding Regulations, including (without limitation) referring cases to the National Safeguarding Panel to consider whether to impose disciplinary orders and/or risk management measures,

52.2.4 disqualify horses in relation to races that have already been run, and

52.2.5 suspend horses from running in future races.

52.3 The powers of the Authority extend to conduct that has already been considered by Stewards under the Race Manual (B) and, in such cases, the Authority's powers apply

52.3.1 irrespective of any decision or action taken by the Stewards, and

52.3.2 whether or not the matter was referred to the Authority by the Stewards under Part (B)1.

52.4 Where

52.4.1 a Person has failed to comply with a requirement imposed on him by or under these Rules, or

52.4.2 has engaged in any other conduct in respect of which the Authority has power to take Disciplinary Action under these Rules,

the Authority may decide not to take any Disciplinary Action against the Person if he satisfies the Authority that, in all the circumstances, there was good cause for the failure or conduct.

52.5 Except where expressly stated, the Authority's powers to take Disciplinary Action under these Rules are not limited or excluded by reason of the fact that some Rules do while others do not prescribe specific sanctions for their contravention.

### **CHAPTER 2 - PERSONS**

#### ***Disciplinary action for contravention of these Rules***

#### **53. Powers to take Disciplinary Action against a person for contravention of these Rules**

53.1 The Authority may take Disciplinary Action against a Person under this Rule if

53.1.1 the Authority considers that he is guilty of misconduct, and

53.1.2 the Authority is satisfied that it is appropriate in all the circumstances to take action against him.

53.2 A Person is guilty of misconduct if, while he is subject to these Rules

53.2.1 he contravenes a requirement imposed on him by or under these Rules,

53.2.2 any provision of these Rules states that he is taken to have contravened any such requirement, or

53.2.3 any provision of these Rules states that he is liable to Disciplinary Action.

53.3 If the Authority is entitled to take Disciplinary Action against a person under Paragraph 53.1

53.3.1 it may impose on him any of the Disciplinary Penalties specified in Rules 54 to 62, and

53.3.2 more than one penalty may be imposed in respect of each contravention of a Rule, including a continuing contravention.

#### 53.4 Where a Rule

53.4.1 requires a particular penalty, award, order or sanction, the Authority must comply with the requirement, or

53.4.2 makes provision for the application of any other penalty, award, order or sanction, that provision shall continue to apply notwithstanding that the Authority may have imposed one or more Disciplinary Penalties under Rules 54 to 62.

53.5 If a particular Rule so provides, contravention of the Rule does not give rise to any of the consequences provided for in this Part.

53.6 In Rules 54 to 62 the Offender means a Person against whom the Authority is entitled to take action under this Rule.

### **54. Cautions**

54. The Authority may issue the Offender with a caution.

### **55. Financial penalties**

55.1 The Authority may impose on the Offender a financial penalty of such amount as the Authority considers appropriate.

55.2 The amount of any financial penalty imposed shall not exceed £75,000.

55.3 The Authority may

55.3.1 defer all, or

55.3.2 any part of a financial penalty with

55.3.3 it becoming payable pending, or

55.3.4 subject to any future event.

### **56. Suspension or withdrawal of licence or permit**

56.1 The Authority may suspend or withdraw any licence or permit held by the Offender.

56.2 Rule 72 contains supplementary provisions which apply where a licence or permit is withdrawn.

### **57. Declaration of ineligibility for licence or permit or registration**

57.1 The Authority may declare that the Offender is ineligible for any licence or permit or registration under these Rules.

57.2 A declaration of ineligibility under Paragraph 57.1 may be imposed for such period or periods as the Authority may specify.

### **58. Declaration of disqualification of persons**

58.1 The Authority may declare the Offender to be a Disqualified Person.

58.2 A disqualification under Paragraph 58.1 may be indefinite or may be imposed for such period or periods as the Authority may specify.

58.3 When the Authority declares the Offender to be a Disqualified Person, the Authority may give such directions as it considers appropriate concerning the handling of any future application by that Offender for permission to be employed in a racing stable under Rule 71.2.

58.4 Rule 71 contains supplementary provisions which apply where a person is declared to be a Disqualified Person.

### **59. Additional penalties: trainers**

59.1 This Rule applies where the Offender is a Trainer, and any penalty that is imposed under this Rule is in addition to any other penalty, award, order or sanction applied under these Rules.

59.2 The Authority may impose, for such period or periods as the Authority considers appropriate, such restrictions as it may specify on the running of all horses which are in the Trainer's care.

59.3 In particular, such restrictions may include

- 59.3.1 refusing to accept any entry for a horse,
- 59.3.2 refusing to allow any horse to run even if it is duly entered,
- 59.3.3 where a horse has left the care of the Trainer and run in a race, refusing to allow the horse to return to the care of the Trainer, and
- 59.3.4 refusing to allow any horse to be declared to run under Part (F)6.

59.4 Paragraphs 59.3.1 and 59.3.4 do not apply to any horse running in a race that will be run outside the period of the restriction.

## **60. Additional penalties: rider to attend remedial training**

60.1 This Rule applies where the Offender is a Rider, and any penalty that is imposed under this Rule is in addition to any other penalty, award, order or sanction applied under these Rules.

60.2 The Authority may order the Rider to attend a course in remedial training at the British Racing School or Northern Racing College.

## **61. Additional penalties: rider's suspension extended to all racecourses**

61.1 This Rule applies where the Offender is a Rider, and any penalty that is imposed under this Rule is in addition to any other penalty, award, order or sanction applied under these Rules.

61.2 Where the Stewards have suspended a Rider from riding at a particular racecourse for any period

61.2.1 the Rider is to be regarded for the purposes of Rule 53 as a Person guilty of misconduct and against whom it is appropriate for the Authority to take Disciplinary Action, and

61.2.2 subject to the exceptions specified in Rule 62, the Authority will impose on the Rider a general suspension for the same period and which applies to all races at other racecourses.

61.3 Subject to Paragraph 61.4, any suspension imposed by the Authority under this Rule shall take effect in accordance with Schedule (B)1 (effective days for riding suspension by Stewards).

61.4 The Authority may, if it considers it appropriate to do so, substitute a different period in which the general suspension under this Rule will apply, in any case where

61.4.1 the Rider's suspension is for a period of 4 days or less,

61.4.2 the Rider makes an application to the Authority in accordance with Paragraph 61.5, confirming that he is engaged to ride outside Great Britain, and

61.4.3 the Authority is satisfied that, without a substitution of the period under this Paragraph, the Rider's general suspension would otherwise fall on a day when the Rider is engaged to ride outside Great Britain in a race which

61.4.3.1 takes place at a meeting with a Group 1 Pattern Race,

61.4.3.2 is regarded as Group 1, as indicated in Part 1 of the International Cataloguing Standards Book, or

61.4.3.3 the Authority considers to be the equivalent of a Grade 1 Pattern Race.

61.5 The Rider's application must be made to the Authority's Disciplinary Department

61.5.1 before 1.00p.m. the day before the day of the race the Rider wishes to ride in , or

61.5.2 before 5.00p.m. on the last previous day that the Authority's Office is open for business, if the deadline in 61.5.1 falls on a day on which it is closed.

61.6 Where the Authority exercises its power under Paragraph 61.4 to substitute the period of a Rider's suspension, it may impose such restrictions or conditions as the Authority considers appropriate.

## **62. Rule 61: excepted cases**

62.1 The general suspension for which Rule 61.2.2 makes provision is subject to the following exceptions.

62.2 No general suspension will be imposed where the right of appeal to the Authority under Rules 76 or 82 has been exercised in respect of the Stewards' suspension and the appeal is not yet finally determined.

62.3 No general suspension will be imposed

62.3.1 where the Authority has decided to cancel the Stewards' suspension in exercise of its powers under Rule (B)18 (other powers of the Authority as to Stewards' decisions), or  
62.3.2 to the extent that the Authority has reduced the period of the suspension in exercise of those powers.

62.4 Where the original riding suspension imposed by Stewards on a Professional Rider is for 4 days or less, no general suspension will be imposed in respect of any day when

62.4.1 a Group 1 or Grade 1 Pattern Race is programmed to take place in Great Britain, and  
62.4.2 the Rider would otherwise be entitled to ride in that race (whether under the terms of his jockey's licence or the equivalent authorisation to ride by a Recognised Racing Authority).

62.5 Where the original riding suspension imposed by Stewards on an Amateur Rider in a steeple chase, hurdle race or National Hunt Flat Race is for 4 days or less, no general suspension will be imposed in respect of any day when a Grade 1 Pattern Race is programmed to take place in Great Britain.

62.6 The Authority may, on an application by a Professional Rider or an Amateur Rider made under Paragraph 12 of Schedule (B)1, direct that the exception specified in Paragraph 62.4 or 62.5 does not apply to him in respect of the original riding suspension imposed by Stewards.

### ***Authority's other powers to take Disciplinary Action***

## **63. Powers to suspend or withdraw licences on grounds other than Rule contravention**

63.1 The Authority may suspend or withdraw any licence or permit granted to a Person under these Rules if the Authority considers that

63.1.1 such action is necessary in the interests of racing, pending the outcome of an ongoing investigation or process (whether or not undertaken by the Authority), or  
63.1.2 any other good cause is shown.

63.2 Rule 72 contains supplementary provisions which apply where a licence or permit is withdrawn.

## **64. Power to issue exclusion orders**

64.1 The Authority may exclude a Person from any premises licensed by them, or cause or order him to be excluded from such premises where the Authority considers the presence of the Person on such premises is undesirable in the interest of racing.

64.2 An exclusion under Paragraph 64.1 may be indefinite or may be imposed for such period as the Authority may specify.

64.3 A Person may be excluded under this Rule whether or not he is otherwise subject to these Rules and even though he is not, and has not been declared, a Disqualified Person.

## **65. Power to prohibit Overseas Riders from riding in races under these Rules**

65.1 The Authority may prohibit an Overseas Rider from taking part in any race, or any description of race, run under these Rules.

65.2 A prohibition under Paragraph 65.1 may be indefinite or may be imposed for such period or periods as the Authority may specify.

### ***Events triggering automatic disqualification***

## **66. Person whose name appears on the Forfeit List**

66.1 Where a Person's name appears on The Forfeit List, that person shall be treated as a Disqualified Person for the purposes of these Rules until his name is removed from the List.

66.2 Where a Recognised Company is disqualified by virtue of Paragraph 66.1 its registration under these Rules shall be cancelled.

66.3 Paragraph 66.1 applies regardless of when the Arrears arose or whether The Forfeit List was published under any previous version of the Rules of Racing.

## **67. Person whose name appears in official forfeit list of Recognised Racing Authority**

67.1 Where the Authority is notified by a Recognised Racing Authority that a Person's name appears in an official forfeit list published by that Recognised Racing Authority, that Person shall be treated as a Disqualified Person for the purposes of these Rules from the date of such notification until such time as his name is removed from that list.

67.2 The Authority may, on application to it, direct that Paragraph 67.1 shall not apply to such Person as it may specify.

67.3 Any application under Paragraph 67.2 must be made to the Authority's Office before the end of the period of 7 days starting with the day after that on which the Person's name is first published in the relevant official forfeit list.

67.4 The Recognised Racing Authority may make an application to the Authority to be represented at any hearing convened by the Authority in order to determine an application for the purposes of Paragraph 67.2. Any such application shall be determined by the Disciplinary Panel Chairman.

67.5 If the Recognised Racing Authority chooses to make an application pursuant to paragraph 67.4, the application and any subsequent attendance at a hearing shall be at its own expense.

## **68. Person disqualified by order of a Recognised Racing Authority**

68.1 This Rule applies to any Person on whom disqualification has been imposed by a Recognised Racing Authority.

68.2 For so long as that Person's disqualification continues, he shall be treated as a Disqualified Person under these Rules.

68.3 The Authority may

68.3.1 on application by that Person, direct that Paragraph 68.2 shall not apply to him, or

68.3.2 when such an application is made, suspend the operation of Paragraph 68.2 pending the Authority's decision on the application.

68.4 that Person may not make an application for the purposes of Paragraph 68.3 unless he has exhausted all appeal procedures available to him under the rules of the Recognised Racing Authority.

68.5 The application must be made in writing to the Authority's Office before the end of the period of 3 days starting with the day after that on which

68.5.1 the appeal under the rules of the Recognised Racing Authority is finally dismissed, or

68.5.2 where there is no procedure for appeal, the disqualification is imposed.

68.6 The Authority may also consider an application by that Person if that Person satisfies the Authority that it was not possible to comply with Paragraph 68.5 and that the application was made at the earliest opportunity.

68.7 The Authority shall direct that Paragraph 68.2 shall not apply to a Person where the Recognised Racing Authority informs the Authority in writing that it does not wish for the disqualification to be reciprocated under this Rule.

68.8 The Recognised Racing Authority may make an application to the Authority to be represented at any hearing convened by the Authority in order to determine an application for the purposes of Paragraph 68.3. Any such application shall be determined by Disciplinary Panel Chairman, and in the event that such application is successful, the Recognised Racing Authority may only make submissions relating to any alleged failure to comply with: (i) the rules of natural justice; or (ii) the rules of the Recognised Racing Authority.

68.9 If the Recognised Racing Authority chooses to make an application pursuant to paragraph 68.8, the application and any subsequent attendance at a hearing shall be at its own expense.

### ***Rider suspended under other Rules or regulations***

## **69. Jockey or amateur rider suspended by Recognised Racing Authority**

69.1 This Rule applies where a Jockey or a person who holds an amateur rider's permit granted by the Authority has been suspended from riding by a Recognised Racing Authority.

69.2 The Jockey or amateur rider must not ride in any race on any day when such suspension is effective.

69.3 The Authority may

69.3.1 on the application of a Jockey or amateur rider, direct that Paragraph 69.2 shall not apply to him, and



69.3.2 when such an application is made, suspend the operation of Paragraph 69.2 pending the Authority's decision on the application.

69.4 The Jockey or amateur rider may not make an application for the purposes of Paragraph 69.3 unless he has exhausted all appeal procedures available to him under the rules of the Recognised Racing Authority.

69.5 The application must be made in writing to the Authority's Office before the end of the period of 48 hours starting with the day after that on which

69.5.1 the appeal under the rules of the Recognised Racing Authority is finally dismissed, or

69.5.2 where there is no procedure for appeal, the suspension is imposed.

69.6 The Authority may also consider an application for the purposes of Paragraph 69.3 if the Jockey or amateur rider satisfies the Authority that it was not possible to comply with Paragraph 69.5 and that the application was made at the earliest opportunity.

69.7 The Authority shall direct that Paragraph 69.2 shall not apply to a Jockey or amateur rider where the Recognised Racing Authority informs the Authority in writing that it does not wish for the suspension to be reciprocated under this Rule.

69.8 The Recognised Racing Authority may make an application to the Authority to be represented at any hearing convened by the Authority in order to determine an application for the purposes of Paragraph 69.3. Any such application shall be determined by the Disciplinary Panel Chairman, and in the event that such application is successful, the Recognised Racing Authority may only make submissions relating to any alleged failure to comply with: (i) the rules of natural justice; or (ii) the rules of the Recognised Racing Authority.

69.9 If the Recognised Racing Authority chooses to make an application pursuant to paragraph 69.8, the application and any subsequent attendance at a hearing shall be at its own expense.

## **70. Rider suspended at Arabian horse race or point-to-point steeple chase**

70.1 This Rule applies where any Jockey or person who holds an amateur rider's permit granted by the Authority has been suspended from riding by the Stewards of a meeting which was held under

70.1.1 the Authority's Regulations for Arabian Horse Racing, or

70.1.2 the Authority's Regulations for Point to Point Steeple Chases.

70.2 The Jockey or amateur rider must not ride in any race on any day when such suspension is effective.

### ***Miscellaneous and supplementary***

## **71. Consequences of being a Disqualified Person**

71.1 For the period of his disqualification, a Disqualified Person must not

71.1.1 act as a Steward or official at a recognised meeting,

71.1.2 act as an Authorised Agent under these Rules,

71.1.3 enter, run, train or ride a horse in any race at a recognised meeting, but this is subject to Paragraph 9 of Schedule (B)2 (which provides for a 14 day period of grace for trainers disqualified for being on Forfeit List),

71.1.4 be employed in any racing stable without first having obtained permission from the Authority under Paragraph 71.2,

71.1.5 enter any premises licensed by the Authority,

71.1.6 deal in any capacity with a racehorse (for example, by selling or placing shares in the horse) unless that Person is making arrangements for the sale of his horse(s) after being declared a Disqualified Person, and he has the Authority's approval to do so,

71.1.7 be a proprietor or a director of an equine swimming pool or be employed at such a pool, or

71.1.8 lease, or continue to lease, any horse that he owns to a third party, unless he has the Authority's approval to do so.

71.2 The Authority may, on an application made to it by a Disqualified Person, grant permission for the Disqualified Person to be employed in any racing stable for the purposes of Paragraph 71.1.4.

71.3 The procedure for making such an application is specified in Paragraph 20 of Schedule 6 (procedure for the

granting of such permission).

71.4 Where the Authority finds that a horse has been dealt with in contravention of Paragraph 71.1.6

71.4.1 the horse shall be automatically declared to be suspended from all future racing, and

71.4.2 the suspension shall be removed only when the Authority is satisfied that the horse has been sold on the open market to a purchaser who has no previous connections with the Disqualified Person.

71.5 Where an entry for a race which is made by a Disqualified Person has been mistakenly or inadvertently accepted, the entry shall be void and the horse shall not be qualified to be entered or to start.

71.6 Where a Person registered as an Owner is declared a Disqualified Person that Person may not leave in the care or control of a Trainer, any horse that he owned at the time of being charged or disqualified unless the Authority is satisfied that there has been a genuine sale arrangement.

## **72. Withdrawal or suspension of licence or permit: supplementary provisions**

72.1 Where the Authority suspends or withdraws a licence or permit under any provision of this Part, the Authority may determine how, and subject to what requirements or conditions, the suspension or withdrawal of the licence or permit is to take effect.

72.2 A determination under Paragraph 72.1 may be general or be with specific reference to a particular case or cases.

72.3 For example, the Authority may

72.3.1 determine the period or periods for which the suspension or withdrawal is to take effect,

72.3.2 specify the races or description of race in respect of which it is to take effect,

72.3.3 determine that the whole or any part of a period for which the licence or permit is to be suspended, or that any particular respect in which the suspension of the licence or permit is to take effect, shall itself be suspended for so long as the Person concerned complies with such requirements or conditions as the Authority may specify,

72.3.4 provide for any part of the suspension of the licence or permit to take effect only if a further suspension is imposed under these Rules (whether by the Stewards or by the Authority), in respect of a matter occurring within such period as the Authority may specify, including upon the outcome of any pending appeal or enquiry, and

72.3.5 reinstate the licence or permit at the end of a specified period if the Person complies with (or continues to comply with) such requirements or conditions as the Authority may specify.

72.4 In any case where a partial suspension of the kind referred to in Paragraph 72.3.4 is activated by a subsequent suspension, the two periods of suspension are to take effect consecutively.

## **CHAPTER 3 - HORSES**

### **73. General powers to disqualify a horse or suspend it from running**

73.1 The Authority may disqualify a horse under Rule 74, or suspend it from running under Rule 75, in any circumstances it considers appropriate.

73.2 The disqualification of a horse may apply to one or more races that have already been run.

73.3 Disqualification of a horse under Rule 74 will result in all other placings being altered accordingly unless expressly stated otherwise within the established ground.

73.4 Disqualification of a horse under Rule 74, and the resultant alteration of placings, will take effect from 12.01a.m. on the day after the disqualification is ordered.

73.5 The suspension of a horse from running may apply to prevent the horse from running in

73.5.1 one or more specified races or races of a specified description, and

73.5.2 any future races.

73.6 Suspension of the kind referred to in Paragraph 73.5.2 may be indefinite or may be imposed for such period as the Authority may specify.

73.7 The power under Paragraph 73.5 to suspend a horse from running includes

73.7.1 power to provide for the suspension to take effect automatically where the horse has failed to

meet performance criteria set by the Authority, and  
73.7.2 power to make the lifting of a suspension subject to such restrictions or conditions as the Authority considers appropriate.

#### 73.8 Where

73.8.1 a Person makes an error, or contravenes a Rule, in entering a horse for a race, and  
73.8.2 the appropriate steps specified in Rule (F)78 (steps for correcting certain errors) for correcting the error or contravention have been taken,

the horse shall not be liable to disqualification on account of the error or contravention.

### **74. Disqualification of horses in races already run**

74.1 The powers conferred by Paragraph 74.2 are exercisable by the Authority on an objection made to it under Part (B)7 or where such circumstances are found by the Disciplinary Panel to have occurred.

74.2 The Authority will disqualify a horse in relation to a race that has already been run, if the Authority is satisfied that any of the following grounds is established.

#### GROUND 1

Where the horse has been the subject of fraudulent practice.

#### GROUND 2

Where the Authority considers that, at the time of the race, the Rider of the horse was not permitted to ride under these Rules.

Examples of circumstances in which this Ground will apply include

- 74.2.1 that the Rider did not hold a jockey's licence or an amateur rider's permit granted by the Authority or, in the case of an Overseas Rider, was not qualified to ride in the race under Part (D)4;
- 74.2.2 that the Rider was suspended from riding under these Rules;
- 74.2.3 that the Rider was prevented from riding by Rule (D)51 (declaration of unfitness to ride).

#### GROUND 3

Where the horse has been the subject of an examination under Part (B)1 and a sample from the horse tests positive for a Prohibited Substance.

On a disqualification on this ground following analysis of a stored sample

- 74.2.4 all prize money paid respectively to the owner, Trainer or Rider must be repaid by them to such Person as the Authority may direct (or failing any such direction to the Authority itself), and
- 74.2.5 any physical prize or trophy awarded to a winning owner of the disqualified horse must be surrendered by the owner to the Authority,

but there will be no alteration in the placing of any other horse in the race.

The Authority may direct that Paragraph 74.2.4 or 74.2.5 shall not apply to any owner, Trainer or Rider who satisfies the Authority that there are exceptional reasons why it should not apply.

#### GROUND 4

Where the Authority considers that any provision of Schedules (B)2 (requirements for a horse to enter) and (B)3 (qualifications for horse to run) has not been complied with in relation to the horse.

#### GROUND 5

Where the Authority considers that the horse carried less than the weight that it should have carried in accordance with the conditions of the race and these Rules.

#### GROUND 6

Where a different name is used for entering or running a horse in a race from that specified in relation to the owner under Part (E)3.

#### GROUND 7

Where

74.2.6 a Partnership, lease or other arrangement for running a horse (the arrangement) is entered into in respect of the horse after the horse has been entered in a race,  
74.2.7 the arrangement qualifies for registration under Chapter 3 of Part (E)3, and  
74.2.8 the horse starts for the race without the arrangement having been registered.

The Authority may decide not to disqualify a horse on this Ground if it is satisfied that the failure to notify The Racing Calendar Office of the arrangement was accidental and The Racing Calendar Office certifies that it accepts the registration.

#### GROUND 8

Where

74.2.9 a horse has changed ownership with a transfer of engagements, and  
74.2.10 the horse starts for a race without notice of the transfer of engagements having been given to

The Racing Calendar Office under Part (F)5 (entries).

The Authority may decide not to disqualify a horse on this Ground if it is satisfied that the failure to notify The Racing Calendar Office of the transfer of engagements was accidental, but any Person responsible for the failure shall be liable instead to a financial penalty imposed by the Authority.

#### GROUND 9

Where a horse which is the subject of a lease is run in a Selling or Claiming Race without the lessee having obtained the lessor's prior written consent.

#### GROUND 10

Where the Authority considers that the provisions of Schedule (G)3 (sampling at racecourse) were not followed in relation to a horse.

#### GROUND 11

Where provided for in Manual (G), as a consequence for a Horse following an Equine Anti-Doping Rule Violation. On a disqualification on this ground:

74.2.11 all prize or other money paid respectively to the owner, Trainer, Rider or any other recipient in accordance with these Rules other than the stable of the horse must be repaid by them to such Person as the Authority may direct (or failing any such direction to the Authority itself), and

74.2.12 any physical prize or trophy which has been awarded to a winning owner, Trainer or Rider of the disqualified horse or to any other prize recipient must be surrendered by the relevant recipient to the Authority.

The Authority may direct that Paragraph 74.2.11 or 74.2.12 shall not apply to any owner, Trainer, Rider or other recipient who satisfies the Authority that there are exceptional reasons why it should not apply.

#### GROUND 12

Where the horse is the subject of an inaccurate, misleading or fraudulent declaration at the time of registration with the General Stud Book and/or Authority.

### **75. Suspension of horses from running in future races**

75.1 If the Authority is satisfied that any of the following grounds is established, it may suspend a horse from running.

#### GROUND 1

Where the Authority has imposed a Disciplinary Penalty on a Person under Rules 54 to 62 in respect of a contravention of a Rule and the horse was involved in the circumstances giving rise to the contravention.

#### GROUND 2

Where the horse has been the subject of fraudulent practice.

#### GROUND 3

Where an examination of a horse which was ordered by Stewards under Part (B)1 shows a Prohibited Substance.

#### GROUND 4

Where a horse has been the subject of an examination by an Approved Person authorised to enter the Trainer's premises under Part 5 and a sample from the horse tests positive for a Prohibited Substance prohibited at all times as specified in Schedule (G)1.

#### GROUND 5

Where the horse is the subject of an inaccurate, misleading or fraudulent declaration at the time of registration with the General Stud Book and/or the Authority.

#### GROUND 6

In such other circumstances as may be specified in these Rules as a ground for suspending the horse.

75.2 Where the Stewards have exercised their powers under Part (B)1 to suspend a horse from running at a particular racecourse for a particular period, the Authority will impose a general suspension on the horse to prevent the horse from running at any other racecourse for the same period.

75.3 The exceptions in Rules 62.2 and 62.3 shall apply in relation to the general suspension of a horse under Paragraph 75.2, as those provisions apply in relation to the general suspension of a Rider under Rule 61.

## **PART 7 - APPEALS**

### **Appeals to the Authority from Stewards' decisions**

#### **76. Appeals to the Authority from Stewards' decisions**

76.1 Any Person listed in Paragraph 76.2 who is aggrieved by a Stewards' decision is entitled to appeal to the Authority.

76.2 The Persons who may appeal under this Rule are

76.2.1 any owner, Trainer or Rider of a horse in a race which is the subject of

76.2.1.1 a Stewards enquiry under Rule (B)11.6,

76.2.1.2 a suspension following a contravention of a Rule contained in Part (B)4, or

76.2.1.3 an objection under Rule (B)73.2, or

76.2.2 any other Person on whom any form of Disciplinary Penalty has been imposed by the Stewards under Part (B)1.

#### **77. Requirement to co-operate for the purposes of an appeal**

77.1 If he is requested to do so by or on behalf of the Authority, a Person must

77.1.1 attend the hearing of any appeal under Rule 76, and

77.1.2 produce any information or record relevant to the appeal.

77.2 The Authority may decide not to take Disciplinary Action for any failure to comply with any provision of this Rule if the Person satisfies the Authority that there was good cause for the failure.

#### **78. Bringing an appeal**

78.1 In any case where

78.1.1 a decision of the Stewards relates to a contravention of Rule (B)58 or (B)59.2 (failure to obtain the best possible placing), or

78.1.2 a Rider has been suspended from riding,

the appellant must lodge a notice of appeal with the Authority's Office before the end of the period of 48 hours starting with the day after that on which the Stewards' decision is announced.

78.2 In any other case the appellant must lodge a notice of appeal with the Authority's Office before the end of the period of 7 days starting with the day after that on which the Stewards' decision is announced.

78.3 No appeal notice may be lodged unless it is accompanied by a deposit of

78.3.1 in the case of an appeal by an Apprentice Jockey, Conditional Jockey or amateur rider

78.3.1.1 £110, in any case where a financial penalty of £500 or less was imposed, and

78.3.1.2 otherwise £250;

78.3.2 in any other case

78.3.2.1 £220, in any case where a financial penalty of £500 or less was imposed, and

78.3.2.2 otherwise £500.

78.4 The deposit may be returned to an appellant, save:

78.4.1 that it shall be forfeited where the Disciplinary Panel concludes that the appeal had no realistic prospect of success. In such circumstances, the written reasons shall address the issue;

78.4.2 where the Disciplinary Panel orders it be applied towards the satisfaction of any costs award.

78.5 The notice of appeal must be signed by the appellant, his Authorised Agent or his solicitor and must state

the grounds of appeal in general terms.

78.6 Where the appeal is from the imposition of a financial penalty of £500 or less, the notice of appeal must also state whether the appellant seeks a personal hearing or is content for the appeal to be decided on a submission of written evidence.

## **79. Submission of written evidence**

79.1 This Rule applies where an appeal is to be decided by submission of written evidence.

79.2 The appellant must before the end of the period of 7 days starting with the day on which the notice of appeal is lodged submit to the Authority's Office such written evidence and representations as he wishes to be considered by the Authority.

79.3 The Authority may request the Stewards whose decision is subject to appeal also to submit written evidence.

79.4 Where the Authority requires further information for the purposes of considering the appeal, the Authority may direct that a written summary of evidence must be compiled by such Person as it may specify.

79.5 The written summary of evidence must be signed by the appellant.

79.6 If the appellant fails to sign the written summary of evidence the Authority will treat the appeal as one where the appellant has required a personal hearing.

## **80. Consideration by the Authority**

80.1 The Authority must consider and determine any appeal made to it from a Stewards' decision.

80.2 The Authority may confirm or reverse or otherwise vary the decision of the Stewards and, in connection with any of the matters raised on appeal, may exercise any of the Authority's powers under Part 6.

80.3 On an appeal, the Authority has the same powers as to costs as it has under Rule 46 in relation to enquiries.

80.4 Where

80.4.1 the appeal is from the imposition of a financial penalty of £500 or less, and

80.4.2 the appellant has not requested a personal hearing,

the appeal will be considered in the absence of the appellant and the Authority must communicate its decision to the appellant in writing prior to publication.

## **81. Implementation of decision to suspend a horse for future races**

81.1 Where the appeal is against a decision by the Stewards to suspend a horse from running in future races

81.1.1 the suspension of the horse shall not take effect until the appeal has been determined, and

81.1.2 if the appeal is dismissed, the suspension shall commence on the day following that on which a decision on the appeal is given.

81.2 The Authority may direct that Paragraph 81.1.1 or 81.1.2 does not apply in any particular case.

81.3 An appeal against a decision by the Stewards to suspend a horse may not be withdrawn without the consent of the Authority and, in giving its consent, the Authority may impose such conditions as it considers appropriate (for example, by specifying the dates between which the suspension is to take effect or by imposing any orders as to costs and forfeiture of the deposit).

## **82. Implementation of decision to suspend a rider**

82.1 Where an appeal against a decision by the Stewards to suspend a Rider is dismissed, the suspension of the Rider shall commence either

82.1.1 on the date determined in accordance with the provisions of Schedule (B)1 (which makes provision as to commencement of a rider's suspension), or

82.1.2 if the appeal has not been concluded by that date, on the day following that on which the decision on the appeal is given.

82.2 The Authority may direct that Paragraph 82.1 does not apply in any particular case.

### ***Appeals from decisions of the Authority***

## **83. Power to provide for appeals to an Appeal Board**

83.1 The Authority's general powers under Part 1 include power to make provision for decisions made by the Authority to be reviewed by, or appealed to, boards (known as Appeal Boards), in such circumstances and on

such terms as the Authority considers appropriate.

83.2 The Authority may from time to time

83.2.1 make new provision for and in connection with appeals to an Appeal Board, and

83.2.2 modify or delete an existing provision.

## **84. Appeal Boards**

84.1 Appeal Boards shall be convened in accordance with Schedule 7 to hear appeals from decisions of the Authority.

84.2 Schedule 7 contains provision about

84.2.1 the decisions against which a Person has a right to appeal to an Appeal Board,

84.2.2 the Persons by whom an appeal may be brought,

84.2.3 the membership of an Appeal Board,

84.2.4 the convening of an Appeal Board,

84.2.5 the process and procedure for making appeals,

84.2.6 the powers of an Appeal Board in the conduct and determination of an appeal, and

84.2.7 certain other matters relating to the conduct of appeals.

## **85. Implementing decisions subject to right of appeal**

85.1 Subject to Paragraphs 85.2 to 85.5, a decision by the Authority against which there is a right of appeal to an Appeal Board shall not be carried into effect until the time for bringing an appeal has expired without an appeal being brought.

85.2 If an appeal is brought, the Authority's decision shall not be carried into effect until the day after the date on which the appeal

85.2.1 is finally disposed of by an Appeal Board,

85.2.2 is abandoned, or

85.2.3 fails by reason of non-prosecution.

85.3 A refusal by the Authority of any application made to it (such as for the grant or renewal of a licence or permit) shall take effect immediately.

85.4 A decision under Part 6 to suspend a horse from running in future races shall take effect the day after the date on which the decision is announced whether or not the Rider, Trainer or other Person has, or exercises, a right of appeal to an Appeal Board.

85.5 A decision to

85.5.1 withdraw or suspend a licence or permit for a period of 3 months or more, or

85.5.2 declare a Person to be a Disqualified Person,

shall take effect immediately on the announcement of the decision unless the Authority or an Appeal Board directs otherwise.

85.6 Any direction under Paragraph 85.5 may be given subject to such restrictions or conditions as the Authority or the Appeal Board considers appropriate.

## **86. Implementing decision of Appeal Board**

86.1 An Appeal Board shall announce its decision to the parties to the appeal as soon as practicable and in such a manner as it considers appropriate.

86.2 Unless an Appeal Board directs otherwise, any decision made by it (including a decision to impose or substitute a Disciplinary Penalty or other measure) shall come into effect the day after the announcement of the decision.



## **PART 8 - SPECIFIC FUNCTIONS OF THE AUTHORITY**

### **87. Maintaining the Forfeit List**

87.1 The Authority may

- 87.1.1 keep a record of all Arrears due to it (the Forfeit List), and
- 87.1.2 authorise the publication of the Forfeit List.

87.2 The Forfeit List may include

- 87.2.1 the sums due,
- 87.2.2 the name or names of the Person or Persons from whom the sums are due, and
- 87.2.3 such other information as the Authority may consider appropriate.

87.3 The Forfeit List is available on the BHA website ([britishhorseracing.com](http://britishhorseracing.com)).

87.4 A Person's name may be removed from the Forfeit List only on payment of any published Arrears direct to The Racing Calendar Office.

### **88. Controls on race conditions, advertising and sponsorship**

88.1 The Authority may

- 88.1.1 prohibit the advertisement in The Racing Calendar of any race or meeting, and
- 88.1.2 direct any Racecourse Managing Executive to modify or remove any of the conditions of a race, even after it has been advertised.

88.2 The Authority may

- 88.2.1 determine the circumstances in which sponsorship is permitted for or in connection with racing, and
- 88.2.2 approve any sponsorship agreements, subject to such restrictions or conditions as it may determine.

### **89. The Breeders' Prize Scheme and Appearance Money Scheme**

89.1 The Authority may establish and operate

- 89.1.1 a scheme which specifies conditions under which the recorded breeder of a horse qualifies to receive a payment in respect of any race won by a horse to which the scheme applies;
- 89.1.2 a scheme for paying appearance money to the owners of horses in certain races.

89.2 The current Breeders' Prize Scheme is set out in Schedule (F)10.

89.3 The current Appearance Money Scheme is set out in Schedule (F)11.

89.4 Recorded breeder, in relation to a horse, means the Person identified as the recorded breeder in the General Stud Book or the Non-Thoroughbred Register.

### **90. Managing the numbers of horses running in a race**

90. The Authority may specify the circumstances in which a race is to be divided or declarations made under Rule (F)89 are to be eliminated.

### **91. Prohibiting certain equipment used for racing**

91. The Authority may prohibit any equipment for use on a horse in a race which they consider is unsuitable, unsafe or ineffective.

### **92. Requiring stalls tests**

92.1 The Authority may determine the circumstances in which a horse

- 92.1.1 may be required to take a stalls test, and
- 92.1.2 will be prohibited from taking a stalls test.

92.2 A prohibition under Paragraph 92.1.2 may take effect automatically and may last for such period or periods

as the Authority may determine.

### **93. Maintaining the list of Recognised Racing Authorities**

93.1 A Recognised Racing Authority is any racing authority which is for the time being listed in Schedule 8.

93.2 The Authority may at any time in connection with the discharge of its functions under these Rules

93.2.1 approve a racing authority as a Recognised Racing Authority and add its name to the list specified in Schedule 8, and

93.2.2 modify or delete any existing entry.

### **94. Powers in relation to Authorised Agents**

94. The Authority may allow or refuse to allow any Person to act, or continue to act, as authorised agent or sub-agent for another Person for the purposes of these Rules.

### **95. Regulation of Arabian horse racing**

95.1 The Authority may authorise the publication of the British Horseracing Authority Regulations for Arabian Horse Racing.

95.2 Arabian horse races are held under the sanction of the Authority and under those Regulations.

95.3 Each Person taking part in those races must comply with those Regulations.

### **96. Regulation of point-to-point steeple chasing**

96.1 The Authority may authorise the publication of the British Horseracing Authority Regulations for Point-to-Point Steeple Chases

96.2 Point-to-point steeple chases are held under the sanction of the Authority and under those Regulations.

96.3 Each Person taking part in those races shall comply with those Regulations.

## **PART 9 - MISCELLANEOUS**

### ***Equine swimming pools***

#### **97. Equine swimming pools: requirement for certificate of approval**

97.1 No Person may operate an equine swimming pool unless he holds a certificate of approval granted by the Authority.

97.2 An initial application for a certificate of approval, and an application for its renewal, must be made using such form as may be prescribed by the Authority.

97.3 A certificate of approval expires at the end of the period of 12 months starting with the date on which it is granted or renewed.

97.4 An application under Paragraph 97.2 must be sent to the Authority's Office together with

97.4.1 the name of the pool's proprietors,

97.4.2 if any proprietor is a body corporate, the names of its directors,

97.4.3 a list of all Persons employed by the proprietors at the pool, and

97.4.4 such fee as the Authority may from time to time determine,

and any changes to the Person listed in Paragraphs 97.4.1 to 97.4.3 must be notified to the Authority before the end of the period of 14 days starting with the day on which the change takes place.

97.5 The fees payable shall be such as the Authority may from time to time determine.

97.6 The Authority may, if it considers it appropriate to do so

97.6.1 either on an initial application or subsequently, inspect the applicant's establishment at such time and with such frequency as it considers appropriate, and 97.6.2 grant or renew a certificate of approval subject to such conditions or restrictions as it consider appropriate.

97.7 A certificate of approval shall immediately cease to be valid if

97.7.1 the certificate expires and is not renewed,

97.7.2 any of the listed Persons in Paragraphs 97.4.1 to 97.4.3 becomes a Disqualified Person,

97.7.3 it appears to the Authority that a listed Person was already a Disqualified Person at the time the application for the grant or renewal of the certificate was made,

97.7.4 there has been any failure to notify the Authority under Paragraph 97.4 of any changes to a listed Person, or

97.7.5 the Authority gives a direction under Paragraph 97.8.

97.8 The Authority may direct that a certificate of approval shall cease to be valid where

97.8.1 any action, proceedings or arrangement under any insolvency or bankruptcy law is taken against the proprietor or any of its directors, or

97.8.2 in such other circumstances as the Authority considers appropriate.

### ***Value added tax***

#### **98. General liability for value added tax**

98.1 Where a fee or other sum of money is payable by any Person under these Rules, the amount of any value added tax (VAT) which is chargeable on the payment shall also be paid by the Person who makes the payment.

98.2 Nothing in this Rule affects any obligation a Person may have to pay VAT in addition to any fee or other sum of money which is payable under these Rules.

#### **99. Fees for VAT administration**

99.1 To register his racing activity as a business for VAT or extend an existing VAT registration an application must be sent to The Racing Calendar Office together with the appropriate fee specified in Schedule 1.

99.2 A fee specified in Schedule 1 shall be payable for VAT administration

99.2.1 with effect from the date on which the information is first recorded, and  
99.2.2 subject to Paragraph 100.6, at the end of the period of 12 months starting with that date and at the end of each subsequent 12 month period.

## **100. VAT registration scheme**

100.1 The VAT registration scheme means the scheme in respect of value added tax which is set out in the Memorandum of Understanding dated 16th March 1993 and which was agreed between the thoroughbred horseracing and breeding industry and HM Revenue and Customs.

100.2 A Sole Owner, Partner, Partnership, Recognised Business Partnership or Syndicate who wishes to

100.2.1 register his racing activity as a business for VAT purposes under the VAT registration scheme, or

100.2.2 extend an existing VAT registration to provide for his racing activity, must submit an application on the Prescribed form signed by the Owner to The Racing Calendar Office.

100.3 The Authority shall have complete discretion whether to approve any application. An application will be deemed invalid unless

100.3.1 the ownership is registered in accordance with these Rules,

100.3.2 the Owner has secured income via an owner's sponsorship agreement registered under Rule (E)91, and

100.3.3 the horse has been reported as being in the trainer's yard as required by Rule (C)16.1.

100.4 The Owner must notify The Racing Calendar Office of his VAT Registration Number and the effective date of his VAT Registration by forwarding to The Racing Calendar Office a copy of the relevant documentation received from HM Revenue and Customs.

100.5 After receipt of notification under Paragraph 100.4 and the payment of the fee required by Rule 99.1, The Racing Calendar Office will cause VAT to be added, as appropriate, to any subsequent account which it receives under the provisions of Rule (F)129 (crediting of money due).

100.6 A fee required by Rule 99.2 shall be payable for VAT administration.

100.7 Once an Owner ceases to be registered for VAT purposes under the VAT registration scheme, he must immediately notify The Racing Calendar Office by forwarding a copy of all relevant documents received from HM Revenue and Customs.

100.8 Paragraph 100.5 shall immediately cease to apply, and an Owner's VAT record shall be cancelled, where The Racing Calendar Office is notified by one of the following methods that an owner has ceased to be registered for VAT purposes under the VAT registration scheme

100.8.1 notice by the Owner or, if the Owner is deceased, of any executor or personal representative of his,

100.8.2 in the case of a Recognised Company, notice by an officer of the Company or of any liquidator of the Company,

100.8.3 in the case of a Partnership, notice by any Partner, and

100.8.4 on receipt of HM Revenue and Customs Form 35.

## ***Publication of information***

## **101. Powers to publish information**

101.1 The Authority may at any time publish notice of

101.1.1 any charges for the contravention of these Rules which are laid against any Person (including any facts alleged in support),

101.1.2 any topics for a disciplinary enquiry,

101.1.3 any topics for an appeal hearing,

101.1.4 any directions given, and findings made, in respect of a Rule contravention, enquiry or hearing,

101.1.5 any penalties, award, order or other sanctions applied,

101.1.6 any other decision made by the Authority as to any matter or any Person, and  
101.1.7 any decision or report of Stewards of Meetings (but this without prejudice to the power of the Stewards under Rule (B)11 (enquiries) to publish information).

101.2 Except where these Rules provide otherwise, publication may be made in such manner as the Authority thinks appropriate, whether in the public press and media or the Racing Administration Internet Site or otherwise.

### ***Delegation of functions***

## **102. Delegation of functions**

102.1 Except where these Rules provide otherwise, the Authority may make arrangements for any one or more of its functions to be exercised on its behalf by

- 102.1.1 a committee or sub-committee of the board of the Authority, or
- 102.1.2 any Person nominated by the Authority, including a member of its staff.

102.2 The Authority may make such arrangements where it is satisfied that it is in the interest of the efficient administration of horseracing and the operation of these Rules to do so.

102.3 If the Authority considers it appropriate to do so, it may ratify the exercise (or purported exercise) on its behalf of any one or more of its functions by any Person notwithstanding that the Person may not have been duly authorised by the Authority at the relevant time.

102.4 This Rule does not restrict the Authority's general powers under these Rules.

## **103. Delegation: right of reconsideration**

103.1 Where any Person is adversely affected by an act or decision made by an employee of the Authority on behalf of or in the name of the Authority, that Person has the right to have the matter in question referred to the Authority if

- 103.1.1 he makes an application in writing for reconsideration,
- 103.1.2 the application is received at the Authority's Office before the end of the period of 72 hours starting with the day on which the Person is given notice of the act or decision in question, and
- 103.1.3 the circumstances reasonably permit a reconsideration to take place.

103.2 On an application under Paragraph 103.1, the act or decision shall stand unless and until the Authority decides otherwise.

### ***Exclusion of liability***

## **104. Exclusion of liability**

104.1 Neither the Authority nor its employees or agents shall be liable to any Person for any act done or omission made in the bona fide discharge or purported discharge of any duties on the part of any such employee or agent under or pursuant to these Rules.

104.2 Nothing in this Rule shall exclude liability for death or personal injury resulting from negligence.

## **PART 10 - SUPPLEMENTARY**

### ***Giving notices etc***

#### **105. The giving of notices, directions and other documents**

105.1 This Rule applies where provision made (in whatever terms) by or under these Rules authorises or requires a notice, direction or any other document (including a copy of a document) to be given or sent to a Person.

105.2 For the purposes of this Rule, the proper address of a Person is

105.2.1 in the case of a body corporate, the address of the registered or principal office of the body,

105.2.2 in the case of a partnership, or any other unincorporated body, the address of the principal office of the partnership or body, and

105.2.3 in any other case, the last known address of the Person in question.

105.3 This Rule has effect subject to Rule 106 (notices, directions and documents in electronic form).

#### **106. The giving of notices, directions and other documents in electronic form**

106.1 This Rule applies where

106.1.1 any provision of these Rules authorises the giving or sending of a notice, direction or other document by its delivery to a particular person (the recipient), and

106.1.2 the notice, direction or other document is transmitted to the recipient

106.1.2.1 by means of an electronic communications network, or

106.1.2.2 by other means but in a form that nevertheless requires the use of apparatus by the recipient to render it intelligible.

106.2 The transmission has effect for the purposes of these Rules as a delivery of the notice, direction or other document to the recipient, but only if the requirements imposed by or under this Rule are complied with.

106.3 Where the Person making the transmission is the Authority, it may (subject to Paragraph 106.6) determine

106.3.1 the manner in which the transmission is made, and

106.3.2 the form in which the notice, direction or other document is transmitted.

106.4 Where the recipient is the Authority

106.4.1 in the case of an application for the grant of any licence or permit in accordance with these Rules, the Authority must, within 7 days of the electronic transmission, receive at the Authority's Office (or at The Racing Calendar Office, as appropriate) the original of all documents required to make the application, and

106.4.2 in any other case, the Authority must receive the original of such documents as it may specify within such period as it may specify.

106.5 If any requirement of Paragraph 106.4 is not complied with, the Authority may withdraw any licence or permit and cancel any registration or other step taken by it in reliance on the information contained in the electronic transmission.

106.6 Where the recipient is a Person other than the Authority, the recipient must have indicated to the Person making the transmission the recipient's willingness to receive notices, directions or other documents transmitted in the form and manner used.

106.7 An indication to a Person for the purposes of Paragraph 106.6

106.7.1 must be given to the Person in such manner as he may require,

106.7.2 may be a general indication or one that is limited to notices or documents of a particular description,

106.7.3 must state the address to be used,

106.7.4 must be accompanied by such other information as the person requires for the making of the transmission, and

106.7.5 may be modified or withdrawn at any time by a notice given to the person in such manner as he may require.

106.8 In this Rule electronic communications network has the same meaning as in the Communications Act 2003 (c. 21).

## **107. Deemed service of notices, directions and other documents**

107.1 A notice, direction or other document which is given or sent in accordance with these Rules shall, subject to Paragraph 107.2, be deemed to be received on the day shown in the table below

107.2 Unless the context otherwise requires, if a document is received by the Authority

107.2.1 after 5.00 pm, on a business day, or

107.2.2 at any time on a Saturday, Sunday, Bank Holiday, Good Friday or Christmas Day

it will be treated as being received on the next business day.

<b>Method of Service</b>	<b>Deemed Day of Service</b>
First class post (or other service for next-day delivery)	The 2nd day after it was posted
Delivering the document to a permitted address	The day after it was delivered to that address
Fax/Email	If transmitted on a business day, before 4 p.m., on that day; otherwise, on the business day after the day on which it was transmitted
Other electronic means	The 2nd day after the day on which it is transmitted

## **108. Computation of time**

108. Except where these Rules provide otherwise, when the specified period for doing any act at the Authority's Office ends on a day on which the office is closed, that act will be done in time if done by 5.00pm on the next day on which the Authority's Office is open.

### ***Procedure for the making of Rules etc***

## **109. Publication of Rules, regulations or guidance**

109.1 This Rule applies where the Authority proposes to

109.1.1 add new Rules or regulations,

109.1.2 modify, delete or suspend any existing Rules or regulations, or

109.1.3 give any new guidance.

109.2 Before the date on which the proposed change takes effect, the Authority must publish notice of it in The Racing Calendar.

109.3 Paragraph 109.2 does not require publication of prior notice where

109.3.1 the change in question is made in a case of emergency or expediency,

109.3.2 it is a modification, deletion or suspension of an existing Rule or regulation, and

109.3.3 the Authority subsequently reports the fact that it was made without prior notice.

109.4 The report required by Paragraph 109.3.3 must be published in the next issue of The Racing Calendar.

### ***Interpretation***

## **110. Meaning of rider**

110. Unless the context otherwise requires, any reference in this Manual to rider (without more) is to

110.1 a Jockey,

110.2 a Person who holds an amateur rider's permit granted by the Authority, or

110.3 an Overseas Rider,

who is not suspended from riding by the Authority or by a Recognised Racing Authority.

## 111. References to Jockeys

111.1 In this Manual, unless the context otherwise requires, Jockey

111.1.1 means a Person who holds a jockey's licence granted by the Authority, and

111.1.2 includes an Apprentice Jockey or a Conditional Jockey.

111.2 For these purposes

**Apprentice Jockey** means a Person who holds an apprentice jockey's licence granted by the Authority (see Rule 15.3);

**Conditional Jockey** means a Person who holds a conditional jockey's licence granted by the Authority (see Rule 15.3).

## 112. References to other types of rider

112.1 In this Manual, unless the context otherwise requires, Overseas Rider

112.1.1 means a Person who is authorised by a Recognised Racing Authority to ride under the rules of that Racing Authority (whether by grant of a licence, permit or otherwise), but

112.1.2 does not include a Person who also holds a jockey's licence or an amateur rider's permit granted by the Authority.

112.2 In Parts 4 to 7, unless the context otherwise requires

**Amateur Rider** means

112.2.1 a Person who holds an amateur rider's permit granted by the Authority, or

112.2.2 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to such a permit and who rides in a race under these Rules;

**Professional Rider** means

112.2.3 a Jockey, or

112.2.4 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to a jockey's licence granted by the Authority and who rides in a race under these Rules.

## 113. Other definitions

113.1 Definitions of

113.1.1 terms used in only one Rule are set out in that Rule, and

113.1.2 terms used in more than one Part are set out in Rules 110 to 112 and in the following provisions of this Rule.

113.2 In this Manual, unless the context otherwise requires

**Appeal Board** means a board convened under Part 7 to hear appeals from decisions made by the Authority;

**Appeal Board Chairman** means a member of the Chairman's Panel of the Appeal Board selected to chair an Appeal Board under Paragraph 4 of Schedule 7;

**Appeal Board Pool** means the pool of Persons appointed by the Judicial Panel Chairman in accordance with the Terms of Reference for the Appeal Board who are eligible to sit on an Appeal Board;

**Arrears** means all sums due to be paid in accordance with these Rules (including any unpaid stake) together with any costs assessed by the Court;

**Assistant Valet** means a Person who holds a permit to act as an assistant to a master valet which was granted by the Authority under Part (D)7;

**Authorised Agent**

113.2.1 in the case of a Recognised Company, means the registered agent of the company under Rule (E)41 (Recognised Company to act through registered agent), and



113.2.2 otherwise, means any person authorised by the Authority to act as agent as agent or sub-agent for another person in exercise of the Authority's powers under Rule 94;

**the Authority** means the British Horseracing Authority;

**the Authority's Office** means the office for the time being appointed by the Authority as the office of the British Horseracing Authority (the present address is 75 High Holborn, London, WC1V 6LS);

**Business Partner and Recognised Business Partnership** have the meaning given in Rule (E)48;

**Chairman's Panel** means the panel of Persons appointed by the Judicial Panel Chairman in accordance with the Terms of Reference for the Appeal Board who are eligible to chair an Appeal Board;

**Clear Day** means, in determining the number of days:

113.2.2A The day on which the period begins; and

113.2.2B If the end of the period is defined by reference to an event, the day on which that event occurs

are excluded.

**Clear Working Day** means, in determining the number of days:

113.2.2C The day on which the period begins; and

113.2.2D If the end of the period is defined by reference to an event, the day on which that event occurs; and

113.2.2E Saturday, Sunday, Bank Holiday, or day on which the Authority's office is not open for non-automated commercial business

are excluded.

**Deputy Judicial Panel Chairman** means the Person appointed by the Judicial Panel Chairman as his deputy in accordance with the Terms of Reference for the Appeal Board;

**Disciplinary Action** means any action taken by the Authority under Part 6 or by the Stewards under Part (B)1;

**Disciplinary and Licensing Panel Pool** means the pool of Persons appointed by the Judicial Panel Chairman in accordance with the Terms of Reference for the Disciplinary Panel and the Terms of Reference for the Licensing Committee who are eligible to sit on a Disciplinary Panel and/or a Licensing Committee;

**Disciplinary Panel** means a disciplinary panel convened for the purpose of carrying out an enquiry under Part 5;

**Disciplinary Panel Chairman** means a member of the Disciplinary and Licensing Panel pool selected to chair a Disciplinary Panel under Paragraph 3.1 of Schedule 6;

**Disciplinary Penalty** means any penalty imposed by the Authority under Rules 54 to 62 on a person for being in contravention of a Rule;

**Disqualified Person** means a person who is for the time being a Disqualified Person pursuant to

113.2.3 these Rules,

113.2.4 any Rules of Racing previously in force,

113.2.5 the Authority's Regulations for Point-to-Point Steeple Chases, or

113.2.6 the Authority's Regulations for Arabian Horse Racing;

**the Forfeit List** means the list maintained by the Authority under Rule 87;

**General Instructions** means instructions relating to one or more racecourses which are issued to racecourse managing executives by the Authority;

**Judicial Panel Chairman** means the independent head of the Authority's judicial system who oversees and is responsible for the Disciplinary Panel, Licensing Committee and Appeal Board;

**Judicial Panel Secretary** means the Person appointed to provide administrative support to the Judicial Panel Chairman, the Disciplinary and Licensing Panel Pool and the Appeal Board Pool;

**Master Valet** means a Person who holds a licence to act as a master valet which is granted by the Authority under Part (D)7.

**National Hunt Flat Race** means a flat race for horses which at starting have not run under any recognised Rules of Racing except in national hunt flat races held under these Rules or in Irish national hunt flat races or in French AQPS races (and, by virtue of race conditions, no horse aged more than 7 years old will be eligible to start in a

national hunt flat race.);

**National Safeguarding Panel** means the National Safeguarding Panel operated by Sport Resolutions (UK) (a trading name of The Sports Dispute Resolution Panel Ltd);

**Owner** means the owner pursuant to Rule (E)96; or, where the Horse is not trained in Great Britain, the Person who is duly registered in the register of Owners or is otherwise registered in the country in which the Horse is trained as being a Horse's owner;

**Partner** means an individual or entity whose name is registered in the register of Owners in accordance with Rule (E)67;

**Partnership** means an arrangement through which a Horse is registered in accordance with Rule (E)67;

**Person** includes a body corporate;

**Prescribed** means prescribed by the Authority;

**Prohibited Substance**

113.2.7 means a substance which

113.2.7.1 originates externally to the horse, whether or not it is endogenous to it, and

113.2.7.2 is listed in any of the categories specified in Paragraph 1, 2, 3 or 4 of Schedule 3, and

113.2.8 includes the metabolites of the substance and the isomers of the substance and the metabolites;

**Racecourse Managing Executive** means the person who holds a racecourse licence granted by the Authority under Part (F)2;

**Racing Administration Internet Site** means the internet based administration service provided by the Authority;

**The Racing Calendar** means the work published under that name, including on the Racing Administration Internet Site, and includes any references on that site to the 'Racing Bulletin' which is authorised by the Authority;

**The Racing Calendar Office** means the office for the time being appointed by the Authority as The Racing Calendar Office (the present Racing Calendar Office is at Weatherbys, Sanders Road, Wellingborough, Northamptonshire, NN8 4BX);

**Racing Club** means an arrangement through which a horse is registered in accordance with Rule (E)73F;

**Recognised Company** means a company which is for the time being registered in the register of Owners under Rules (E)39 to (E)46;

**Recognised Racing Authority** means a racing authority of a country which is for the time being recognised by the Authority under Rule 93;

**Registered Agent**, in relation to a recognised company, means an agent for the company who is for the time being registered under Rule (E)41;

**Safeguarding Regulations** means the regulations authorised by the Authority as the governing provisions for all matters relating to safeguarding in Racing;

**Sole Owner** means an individual whose name is registered in the register of Owners in accordance with Rule (E)30A;

**Syndicate** means an arrangement through which a horse is registered in accordance with Rule (E)73A;

**these Rules** means all the Rules of racing, including provisions which are contained in any other Manual (see Rule 3);

**Trainer**, in Parts 4 to 7

113.2.9 means any person who holds a licence or permit to train which is granted by the Authority or whose authorisation by a Recognised Racing Authority corresponds to such a licence or permit; and

113.2.10 includes any person who is treated as a trainer in accordance with Rule (C)1.1.3 (horse trained solely for hunters' steeple chases, the Grand Military Gold Cup or the Royal Artillery Gold Cup);

**VAT** means value added tax for the time being in force;

**Veterinary Officer**

means a registered veterinary surgeon engaged by the Authority;

**Veterinary Surgeon** means any qualified veterinary practitioner appropriately registered to practice.

113.3 Any reference to a sample from a horse testing positive for any substance is to be construed in accordance with Rule (C)52.

113.4 Words importing the masculine gender include the feminine.

113.5 The singular includes the plural (and vice versa).

## SCHEDULES

### Schedule 1 - Fees

With effect from January 1, 2019, the fees payable under these Rules shall be as follows (plus VAT where applicable).

Fee payable under	Description	Amount
<b>General Manual (A)</b>		
Rule 99	Fee for VAT administration	£40.42
Rule 100	Authorisation of VAT declaration	
	<b>Sole</b> Owner or Company	£28.67
	Partner or Syndicate	£57.42
<b>Race Manual (B)</b>		
Fee payable under	Description	Amount of fee
Schedule 3, Para 26	Registration of a Hunters' Certificate	£77.25
<b>Trainer Manual (C)</b>		
Rule 16	Non on-line return of horse in training	£5.38
Rule 39	Replacement of Trainer's Identity Card	£38.25
Rule 40.8.1 and 40.8.2	Initial issue and renewal of Racehorse Attendants Identity Card and/or Validity Pass	£14.75
40.8.3	Replacement of a lost Racehorse Attendants Identity Card and/or Validity Pass	£38.25
Schedule 8, Para 5	Assessment of poor jumper	£387.02
	<b>Addition of undeclared headgear</b>	<b>£84.67</b>
<b>Rider Manual (D)</b>		
Rule 4	Flat race jockey licence	£197.17
Rule 4	Steeple chase and hurdle race jockey licence	£197.17
Rule 4	Apprentice jockey licence	£95.50
Rule 4	Conditional jockey licence	£95.50
Rule 17	Category A amateur rider permit	£101.75
Rule 17	Category B amateur rider permit	£101.75
Rule 23	Replacement of medical record book	£49.25
Rule 39	Registration of jockey's sponsorship agreement	£38.25
Rule 69	Master valet licence	£49.25
Rule 69	Valet's assistant permit	£49.25
Rule 69	Rider's agent licence	£192.75
Rule 77	Registration of authority to act as rider's agent for particular rider	£54.83
	<b>Combined flat/jump licence</b>	<b>£251.17</b>
<b>Horse and Owner Manual (E)</b>		
Rule 3	Registering a horse name - standard	£88.50
	<b>Registering a horse name - fast track (day prior to entry)</b>	<b>£133.50</b>
	<b>Registering a horse name - fast track (day of entry)</b>	<b>£313.42</b>
Rule 7	Single identity check	£43.67
	<b>Foreign bred naming fee (including identity check)</b>	<b>£132.17</b>
Rules 10 and 12	Change of a name	£88.50
	Reserving a name	
	-Year's reservation and yearly re-reservation	£119.58

	- Temporary reservation	£39.75
Rule 13	Initial issue of passport	£49.42
Rule 14	Revision and re-issue of passport	£49.42
	Replacement of lost passport	£105.75
Rule 21	Racing clearance notification (RCN)	£41.08
Rule 22	Passport endorsement	
	At The Racing Calendar Office	Nil
	At the Authority's office	Nil
	At the racecourse	Nil
	Owner registration: individuals, companies partnerships, clubs	
Rules 29 and 30A	Sole owner	£84.83
Rules 29 and 39	Recognised Company	£801.50
Rule 41	Registration of agent for an additional Recognised Company (also for annual renewal)	£57.42
	Owner registration: arrangements for multiple ownership	
Rules 60 and 73C	Syndicate	£320.67
Rule 73C	Change of Syndicate name	£33.92
Rules 60 and 68	Initial registration of Partnership	£206.00
Rule 69	Change of Partnership name	£33.92
Rule 71	Add Partner	£95.25
Rules 60 and 73F	Racing Clubs	£320.67
Rule 73H	Change of Racing Club name	£33.92
Rule 74	Single race lease	£150.33
Rule 76	Initial registration of other kinds of lease	£46.17
Rule 77	Re-registration of such leases	£23.33
Rule 85	Registration and re-registration of racing colours (where the registrant has had a horse in training in the last 18 months)	
	Single year	£56.58
	5 year	£275.83
	10 year	£537.50
	20 year	£1018.50
	Registration and re-registration of racing colours (where the registrant has not had a horse in training in the last 18 months)	
	Single year	£70.25
	5 year	£342.00
	10 year	£666.58
	20 year	£1,263.00
	Transferring or selling colours to non- family member	£140.42
Rule 90	Registration of authority to act as agent for owner	£54.83
Rule 91	Owner's sponsorship agreement	£29.58
<b>Race Administration Manual (F)</b>		
Rule 67	Replacement of a lost security code	£38.25
Rule 73	Entry for a race which closes to Horse Racing Ireland but made directly to the Racing Calendar Office	£82.00
Rule 81	Registration of transfer of engagements	£27.83
Rule 106	Entry processing fee	

	- General (internet only)	£21.54
	- General (call centre)	£32.25
	- Foreign races	£80.92

## **Schedule 2 - Deleted**

## **Schedule 3 - Deleted**

## **Schedule 4 -The Bloodstock Industry Code of Practice**

### ***Introduction***

The Code of Practice sets out the principles which apply to all sales of bloodstock and sales of stallion shares and nominations, be they private sales or sales at public auction, ensuring that sales of bloodstock in Britain not only comply with the law, but set and maintain a high standard of integrity and transparency, which will safeguard the interests of vendors, consignors, bloodstock agents, owners, trainers and the sales companies.

### ***Definitions***

Agent means any trainer, consignor, bloodstock agent, racing or stud Manager or other person or entity who represents a Principal in the sale or purchase of bloodstock, stallion shares and nominations, whether the Agent is paid by way of retainer, commission or other forms of remuneration, or has ongoing financial arrangements (for example the payment of management or training fees), or not.

Principal means a person or entity who appoints an Agent to act as agent on his behalf in the sale or purchase of bloodstock, stallion shares and nominations as in the definition above.

For clarification, words importing the masculine gender shall include the feminine.

### ***Code***

1. An Agent owes a duty to his Principal to act at all times in accordance with his Principal's best interests.
2. An Agent shall not place himself in a position where personal interests conflict with the duty to his Principal. In particular, an Agent shall not use his position to obtain a secret payment or secret profit, which means any payment or benefit in kind received by an Agent that is not disclosed to his Principal.
3. When an Agent acts as a vendor or part-vendor and sells or intends to sell any horse in which he has an interest to a Principal, or intended Principal, the Agent must disclose to his Principal, before completion, the full extent of that ownership or interest and the benefit derived from that transaction.
4. If an Agent acts for more than one Principal in a transaction (which might be both the vendor and purchaser), the Agent can only do so if he has first disclosed this fact, before completion, to all his Principals, and obtained their consent.
5. An Agent must notify his Principal, wherever possible in advance, when a conflict of interest could arise, such as transactions involving third parties with whom he has a retainer, transactions where he is aware he will benefit from a third party, or transactions concerning horses which he has previously purchased or been involved with.
6. An Agent shall disclose to his Principal and, if required, account to his Principal for any Luck Money paid to him by or on behalf of a vendor. Luck Money means any financial payment or payment in kind made by or on behalf of a vendor to a Purchaser or his Agent, after the sale of a horse has been concluded. The practice of giving and receiving Luck Money shall be entirely voluntary, transparent and should be disclosed to all appropriate parties by the recipient. A vendor has no obligation whatsoever to pay Luck Money and the non-payment of such should not prejudice any further business activity.
7. If an Agent receives an offer to purchase a horse he must relay that offer in its entirety to his Principal and respond in accordance with the Principal's instructions.
8. A vendor must not offer any secret payment or secret profit to any person whom he believes to be an Agent acting for a prospective purchaser.

### ***Dispute Resolution***

9. Any dispute arising out of an alleged breach of the Code of Practice should be reported by a complainant to one of the following trade bodies or to the appropriate Sale Company in the first instance:

Federation of Bloodstock Agents  
National Trainers Federation  
Racehorse Owners Association  
Thoroughbred Breeders Association  
Doncaster Bloodstock Sales Ltd  
Tattersalls Ltd

A complainant shall provide written evidence of the alleged breach of the Code to the relevant trade body or the Sale Company in support of the allegation. The Sale company or the trade body will conduct its own investigation and may seek to mediate, or may advise the complainant of their right to pursue the complaint through the Courts. The commencement of a mediation will not prevent the parties commencing court proceedings.

#### Disciplinary Proceedings under the Rules of Racing

10. If the Authority is satisfied there has been a breach of this Code of Practice, it is likely to consider this to be contrary to the integrity, proper conduct or good reputation of horse racing, and the persons involved, whether bound by the Rules of Racing, or not, may be banned from British racecourses and other licensed premises and will also not be permitted to conduct business with licensed individuals.

This Code of Practice has been drawn up and published by the following organisations:

The British Horseracing Authority  
Doncaster Bloodstock Sales Ltd  
Federation of Bloodstock Agents  
National Trainers Federation  
Racehorse Owners Association  
Tattersalls Ltd  
Thoroughbred Breeders Association

### **Schedule 5 - Information regarded as in the public domain**

1. This Schedule specifies certain circumstances in which information is to be regarded, for the purposes of Rule 36.1.2 (communication of Inside Information), as being in the public domain.

1.1 It is not, and does not purport to be, an exhaustive statement of such circumstances.

2. Information is regarded as being in the public domain where the information is accessible to the public on a Trainer's or owner's telephone information line or website (whether or not for payment).

3. Information is regarded as being in the public domain if both of the following conditions are satisfied.

3.1 The first condition is that a Trainer or a Rider gives the information or expresses his opinion on a horse in a race in the course of

3.1.1 an interview or presentation conducted in the course of television or radio broadcasting;

3.1.2 an interview given, or article written, for the purposes of general publication (for example a written article, regular column, or website);

3.1.3 a talk or other presentation given to a specific group or groups (such as corporate sponsorship groups) or in the context of corporate hospitality or stable yard public days.

3.2 The second condition is that any fee paid to the Trainer or Rider for the information or opinion is no greater than that which reasonably reflects the occasion and his status.

### **Schedule 6 - Disciplinary Panels**

1. The provisions of this Schedule apply to any enquiry before a Disciplinary Panel but they are subject to any specific requirements set out in these Rules.

#### ***Selection***

2.1 The members of any Disciplinary Panel empanelled to conduct an enquiry will be selected from the Disciplinary and Licensing Panel Pool by the Judicial Panel Chairman in accordance with the Terms of Reference for the Disciplinary Panel.

2.2 The Judicial Panel Chairman shall provide to any Person provisionally selected sufficient details of the matter in question and the individuals concerned so as to enable any Person provisionally selected to declare any interest and to disqualify himself or to seek any waivers of objection as appropriate prior to final selection.

2.3 The Judicial Panel Chairman may delegate his function to the Deputy Judicial Panel Chairman.

#### ***Role of the Disciplinary Panel Chairman***

3.1 Each Disciplinary Panel shall have a Disciplinary Panel Chairman who shall be selected by the Judicial Panel Chairman in accordance with the Terms of Reference for the Disciplinary Panel.

3.2 Unless either the Judicial Panel Chairman so directs, or all parties otherwise agree, the Disciplinary Panel Chairman shall be a legally qualified person of sufficient qualification and experience.

3.3 Where the notification of charges includes a statement to the effect that the Authority considers the matter

suitable for a preliminary hearing

- 3.3.1 such a hearing will be held unless the Disciplinary Panel Chairman decides otherwise, and
- 3.3.2 it will normally be held on the first Thursday after the expiry of 28 days from notification of the charges.

3.4 The Disciplinary Panel Chairman shall give such directions as he considers appropriate for the purpose of ensuring a fair and expeditious conduct of the proceedings.

***Conduct of enquiry***

4. So far as reasonably practical in the circumstances of any particular case and subject to Paragraph 6 of this Schedule, the Disciplinary Panel Chairman must ensure that

- 4.1 in respect of any matter said to give rise to a contravention of any provision of these Rules, short particulars are provided in writing to any Person who is at risk of Disciplinary Action being taken against him, sufficient for him to understand the matters to be addressed in the enquiry;
- 4.2 the Rules in question are identified to that Person;
- 4.3 that Person understands those Rules;
- 4.4 statements and documents to be relied upon by the Authority are provided to that Person;
- 4.5 that Person is allowed a reasonable time to enable him to deal fairly with the matters raised in the statements and documents;
- 4.6 that Person is permitted legal representation and oral evidence is heard only in the presence of that Person or his representative who shall be given a fair opportunity to question any witness;
- 4.7 subject to Paragraph 5.1, the proceedings are conducted in private;
- 4.8 having decided that Person is in contravention of any provision of these Rules, but before deciding what Disciplinary Action to take, both that Person and the Authority (or their respective representatives) are given an opportunity to address the Disciplinary Panel regarding both the nature and extent of any Disciplinary Action to be taken;
- 4.9 subject to Paragraphs 5.2 and 5.3, the Disciplinary Panel must provide written reasons sufficient to allow the Authority and any Person against whom Disciplinary Action has been taken to understand the Disciplinary Panel's decision and which material facts have been relied upon; and
- 4.10 any Person who wishes the implementation of a decision to be stayed may apply for this when the decision is announced and before the Disciplinary Panel Chairman brings the hearing to a close.

5.1 The Authority may decide that, in relation to such types of matters as it may specify, an enquiry may be conducted in the presence of representatives of the media and, where such representatives are to be present

5.1.1 there will be a presumption that the proceedings will be open to representatives of the media unless any Person involved in a relevant enquiry satisfies the Disciplinary Panel Chairman, on written request, that there are exceptional reasons why that enquiry should be held in private, and

5.1.2 any request under Paragraph 5.1.1 for a private hearing must be submitted

5.1.2.1 in the case of an enquiry on an appeal made to the Authority under Rules 76 to 82 (appeal to Authority against Stewards' decision), at the time of the appeal or

5.1.2.2 otherwise, within 3 days of receipt of the letter requiring attendance at an enquiry.

5.2 A Disciplinary Panel shall provide written reasons, save for in exceptional circumstances:

5.2.1 in the case of an appeal from a racecourse in accordance with Rule 76, within 48 hours following the conclusion of the hearing; or

5.2.2 where the Disciplinary Panel sits as a tribunal of first instance in accordance with Rule 83, within 20 working days of the conclusion of the hearing.

5.3 A failure to comply with the requirements of Paragraph 5.2 shall not invalidate the proceedings or its outcome.

6.1 The Disciplinary Panel Chairman may decide that because of special circumstances the enquiry is to be conducted in a manner which involves a substantial departure from the procedure set out in Paragraphs 4 and 5



and, if he does, he will on an application made by any Person subject to the enquiry give reasons for his decision.

6.2 In all other cases reasons need not be given for decisions concerning the conduct of an enquiry.

6.3 The Disciplinary Panel Chairman will normally determine questions of procedure on the basis of written submissions without a hearing.

7.1 The provisions of Paragraphs 7.2 to 7.5 do not apply

7.1.1 to any appeal under Rules 76 to 82, or

7.1.2 to the extent that the Disciplinary Panel Chairman or the Authority, in writing, waives the application of some or all of such requirements.

7.2 At the time that the Authority notifies a Person who is the subject of the enquiry that an enquiry has been convened, and supplies him with particulars of the matters and evidence on which the Authority relies, the Authority will also provide him with a form for completion and that Person must, before the enquiry, complete the form disclosing

7.2.1 whether he admits to being in contravention of these Rules (see also Paragraph 10)

7.2.2 whether, and to what extent, he admits the evidence of any statement obtained by the Authority and given to him (this is necessary even if a Person admits to a contravention),

7.2.3 the nature of the case he intends to advance at the enquiry,

7.2.4 the identity of any witness he intends to call together with a summary of their evidence or a copy of their statement, and

7.2.5 the time he estimates he will require to present his case at the enquiry.

7.3 Unless the Authority otherwise determines, the completed form must be delivered to the Authority's Office

7.3.1 before the end of the period of 21 days starting with the date of receipt of the form, or

7.3.2 before the start of the period of 10 days that ends with the date fixed for start of the enquiry, whichever is the earlier.

7.4 Where there is a failure to return the form in accordance with Paragraphs 7.2 and 7.3, the Disciplinary Panel may

7.4.1 refuse to allow any evidence which is not disclosed in accordance with Paragraph 7.2 to be given at the enquiry, or

7.4.2 adjourn the enquiry and make an order for costs pursuant to the powers of the Authority under Rule 46.4.

7.5 A legally qualified member of the Disciplinary Panel may, in the absence of the Disciplinary Panel Chairman, exercise any of the functions under this Paragraph.

8. All questions concerning the admissibility of evidence shall be for determination by each Disciplinary Panel in its discretion and a panel shall not be bound by any enactment or Rule of law relating to the admissibility of evidence before a court of law or statutory tribunal.

9.1 A Disciplinary Panel shall reach its decision by simple majority and any such decision shall be announced as the decision of the panel.

9.2 Reasons given for decisions shall not include references to any minority opinion or dissenting view.

### ***Plea bargains***

10.1 A Person who wishes to explore with the Authority the possibility of admitting to lesser charges if more serious charges are not proceeded with (a plea bargain) should make this known to the Authority as soon as possible and ideally before the submission of the form referred to in Paragraph 7.2.

10.2 No member of a Disciplinary Panel will be informed of this unless a plea bargain is concluded.

10.3 Save in very simple cases it will be necessary for the Person seeking a plea bargain and the Authority to agree a statement of relevant facts regarding the charges it is proposed should be admitted so as to provide the Disciplinary Panel with sufficient information to enable it to make an accurate assessment of the seriousness of the matter.

10.4 If the facts in respect of any admitted charges cannot be agreed it may be necessary to convene a preliminary hearing so that the Disciplinary Panel can assess whether disagreement is such that it should be

resolved before a decision on what Disciplinary Action to take is made, and if so give directions as to how that should be done.

### ***Confidentiality***

11.1 Any Person who attends an enquiry that is conducted in private must respect the privacy and confidentiality of the enquiry proceedings and of the evidence and of all documents and submissions prepared in connection with them.

11.2 All evidence and representations shall be privileged even if the hearing is not conducted in private but this provision is not intended in any way to constrain what a Disciplinary Panel may refer to in its written reasons even though these may be released for general publication.

11.3 Without prejudice to Paragraphs 11.1 and 11.2, the Authority may, at any stage of disciplinary proceedings publish any report or 'press release' regarding the proceedings, including (but not limited to)

11.3.1 the details of proceedings for contravention of any provision of these Rules which have been taken against any Person (including any facts alleged in support),

11.3.2 any topics of the enquiry or appeal hearing, and

11.3.3 any direction or finding made or Disciplinary Action taken.

11.4 It is irrelevant for the purposes of Paragraph 11.3

11.4.1 whether the publication is made

11.4.1.1 at the stage of investigation, enquiry or appeal, or

11.4.1.2 in the public press and media, on the Racing Administration Internet Site or in such other manner as the Authority may consider appropriate, and

11.4.2 if publication is made at the enquiry stage, whether the hearing is held in private or open to representatives of the media.

11.5 Without prejudice to Paragraphs 11.1 and 11.2, the Authority may share such evidence, documentation, submissions or representations with any Person where it is of the opinion that to do so may assist the initiation, conduct or defence of any criminal or quasi criminal investigation or proceeding, or the regulatory or disciplinary process of any trade profession or sport whether in the UK or elsewhere.

### ***Time to consider new allegations***

12. If a Disciplinary Panel considers that a Person appearing at the enquiry may be liable to Disciplinary Action on account of conduct, or of contravention of a Rule, which has not previously been notified to him by the Authority (and whether in addition to or in substitution for the conduct or Rules of which he was notified), the Disciplinary Panel Chairman shall ensure that the Person is given a reasonable time to deal with the new allegations or addition or substitution of Rule, including by adjourning the proceedings in an appropriate case.

### ***Appointment of assessors***

13.1 The Disciplinary Panel Chairman may appoint one or more legal or scientific assessors to assist a Disciplinary Panel and may take advice from such Persons.

13.2 The Disciplinary Panel Chairman shall ensure that the role of such assessors shall be limited to the provision of advice and that such Persons shall not participate in the making of the decision itself.

### ***Adjournment and non-attendance***

14. A Disciplinary Panel may adjourn a hearing for such period and upon such terms (including as to costs) as it considers appropriate.

15.1 This Paragraph applies where a Person who is required to attend a hearing fails to do so.

15.2 If the Disciplinary Panel is satisfied that there are no reasonable grounds for the failure to attend, it may proceed with the hearing in such manner as it considers appropriate, including making its decision concerning any alleged contravention of these Rules by the Person and taking any Disciplinary Action against him.

### ***Standard of proof***

16. Where any fact or matter is required to be established to the satisfaction of the Disciplinary Panel, the standard of proof shall be the civil standard.

### ***Miscellaneous***

17.1 Where the horse is in joint or other multiple ownership only one representative from amongst the owners shall attend.

17.2 Where an enquiry concerns the possible disqualification or suspension of a horse on account of the alleged presence of a Prohibited Substance, the owner, or in the case of a joint or other multiple ownership, the representative shall be

17.2.1 given notice of the enquiry,

17.2.2 provided with all statements and documents to be relied upon by the Authority, and

17.2.3 permitted to attend the enquiry with legal representation and to question witnesses and make submissions.

17.3 In any other case where the matters being enquired into may result in the disqualification, suspension or alteration in the placing of a horse

17.3.1 an application may be made on behalf of the owner seeking permission to be present in person or represented, and

17.3.2 the Disciplinary Panel Chairman may determine the application without a hearing upon such terms as to participation and legal representation in the enquiry (including merely as an observer) as the Disciplinary Panel Chairman may consider appropriate and without any requirement to give reasons.

18. Notices and communications to Persons who are bound by these Rules shall be sent by first class post or by fax or by e-mail to the address or number as appropriate currently maintained for such Person at the Authority's Office save that where such Person has elected to be legally represented, communication may be made to such representative.

19.1 The Authority will make arrangements for the hearing to be recorded notwithstanding that the hearing may be taking place in private.

19.2 Any such recording shall belong to the Authority and, subject to Paragraph 19.3, no Person shall have the right to compel the production of it or a copy or a transcript save as required by law in connection with civil or criminal proceedings and subject to meeting any costs or expenses of the Authority incurred in providing it.

19.3 A Person who has commenced an appeal by lodging a notice of appeal will, as soon as practicable, be provided with a transcript for use in connection with the appeal.

19.4 Copies and transcripts of recordings shall at all times remain confidential.

#### ***Applications for permission under Rule 71.2***

20.1 An application to the Authority by a Disqualified Person for permission under Rule 71.2 for the Disqualified Person to be employed in a racing stable may not be made until the latter of

20.1.1 the expiry of the time limit for lodging an appeal to the Appeal Board or

20.1.2 the day after the publication of the Appeal Board's decision, or

20.1.3 the expiry of any period directed by the Authority under Rule 58.3 (directions by Authority when imposing a disqualification);

and accordingly no application will be considered in conjunction with any plea of mitigation made to a Disciplinary Panel.

20.2 An application for the Authority's permission, as referred to in Paragraph 20.1, must include

20.2.1 a full written submission in support,

20.2.2 any documentary evidence on which the applicant wishes to rely, and

20.2.3 a summary of the evidence of any supporting witness.

20.3 The Disciplinary Panel which deals with the application may or may not be the same as or include Persons who served on the panel which imposed the disqualification.

20.4 The Authority will be asked if it opposes the application and if so why.

20.5 The Disciplinary Panel Chairman shall then decide how to proceed to determine the application including whether to hold an oral hearing.

## Schedule 7 - Appeal Boards

### PART 1

#### Appeal Board Panels

1. The provisions of this Schedule apply to any appeal before an Appeal Board but they are subject to any specific requirements set out in these Rules.
2. The members of any Appeal Board will be selected from the Appeal Board Pool by the Judicial Panel Chairman in accordance with the Terms of Reference for the Appeal Board.
3. The Judicial Panel Chairman shall provide to any Person provisionally selected sufficient details of the matter in question and the individuals concerned so as to enable any Person provisionally selected to declare any interest and to disqualify himself or to seek any waivers of objection as appropriate prior to final selection.
4. Each Appeal Board shall have an Appeal Board Chairman who shall be selected by the Judicial Panel Chairman from the Chairman's Panel in accordance with the Terms of Reference for the Appeal Board.
5. The Judicial Panel Chairman may delegate his function to the Deputy Judicial Panel Chairman.
6. The Appeal Board Chairman shall:

- 6.1 be a member or former member of the judiciary, a Queen's Counsel or a junior barrister or solicitor of more than 10 years post call or admission;
- 6.2 not be a Steward.

7. No Person is eligible to form part of the Appeal Board Pool:

- 7.1 if he has been the holder of a licence or permit granted by the Authority (whether as Rider or Trainer) within the previous 5 years;
- 7.2 if he is a director of, or is employed by, the Authority;
- 7.3 unless he has previously served on the Disciplinary Panel or Licensing Committee.

8. Deleted.
9. Deleted.
10. Deleted.
11. Deleted.

### PART 2

#### Appeal rights

##### ***Decisions subject to appeal***

- 12.1 There shall be a right of appeal to an Appeal Board against any of the decisions specified in Paragraph 12.2, 12.3 or 12.5.

- 12.2 The decisions specified here are any decision of the Authority

- 12.2.1 to refuse or withdraw a licence or permit on the ground that a Person is not a suitable Person,
- 12.2.2 to refuse a licence or permit on the ground that such action is necessary in the interests of racing, pending the outcome of an ongoing investigation or process (whether or not undertaken by the Authority),
- 12.2.3 to withdraw or suspend a licence or permit under Rule 63, or
- 12.2.4 to exercise the power of prohibition in Rule 65 (power to prohibit overseas riders from riding in races under these Rules).

- 12.3 The decisions specified here are any final decision or order of a Disciplinary Panel, apart from the following

- 12.3.1 the suspension of a rider under Rule 61 (rider's suspension at one racecourse extended to all racecourses),
- 12.3.2 the granting of (but not a decision to refuse to grant) an exclusion order under Rule 64 (power to issue exclusion orders),
- 12.3.3 the refusal of permission (but not a decision to grant permission) under Rule 71.2 (permission for disqualified person to be employed in a racing stable),
- 12.3.4 the imposition on granting of permission under Rule 71.2 (permission for disqualified person to be employed in a racing stable), the imposition of any limitation, condition or restriction on such

permission,

12.3.5 a final decision or order made on an appeal brought and heard under Rules 76 to 82 (appeals to the Authority from a Stewards' decision), Regulations for Arabian Horse Racing under Regulations 85 to 88, or Regulations for Point to Point Steeple Chases under Regulations 146 to 149 and

12.3.6 the allowing or dismissal of an application under Rule 69.3 (power to order that a suspension imposed by a Recognised Racing Authority shall not apply).

12.4 But Paragraph 12.3.5 does not exclude a right of appeal against any Disciplinary Penalty imposed for contravention of Rule (B)58 (Schooling and/or Conditioning).

12.5 The decisions specified here and any decision or order in respect of which the Authority considers it appropriate to extend a right of appeal.

***Persons who may bring an appeal***

13.1 Subject to Paragraph 13.3, the only Persons who may bring an appeal are

13.1.1 a Person who has had a licence or permit refused, withdrawn or suspended,

13.1.2 a Person who has been subjected in accordance with these Rules to a Disciplinary Penalty or an award, order or other sanction,

13.1.3 a Person who has been found to have contravened a provision of these Rules,

13.1.4 in the case of a decision to disqualify or suspend a horse or demote its placing, one or more of the Trainer, the Rider or the owner of the horse, or

13.1.5 the Authority.

13.2 Where more than one of the Persons specified in Paragraph 13.1.4 wishes to appeal

13.2.1 the appeal shall be treated as a joint appeal, and

13.2.2 the appellants shall only be permitted joint legal representation and must choose one representative from amongst them,

unless the Appeal Board Chairman decides otherwise.

13.3 The Authority may extend the right of appeal to other Persons if it considers it appropriate to do so.

***Grounds of appeal***

14. Subject to Paragraph 14A, the grounds for bringing an appeal are

14.1 that the reasons given are insufficient to support the decision,

14.2 that the hearing was conducted in a way which was substantially unfair and prejudicial to the appellant,

14.3 that there was insufficient material on the basis of which a reasonable decision maker could have made the decision in question,

14.4 that the decision maker

14.4.1 misconstrued,

14.4.2 failed to apply, or

14.4.3 wrongly applied,

these Rules, General Instructions or regulations which are relevant to the decision,

14.5 that any Disciplinary Penalty or any award, order or other sanction is so disproportionate that no reasonable decision maker could have decided upon it, or

14.6 that there is evidence available for the appeal which, had it been available at the original hearing, would have caused the decision maker to reach a materially different decision.

14A The Authority does not have the right to appeal a decision under the ground specified in Paragraph 14.2.

### ***Applications to stay implementation or vary conditions***

15.1 There shall also be a right to apply to an Appeal Board

15.1.1 to stay the implementation of a decision, or

15.1.2 to vary any conditions upon which a stay may have been granted by the decision maker,

pending the Appeal Board's own decision on an appeal brought under this Schedule.

15.2 There are two grounds for an application under Paragraph 15.1

15.2.1 that no application for a stay was made to the decision maker and it is appropriate to grant a stay, or

15.2.2 that the refusal of the decision maker to grant a stay was unfairly made or is otherwise unjust, or that the conditions attached to the grant of any stay are unreasonable.

15.3 An application to stay or vary a decision must be made within 48 hours of the decision.

15.4 The application will be determined by an Appeal Board Chairman acting alone and normally only in writing, but in a sufficiently urgent case an Appeal Board Chairman may allow an application for an expedited hearing before him.

15.5 As much notice as practically possible will be given to the Authority when an application is received.

15.6 The Appeal Board Chairman may grant a stay subject to such conditions as he considers appropriate.

15.7 In reaching his decision the Appeal Board Chairman will take into account

15.7.1 whether there is a good arguable case for the substantive appeal succeeding, at least to the point where the Appeal Board would be likely to substitute a Disciplinary Penalty or an award, order or other sanction which would have attracted a stay under Rule 85 had it been originally imposed by the Authority,

15.7.2 whether the reason given by the applicant for not applying to the decision maker for a stay is sufficient, and

15.7.3 the fairness to the applicant and the interests of racing in the context of the time likely to be taken by the substantive appeal and any other relevant circumstances.

## **PART 3**

Appeal Board procedure

### ***Notice of appeal***

16.1 A Person who wishes to appeal a decision (the appellant) must lodge a notice of appeal addressed to the Judicial Panel Secretary at the Authority's Office

16.1.1 within 7 days of the date of notification of the decision appealed against, but

16.1.2 if the decision appealed against involves a finding of a contravention of any provision of Rule (B)58 or (B)59.2, within 48 hours of that date.

16.2 When reasons are not given at the time of the decision, the date of notification shall be the date upon which written reasons are despatched to the appellant.

16.3 In a case within Paragraph 16.1.1, the notice of appeal must

16.3.1 state the specific decision or decisions being appealed,

16.3.2 set out any ground of appeal and the substantive injustice of allowing the original decision to stand,

16.3.3 set out the facts upon which the appeal is based,

16.3.4 be accompanied by a deposit of £800,

16.3.5 where appropriate, apply for leave to present new evidence under Paragraph 22.2, and

16.3.6 state whether the appellant will wish the Appeal Board to view any video evidence at the hearing of the appeal.

16.4 In a case within Paragraph 16.1.2, the notice of appeal must

16.4.1 state the specific decision or decisions being appealed, and

16.4.2 be accompanied by a deposit of £800,

and the appellant shall have a further 5 days to comply with the requirements of Paragraphs 16.3.2, 16.3.3, 16.3.5 and 16.3.6.

16.5 The deposit may be returned to an appellant, save:

16.5.1 that it shall be forfeited where the Appeal Board concludes that the appeal had no realistic prospect of success. In such circumstances, the written reasons shall address the issue;

16.5.2 where the Appeal Board orders that it be applied towards the satisfaction of any costs award.

16.6 Where a notice of appeal is lodged by electronic transmission, the deposit required to accompany the notice of appeal must be received not later than 5.00pm on the third day following the date of electronic transmission (including both the day of despatch and receipt).

16.7 An appellant who seeks relief from the requirement to lodge a deposit on account of hardship (which alone shall be the relevant consideration) must lodge with the notice of appeal a statement which

16.7.1 requests relief from the deposit requirement, and

16.7.2 sets out the relevant grounds and facts supporting the claim of hardship.

16.8 The request for relief shall be considered by the Appeal Board Chairman and his decision whether to give no relief or partial or total relief shall be final without any requirement to give reasons.

### ***Convening an Appeal Board***

17. Upon a notice of appeal being lodged at the Authority's Office in accordance with Paragraph 16, such notice of appeal shall be passed to the Judicial Panel Chairman who shall convene an Appeal Board consisting of himself or a member of the Chairman's Panel to act as Appeal Board Chairman and two other Persons from the Appeal Board Pool.

18. Deleted.

### ***Initial stages***

19.1 The respondent shall, within 7 days of receiving the notice of appeal, nominate an individual or individuals to represent it and shall notify the appellant and the Judicial Panel Secretary of the individual so nominated and of any subsequent change in the nomination.

19.2 The appellant may nominate an individual or individuals to represent him and shall notify the respondent (or its representative) and the Judicial Panel Secretary of any individual so nominated.

19.3 Nominations shall state the individual and the address to which communications concerning the appeal proceedings should be made.

20.1 The respondent shall serve a written reply to the notice of appeal on the appellant and the Judicial Panel Secretary as soon as possible and in any event within 14 days of the lodging of the notice of appeal.

20.2 Where appropriate, the reply must include any application for leave to present new evidence under Paragraph 22 and state whether the respondent will wish the Appeal Board to view any visual recording at the hearing.

### ***Evidence***

21.1 Subject to Paragraphs 21.2 and 21.3, an appeal shall be by way of a review only on documents and video evidence considered at the original hearing (where a request for video evidence has been made) and without oral evidence.

21.2 An Appeal Board may in exceptional circumstances order that the appeal takes place as a full rehearing of the case. The decision of the Appeal Board as to whether to grant a full rehearing of the case shall be final and binding.

21.3 The respondent and the appellant shall be entitled to make oral submissions to the Appeal Board and the Appeal Board may:

21.3.1 on a prior application made to it, order that Paragraph 21.1 shall not apply, and

21.3.2 give leave for the appeal to take place as a full rehearing under Paragraph 21.2 or to present

new evidence under Paragraph 22.

22.1 The Appeal Board shall hear new evidence only where it has given leave that it may be presented.

22.2 An application for leave to present new evidence must be made in the notice of appeal or in the reply, setting out the nature and the relevance of the new evidence and why it was not presented at the original hearing.

22.3 Save in exceptional circumstances, the Appeal Board shall not grant leave to present new evidence unless

22.3.1 it is satisfied with the reason given as to why it was not, or could not reasonably have been, obtained and presented at the original hearing, and

22.3.2 it is satisfied that the evidence is cogent and might reasonably have caused the decision maker to reach a different conclusion.

22.4 The Appeal Board's decision shall be final.

23.1 The Judicial Panel Secretary shall prepare five sets of documents identically bundled and paginated, three of which shall be provided to the Appeal Board members and the others to the appellant and the respondent.

23.2 The sets of documents must be provided at least 7 days before the hearing and must comprise the following (or their equivalent)

23.2.1 any documents or other evidence referred to at the original hearing relevant to the appeal;

23.2.2 any transcript of the original hearing or extract from it of matters relevant to the appeal;

23.2.3 any notice published by the Authority concerning the decision being appealed and any written reasons for the decision not contained in such published notice;

23.2.4 any new evidence;

23.2.5 the notice of appeal;

23.2.6 the reply.

### ***Chairman's instructions***

24.1 The Appeal Board Chairman may upon the application of a party or otherwise, give any instructions considered necessary for the proper conduct of the proceedings, including but not limited to

24.1.1 requiring a Disciplinary Panel to clarify and/or amplify some aspect of the reasons given for the decision,

24.1.2 lengthening or shortening any time limit,

24.1.3 adapting or dispensing with any procedural steps set out in this Schedule,

24.1.4 requiring a record to be made of the proceedings or any part of them,

24.1.5 ordering Persons bound by these Rules to attend a hearing,

24.1.6 holding a preliminary hearing, and

24.1.7 requiring the provision of written submissions.

24.2 The decision of the Appeal Board Chairman shall be final.

### ***The hearing***

25. The Appeal Board may adjourn a hearing for such a period and upon such terms (including as to costs) as it considers appropriate.

26.1 Appeal hearings shall be conducted in private, except in relation to those matters which were conducted at the hearing below in the presence of representatives of the media, but in all other respects how, when and where the Appeal Board considers appropriate.

26.2 Reasonable notice shall be given by the Appeal Board of the date, time and venue of the appeal.

26.3 The appellant and the respondent shall respectively be given the opportunity to respond to the other's submissions in support of their applications, if any, to present new evidence.

26.4 Subject to the Appeal Board deciding to the contrary, the following procedures will apply at appeal hearings

26.4.1 the appellant will summarise their case,

26.4.2 the respondent will summarise their case,

26.4.3 any application to present new evidence will be dealt with,

26.4.4 the appellant will present new evidence to the extent permitted,



- 26.4.5 the respondent will present new evidence to the extent permitted,
- 26.4.6 where there is a witness, the Appeal Board, the respondent and the appellant shall have an opportunity to question each witness, and
- 26.4.7 the respondent will make any closing submissions before the appellant.

27. The Appeal Board may proceed in the absence of the appellant or the respondent in such manner as it considers appropriate, unless the Appeal Board is satisfied that there are reasonable grounds for the failure to attend.
28. The Appeal Board may, in the face of non-compliance with an order, requirement or instruction of the Appeal Board, take any action it considers appropriate, including an award of costs against the offender.

### ***Decisions of an Appeal Board***

29. The Appeal Board should allow an appeal

- 29.1 if satisfied that one or more of the grounds in Paragraph 14 have been made out and it would be unfair to allow the decision to stand, or
- 29.2 where new evidence has been presented on the appeal and the Appeal Board is satisfied in the light of that evidence that the decision was wrong.

30. In addition to allowing or dismissing an appeal, the Appeal Board may

- 30.1 exercise any power which the original decision maker could have exercised apart from

- 30.1.1 making an interim decision affecting a Disciplinary Penalty or an award, order or other sanction, or
  - 30.1.2 granting or varying permission under Rule 71.2 (permission for disqualified person to be employed in a racing stable),

- 30.2 remit the matter for re-hearing,
- 30.3 order, in accordance with Paragraph 16.5, that any deposit be forfeited, returned or applied to satisfy any costs award,
- 30.4 where the appeal succeeds on grounds which include those set out in Paragraph 14.5, increase or decrease any Disciplinary Penalty or any award, order or other sanction originally imposed, or
- 30.5 make such further or other order as it considers appropriate, either generally or for the purpose of giving effect to its decision.

- 31.1 A decision, order, requirement, or instruction of the Appeal Board shall be determined by a majority which must include the Appeal Board Chairman.
- 31.2 But Paragraph 31.1 does not apply to any determination which this Schedule provides is to be made by the Appeal Board Chairman alone.
- 31.3 Any determination under Paragraph 31.1 shall be the determination of the Appeal Board and neither the notification of a decision nor any written reasons subsequently given shall include any reference to a minority or dissenting view.
- 32.1 A decision of the Appeal Board shall be final and binding, without prejudice to any right that the appellant may have to pursue further action in relation to the subject matter of any appeal to a judicial hearing.
- 32.2 If an Appeal Board is unable to reach a decision in accordance with Paragraph 31, the Appeal Board Chairman shall so certify and the Judicial Panel Chairman shall convene a new Appeal Board consisting of different members who shall proceed to hear the matter as soon as may be convenient.

### ***Costs***

- 33.1 Subject to Paragraph 33.2, in respect of the original hearing and the appeal, the Appeal Board shall have the power to make such order as to costs as it considers appropriate.
- 33.2 Where

- 33.2.1 an appeal has been brought by the Authority, and

### 33.2.2 that appeal has failed

the Appeal Board shall order that the Authority pay the respondent's costs of the appeal save to the extent that (1) the respondent has acted unreasonably in connection with the appeal, and/or (2) the costs incurred by the respondent in connection with the appeal are unreasonable.

33.3 But no party shall be required to pay or contribute to another party's costs, or to the costs of the proceedings, in excess of £20,000 in the aggregate.

#### **Written decision**

34.1 As soon as practicable after the hearing, the Appeal Board shall publish a written statement of its decision, stating

34.1.1 the name of the appellant, the decision or decisions appealed against and the grounds of appeal,

34.1.2 whether or not the appeal is allowed, and

34.1.3 the order or orders made by the Appeal Board.

34.2 The written statement shall be signed and dated by the Appeal Board Chairman and be the conclusive record of the decision.

35.1 Upon the request of any party to the Appeal, the Appeal Board shall within a reasonable timeframe give written reasons for the decision and may publish these in such manner as the Appeal Board Chairman considers appropriate.

35.2 No request for written reasons made under Paragraph 35.1 shall be considered unless it is received by the Judicial Panel Secretary within 5 days of the date of the announcement of the decision.

## **PART 4**

### **Confidentiality**

36.1 Any appellant or other Person taking part in any appeal process which is conducted in private shall respect the privacy and confidentiality of the appeal proceedings and of the evidence and of all documents and submissions prepared in connection with them.

36.2 All evidence and representations shall be privileged even if the hearing is not conducted in private.

36.3 But Paragraphs 36.1 and 36.2 are not intended in any way to constrain

36.3.1 what an Appeal Board may refer to in its written reasons even though these may be released for general publication, or

36.3.2 what any party may seek to rely on should it pursue further action in relation to the subject matter of any appeal to a judicial hearing.

36.4 Without prejudice to Paragraphs 36.1 and 36.2, the Authority may share such evidence, documentation, submissions or representations with any Person where it is of the opinion that to do so may assist the initiation, conduct or defence of any criminal or quasi criminal investigation or proceeding, or the regulatory or disciplinary process of any trade profession or sport whether in the UK or elsewhere.

## **Schedule 8 - Recognised Racing Authorities**

Algeria	-	Societe des Courses Hippiques et du Pari Mutuel
Argentina	-	Jockey Club Argentino
Australia	-	Australian Jockey Club Australian Racing Board Queensland Turf Club South Australian Jockey Club Tasmanian Turf Club Victoria Racing Club Western Australian Turf Club

Austria	-	Jockey Club for Austria
Bahrain	-	Equestrian and Horse Racing Club
Barbados	-	Barbados Turf Club
Belgium	-	Jockey Club of Belgium
Bolivia	-	Jockey Club of Bolivia
Brazil	-	Jockey Club Brasileiro/Jockey Club of Sao Paulo
Bulgaria	-	Centralen Hipodrom
Canada	-	Jockey Club of Canada
Chad	-	Association d'Encouragement pour l'Amelioration des Races de Chevaux au Tchad
Channel Islands	-	Channel Islands Racing and Hunt Club
Chile	-	Club Hipico of Santiago
Colombia	-	Association Colombiana de Cuadros de Caballos PSI
Croatia		Jockey Club of Croatia
Cyprus	-	Cyprus Turf Club
Czech Republic	-	Jockey Club Ceske Republiky
Denmark	-	Jockey Club of Denmark
Ecuador	-	Jockey Club of Ecuador
France	-	France-Galop
Germany	-	Direktorium fur Vollblutzucht und Rennen
Great Britain	-	The British Horseracing Authority (BHA)
Greece	-	Jockey Club of Greece
Hong Kong	-	The Hong Kong Jockey Club
Hungary	-	National Horseracing Ltd.
India	-	Royal Western India Turf Club Royal Calcutta Turf Club Madras Race Club Bangalore Turf Club Ltd Hyderabad Race Club
Ireland	-	Irish Turf Club Irish National Hunt Steeple Chase Committee
Isle of Man	-	Manx Racing Authority
Israel	-	Ministry of Agriculture
Italy	-	A.S.S.I. (ex U.N.I.R.E.)
Jamaica	-	Jockey Club of Jamaica
Japan	-	Japan Racing Association National Association of Racing
Kenya	-	Jockey Club of Kenya

Korea	-	Korea Racing Association
Lebanon	-	Societe pour la Protection et l'Amelioration des Chevaux Arabes au Liban
Macau	-	Macau Jockey Club
Malaysia	-	Malayan Racing Association
Mauritius	-	Mauritius Turf Club
Mexico	-	Jockey Club Mexicano A.C.
Morocco	-	Societe Royale d'Encouragement du Cheval
Netherlands	-	Stichting Nederlandse Draf-en-Rensport
New Zealand	-	New Zealand Thoroughbred Racing Inc
Norway	-	Norsk Jockey Club
Pakistan	-	Jockey Club of Pakistan
Panama	-	Panama Turf Authority
Paraguay	-	Jockey Club of Paraguay
Peru	-	Jockey Club of Peru
Philippines	-	Manila Jockey Club Philippine Racing Club
Poland	-	Polish Jockey Club
Qatar	-	Racing and Equestrian Club
Romania	-	Jockey Club of Romania
Russia	-	Rosplemkonzavod
Saudi Arabia	-	The Equestrian Club
Serbia		Horsemanship Federation of Serbia
Singapore	-	Singapore Turf Club
Slovakia	-	Turf Direktorium
Slovenia	-	Slovenian Turf Club
South Africa	-	National Horseracing Authority
Spain	-	Sociedad de Fomento de la Cria Caballar de Espana Jockey Club Espanol
Sweden	-	The Swedish Jockey Club
Switzerland	-	Schweizer Galopprensport Verband Federation Suisse du Galop
Thailand	-	The Royal Bangkok Sports Club
Trinidad and Tobago	-	Trinidad and Tobago Racing Authority
Tunisia	-	Societe des Courses de Tunis
Turkey	-	Jockey Club of Turkey
U.A.E.	-	Emirates Racing Association
United States of America	-	The Jockey Club, State Racing Commissions and Boards
Uruguay	-	Jockey Club of Montevideo

## **Schedule 9 - Licensing Committees**

### **Applications to the Authority for licences, permits and registrations**

#### **Part 1**

##### ***General***

1. The Authority shall decide whether or not an application for the grant or renewal of a licence, permit or registration should be granted or refused or granted subject to restrictions or conditions.

2.1 The Authority shall refer the application to its Licensing Committee for a decision on the merits, if the Authority

2.1.1 is minded to refuse the application or to attach conditions or restrictions to the licence, permit or registration on the ground that the applicant is not a suitable person,

2.1.2 is minded to refuse the application on the ground that such action is necessary in the interests of racing pending the outcome of an ongoing investigation or process (whether or not undertaken by the Authority), or

2.1.3 considers such a course to be otherwise appropriate,

in which event the relevant Paragraphs of Part 2 shall apply and the procedure for a determination by the Authority set out in Paragraph 5 shall not apply.

3. An applicant for the grant or renewal of a licence, permit or registration is required to satisfy the Authority that he meets all the criteria contained within the guidance notes which accompany the Prescribed form.

4. The applicant shall provide such information and documents and attend for interview at the Authority's offices or by telephone or at a hearing as may be required to enable the effective determination of the matters relevant to the application. Determination of the application may also require the provision of information or documents and the attendance for interview, etc by another person relevant to the application, such as the employer of an applicant for a trainer's licence. The applicant may be legally represented at a hearing and in such other circumstances as may be appropriate.

5. A decision by the Authority to grant a licence, permit or registration shall be sent to the applicant in writing. A decision to refuse the application or to grant it subject to restrictions or conditions shall be sent to the applicant accompanied by written reasons for the refusal or decision to impose conditions or restrictions.

6. An applicant who is aggrieved by a decision of the Authority made pursuant to Paragraph 5 shall, save as provided in Paragraph 7, have a right to seek a re-assessment of the application by the Licensing Committee in the manner set out in Part 2 and subject to the matters set out in that Part.

7. There shall be no right to a re-assessment of an application falling within the specific instances detailed in the criteria which accompanies the Prescribed form, save where the Authority considers it to be appropriate in the particular circumstances of an individual case. If the Authority considers such circumstances to be present, the application will proceed in accordance with Paragraph 2.1.3.

8. The grounds on which an applicant may apply for a re-assessment are not restricted to matters that were before the Authority when it made the decision in question. Any relevant matter of fact or law may be relied on to show that a different decision is appropriate in all the circumstances. The Licensing Committee may set aside, confirm or vary that decision.

#### **Part 2**

### **Applications to the Licensing Committee**

##### ***Screening of applications for a re-assessment***

9.1 An applicant seeking a re-assessment of an application must first submit their case for screening by satisfying the Licensing Committee either that the application for a re-assessment has a real prospect of success or that there is some other compelling reason why it should be heard. If either requirement is satisfied the applicant may proceed to a hearing before the Licensing Committee (subject to the provisions of Paragraph 18.1.3), and if not, the decision of the Authority will stand. The following provisions shall apply

9.1.1 The decision as to whether or not the application for a re-assessment should proceed will be made on a 'documents only' basis, save where the applicant asks for an oral hearing and the

Licensing Committee considers such a hearing to be appropriate.

9.1.2 The provisions of Paragraph 10 onwards (as relevant) shall apply to timetabling and other procedural matters.

10.1 The timetable and procedure for an application for a re-assessment shall be as follows

10.1.1 The applicant shall set out in writing the grounds relied on to show that a different decision should be made, accompanied by such evidence and other relevant written material as he may wish to rely on and lodge the same with the Licensing Team within 21 days of the date of receipt of the decision and reasons in question, together with written notice to the Licensing Team as to whether or not the applicant is legally represented and if so by whom.

10.1.2 Where the applicant wishes to apply for an oral hearing, he shall make and lodge a request in writing to that effect at the same time as the grounds are lodged pursuant to Paragraph 10.1, such request for an oral hearing to be accompanied by written reasons as to why an oral hearing is appropriate at this stage.

10.1.3 Prior to the decision as to whether or not the application for a re-assessment should proceed, the Authority shall not be allowed to rely on information or argument beyond that specified in the decision and reasons provided pursuant to Paragraph 5, unless the Licensing Committee permits otherwise; in which event permission may be given subject to such terms (if any) as may be appropriate to allow the fair determination of the application.

10.1.4 The decision of the Licensing Committee as to whether or not the application should proceed shall be in writing accompanied by written reasons.

***Matters applicable to 'suitable person' and other cases***

11.1 Where the Authority is minded to refuse the application, or to attach conditions or restrictions to any licence, permit or registration on the ground that

11.1.1 the ground that the applicant is not a suitable person, or

11.1.2 such action is necessary in the interests of racing pending the outcome of an on-going investigation or process (whether or not undertaken by the Authority),

the applicant will be notified in writing.

12.1 A notification given under Paragraph 11 will include,

12.1.1 the facts as they appear to the Authority in such a way as to enable the applicant to deal with its concerns but consistent with the proper protection of confidential sources of information, where relevant,

12.1.2 the reasons why it appears to the Authority that there are grounds for it to recommend to the Licensing Committee that it refuse a licence or permit or grant the same subject to restrictions or conditions, and

12.1.3 an invitation to attend a hearing, the date and time of the hearing and the possible consequences of non-attendance, being those specified in Paragraph 18.

13.1 Within 21 days of receipt of the letter specified in Paragraph 12, the applicant will be expected to confirm in writing to the Licensing Team

13.1.1 whether he will attend the hearing,

13.1.2 whether he will be legally represented and if so by whom, and

at the same time provide to the Licensing Team copies of all documents, statements and argument he wishes to rely on in answer to the objections of the Authority.

***Matters applicable to hearings before the Licensing Committee***

14.1 The provisions set out in Paragraphs 15-28 shall apply to the determination of

14.1.1 applications for a re-assessment where the Licensing Committee has decided that an

application should proceed,

14.1.2 applications referred to the Licensing Committee which the Authority is minded to refuse because the applicant is not a suitable person.

15.1 The Authority may by written notice given to the applicant state that it wishes to be represented at the hearing and (whether or not the Authority wishes to be so represented) may serve on the applicant any further information, documents or argument which it may wish to rely on within 14 days of the date of

15.1.1 the decision of the Licensing Committee made pursuant to Paragraph 10.1.4 allowing an application to proceed, or

15.1.2 the expiry of the period specified in Paragraph 13

as the case may be.

16. The applicant shall have a period of 14 days from the date of receipt of any information, documents or argument provided by the Authority pursuant to Paragraph 15.1 in which to lodge with the Licensing Team any material in reply.

17. The Licensing Committee may invite such person as it considers necessary to provide information or relevant opinion and to produce such documents as may be appropriate.

18.1 The applicant shall attend the hearing. If an applicant fails to attend a hearing or if his representative, or one or more of his witnesses or other persons invited to attend the hearing, do not attend the hearing, the Licensing Committee may (at its absolute discretion)

18.1.1 adjourn the hearing to a specified date or a date to be fixed,

18.1.2 proceed with the hearing in the absence of the applicant or in the absence of a witness or other person, or

18.1.3 dismiss the application for a re-assessment, in which case the original decision of the Authority will stand.

19.1 In conducting the hearing the Licensing Committee will give the applicant an appropriate opportunity to

19.1.1 make representations and call witnesses on any matter relevant to the hearing,

19.1.2 provide further information with respect to any matter on which the Licensing Committee has sought clarification,

19.1.3 question any other person appearing before the Licensing Committee on an issue relevant to the matters before it, and

19.1.4 address the Licensing Committee on any relevant matter.

20. The hearing will take the form of a discussion led by the Licensing Committee which will not engage in or permit cross-examination, unless it considers that such is required to enable the fair disposal of the matters before it.

21. All questions concerning the admissibility of evidence shall be for determination by the Licensing Committee in its absolute discretion and for the avoidance of doubt the Licensing Committee shall not be bound by any enactment or rule of law relating to the admissibility of evidence before a court of law or statutory tribunal.

22. Where any fact or matter has to be established to the satisfaction of the Licensing Committee, the standard of proof shall be the standard applied in the civil courts in England in a dispute between private persons concerning a matter of comparable seriousness to the subject matter in question, i.e. on the balance of probabilities.

23. The Licensing Committee shall reach decisions by a simple majority. Decisions so reached shall be announced as decisions of the Licensing Committee. Reasons given for decisions shall not include references to any minority opinion or dissenting view.

24. The decision of the Licensing Committee shall be final subject to relevant rights of appeal. The Licensing Committee will give written reasons for its decision and save for in exceptional circumstances shall provide such written reasons within 20 working days of the hearing.

### ***Composition of the Licensing Committee***

25.1 The members of any Licensing Committee will be selected by the Judicial Panel Chairman from the

Disciplinary and Licensing Panel Pool in accordance with the Terms of Reference for the Licensing Committee. The Licensing Committee shall consist of a minimum of three persons, save that it may act by a single person in the following cases, namely

- 25.1.1 all aspects of screening an application for a re-assessment as set out in Paragraphs 9 and 10, including deciding whether or not the application should proceed,
- 25.1.2 the giving of directions (whether or not at a directions hearing) for the expeditious and just determination of an application, and
- 25.1.3 deciding an application referred to the Licensing Committee referred by Paragraph 2.1.2.

Where the Licensing Committee consists of three or more persons one of them shall, unless the Judicial Panel Chairman so directs or all parties agree otherwise, be a legally qualified person of a sufficient qualification and experience who shall chair the hearing. Where the Licensing Committee acts by a single member, such person shall, unless the Judicial Panel Chairman so directs or all the parties agree otherwise, be a legally qualified person of sufficient qualification and experience.

25A. The Judicial Panel Chairman shall provide to any Person provisionally selected sufficient details of the matter in question and the individuals concerned so as to enable any Person provisionally selected to declare any interest and to disqualify himself or to seek any waivers of objection as appropriate prior to final selection.

25B. The Judicial Panel Chairman may delegate his function to the Deputy Judicial Panel Chairman.

### ***Confidentiality***

26. The proceedings shall be held in private (unless the Licensing Committee considers otherwise) and shall be confidential, save that the Authority may publish on its website or in any press release the decision, any reasons, any summary thereof and any brief details of the proceedings or matters before the Licensing Committee, and save also as appears in Paragraph 27.

27.1 Information and documents considered by the Licensing Committee shall be used solely for the proper regulation of horseracing and shall not be disseminated further except where disclosure is required by law or following a proper application by a fellow competent regulatory body. The proper regulation of horseracing shall include but not be limited to the following purposes

- 27.1.1 the interviewing of other persons who may assist the Licensing Committee to determine the matters before it,
- 27.1.2 reference to such information and documents in any written reasons of the Licensing Committee for its decision, and
- 27.1.3 those purposes specified in Paragraph 28.

28. The Licensing Committee may arrange for any hearing to be recorded and the recording shall be the sole property of the Authority and no person shall have the right to compel the production of it or a transcript save as authorised by the Licensing Committee or as required by law and subject to meeting any costs or expenses in providing it.

### ***Other applications relating to licences, permits and registrations***

29.1 Where information comes to the attention of the Authority, which prompts it to

- 29.1.1 seek the withdrawal or suspension of a licence or permit, or
- 29.1.2 the cancellation or removal of any person from the register of Owners maintained by the Authority,

the decision concerning such licence, permit or registration shall be taken by the Licensing Committee by reference to such of the provisions included in Paragraphs 15-28 (making the necessary changes so as to apply those Paragraphs) as are appropriate in the circumstances having regard to the urgency of the situation and to such further (if any) directions as may be appropriate.

30. The Authority may also refer such other matter as may be appropriate to the Licensing Committee concerning a licence, permit or registration, which shall decide or otherwise deal with the matter in such manner as it considers appropriate, having regard to all the circumstances.

31. Where an application has been referred to the Licensing Committee pursuant to Paragraph 2.1.2, it shall



determine the application in such manner as it considers appropriate, having regard to all the circumstances.

### ***Miscellaneous***

32. The Licensing Committee shall be at liberty to disapply, amend or add to the matters set out in this Part in any particular case, and to give directions as they consider appropriate for the purpose of disposing of the issues before it fairly and expeditiously and taking all other proper considerations into account (including the urgency of a situation).

33. An appeal shall lie to the Appeal Board in such circumstances as are specified in Schedule 7 Paragraph 12.

34. Where an applicant seeks to renew a licence or permit and has made an application for a re-assessment or in any other relevant case, the Authority or the Licensing Committee may grant to him such temporary licence or permit, if any, as may be appropriate in the circumstances.

35. The applicant is referred to Rules 105 to 108, which deal with the methods and time for the service of documents.

## **Schedule 10 - Protocol in relation to guilty pleas and plea bargaining**

### **General Principles**

1. It is in the interests of racing that persons correctly charged under the Rules of Racing plead guilty to such charges at an early stage. Guilty pleas

- 1.1 avoid the risk of the guilty being acquitted,
- 1.2 enable the appropriate sanction to be applied as soon as possible,
- 1.3 save significant cost, and
- 1.4 remove the need for witnesses (from all sides) to give up their time in order to attend hearings.

2. In exceptional circumstances it may be appropriate for certain charges not to be proceeded with in exchange for a guilty plea to other charges. This will only be done when the Authority is satisfied that

- 2.1 the likely penalty for the remaining offences is sufficient to protect the interests of racing, and
- 2.2 there is no other compelling reason to proceed to determine the charge at a hearing.

3. Charges will only be brought when it is appropriate to do so by the Disciplinary Officer under the applicable criteria, and

- 3.1 not as a means of applying pressure in the hope of obtaining a guilty plea to other charges, or
- 3.2 with the intention of their being dropped before the Enquiry.

4. The Authority cannot give binding indications as to penalty and should make it clear to accused persons that the decision on penalty is for the Disciplinary Panel.

5. The Authority will draw the accused person's attention to the guidance in the current Guide to Procedures and Penalties concerning

- 5.1 the effect of guilty pleas (see Paragraphs 2 and 3 of Section 6), and
- 5.2 the entry point for the relevant offence.

6. Furthermore when given an opportunity to address the Panel regarding both the seriousness of the conduct and nature of the penalty which the Panel might consider to be appropriate, it is right that the Authority should volunteer to the Panel when doing so information about the assistance it has received.

6A. Any correspondence or communications between the parties as part of this protocol shall be confidential between them, whatever the outcome and shall not be disclosed to the Disciplinary Panel or Appeal Board as applicable.

### **Practical Steps**

7. If an accused person indicates a willingness to plead guilty to all the charges against him he should be encouraged to do so without delay, either

7.1 by way of his Schedule 6 Paragraph 7.2 submissions, or  
7.2 otherwise in writing to the Secretary of the Disciplinary Panel.

8. If an accused person indicates a willingness to plead guilty to some charges, whether in exchange for other charges being dropped or otherwise, the Case Manager will

8.1 in consultation with the Head of Integrity, Legal and Risk (or Disciplinary), and  
8.2 if possible the appropriate Executive Director,

8.2.1 seek to establish as clearly as possible the factual basis on which the accused person is willing to plead guilty; this will ideally be done by means of a draft statement of facts, and

8.2.2 consult with the Disciplinary Officer (DO) as to whether the proposal merits serious consideration.

9. If the DO decides to accept the proposal or a modified version of it the accused person will be so informed.

10. The DO will make his decision taking account of

10.1 all relevant considerations, and

10.2 the importance of the case in the overall interests of racing.

11. In the unlikely event that the DO is unable to be contacted, any decision should be taken

11.1 with as many of the relevant Executive Directors as possible, and

11.2 immediately recorded by the Case Manager.

12. If an accused person pleads guilty to all charges, or the decision is made to accept guilty pleas to some charges and not to proceed with others, the Authority and the accused person or his representatives should attempt to agree a statement of facts concerning the offence(s).

13. The purpose of the statement of facts is to provide the Panel with sufficient information to enable it to make an accurate assessment of the seriousness of the offence(s) (see Schedule 6 Paragraph 10). A statement of facts may not be necessary in very simple cases.

### **Newton Hearing**

14. If a statement of facts cannot be agreed it may be necessary

14.1 to convene a preliminary hearing so that the Disciplinary Panel can assess whether the disagreement is such that it should be resolved before a decision on penalty is made, and

14.1 if so give directions as to how that should be done.

15. There may also be occasions where the Panel feel that

15.1 an agreed statement of facts is insufficient for the Panel to make a proper judgment of the true level of culpability, and

15.2 may wish the Authority to present some or all of its case and evidence and to hear the evidence of the accused in reply.

16. The Panel may give directions for what is known as a Newton hearing.

### **Goodyear Hearing**

17. Where there is a wide range of penalty in the Guide to Procedures and Penalties for particular misconduct, an accused person may wish to receive an indication of the level of penalty to be expected if they make admissions. This is when a Goodyear hearing will be required.

18. Experience suggests the following guidelines will be helpful

18.1 every effort must be made to avoid last minute Goodyear style conferences or hearings, and the initiative should be with the accused to approach the Authority, not vice versa;

18.2 it is inappropriate for the Authority and the accused to conclude a bargain as such (plea in return for agreed penalty/dropped charges) which is then jointly presented to the Panel.

19. The Authority should only respond by indicating if it would be prepared in principle to drop certain charges if an accused admits others, or not. If the Authority is so prepared then a Goodyear hearing will be arranged.

20. The Authority should address the Panel on penalty in a very similar manner to other cases. It should

20.1 refer to the Guide to Procedures and Penalties,

20.2 draw attention to what it sees as aggravating or mitigating factors, and

20.2 to the importance or seriousness of the case as it sees it in the overall context of racing.

21. The Authority may make submissions on the nature of

21.1 the penalty e.g. fine versus suspension, or

21.2 a combination of both.

22. The Authority will not, however, request

22.1 a particular level of fine, or

22.2 period of disqualification or suspension as the case may be.

23. The Authority should conclude by saying that if, having received the Panel's indication of its thinking on penalty, the accused is prepared to admit particular charges, the Authority will, with the Panel's consent, drop the other charges.

## **Index of defined expressions**

1. This index provides a guide to words or expressions which are defined generally and so liable to be met in provisions which do not themselves contain the definition.

2. Where a term is used only in one Rule (or in a series of closely connected Rules), the definition will be set out in that Rule. Always check the Rule itself before looking at this index.

3. Where a term is used in more than one place, it will start with a capital letter. The second column of this index tells you where you can find the substantive definition.

4. This index is not part of these Rules.

<b><i>Defined term</i></b>	<b><i>Where term is (references are to Rules unless other specified)</i></b>
Amateur Rider (Parts 4 to 7)	112
Appeal Board	113.2
Apprentice Jockey	111
Approved Person (Part 5)	48.3
Arrears	113.2
Assistant Rider's Agent	51.5
Assistant Valet	51.5
Authorised Agent	113.2
the Authority	113.2
the Authority's Office	113.2
Betting Organisation	35.8
Bloodstock Industry Code of Practice	30.5
Conditional Jockey	111

Disciplinary Action	113.2
Disciplinary Panel	113.2
Disciplinary Penalty	113.2
Disqualified Person	113.2
the Forfeit List	113.2
General Instructions	113.2
Horserace	1.3
Hunters' Steeple Chase	14.4
Inside Information	36.1
Jockey	111
Jump Races	15.7
Master Valet	51.5
National Hunt Flat Race	113.2
Offender	53.6
Overseas Rider	112
Person	113.2
Professional Rider (Parts 4 to 7)	112
Positive Test for Prohibited Substance	113.3
Prohibited Substance	113.2
Racecourse Managing Executive	113.2
Racing Administration Internet Site	113.2
The Racing Calendar	113.2
The Racing Calendar Office	113.2
Recognised Company	113.2
Recognised Racing Authority	113.2
Register of Stable Employees	42.5
Registered Agent	113.2
Rider	110
these Rules	113.2
Trainer	113.2
VAT	113.2
Veterinary Officer	113.2
Veterinary Surgeon	113.2

## **PART 1 - THE STEWARDS**

### **1. Approval by the Authority of Stewards and Chairmen**

- 1.1 No Person may act as a Steward, or as Chairman of Stewards, at a meeting unless he has been approved under this Rule.
- 1.2 The Authority will approve and appoint Persons to act as Stewards and Chairmen of Stewards and shall adopt such procedures as it considers appropriate regarding the necessary qualification to be appointed.
- 1.3 The Authority will produce annually a list of Persons so qualified (the List of Stewards).
- 1.4 The List of Stewards will show those qualified to act as a Chairman of Stewards.
- 1.5 The Authority may at any time withdraw its approval of a Steward or a Chairman of Stewards.
- 1.6 Where approval is withdrawn from a Person as a Chairman or a Steward, he may no longer act in that capacity.
- 1.7 Paragraph 1 does not apply in an emergency if approval cannot be obtained in time.

### **2. Requirements as to Stewards and Chairman for a meeting**

- 2. Requirements as to Stewards and Chairman for a meeting
- 2.1 For each meeting the Authority shall appoint the Stewards to act, one of whom shall be appointed as Chairman.
- 2.2 The Authority will appoint one or more Stipendiary Stewards to act at every meeting.
- 2.3 In the event that no Chairman on the List of Stewards is available to act, a Stipendiary Steward shall be appointed to act as Chairman.

### **3. Procedure**

- 3.1 A quorum for the exercise of the powers of the Stewards under these Rules is the Chairman and any other two Stewards.
- 3.2 Decisions shall be reached by a simple majority.
- 3.3 A decision reached by majority is the decision of the Stewards and will be announced as such and no reference must be made then or subsequently to any minority or dissenting view.

### **4. General powers and duties at meetings**

- 4.1 The general functions of the Stewards at any meeting are to ensure when in attendance that racing is run in accordance with all provision made by or under these Rules.
- 4.2 In exceptional circumstances, the Stewards may
  - 4.2.1 make such variations as they consider appropriate to the arrangements for running any race at the meeting, and
  - 4.2.2 extend the time allowed for
    - 4.2.2.1 verifying the Declaration Sheet under Rule 23,
    - 4.2.2.2 weighing,
    - 4.2.2.3 declaring weight, and
    - 4.2.2.4 exhibiting the numbers.

- 4.3 In the case of emergency during a meeting, the Stewards may appoint a substitute to fill the office of an official for the meeting.
- 4.4. The Stewards may give such instructions to the Racecourse Managing Executive and the Clerk of the Course as they consider appropriate for the purposes of discharging their functions.

### **5. Access to all places used for the purposes of a meeting**

- 5. The Stewards must be given free access to all Racecourse Property

### **6. Horses**

- 6.1 The Stewards may
  - 6.1.1 prevent from running any horse which cannot be shown to be qualified under these Rules or under the conditions of the race;
  - 6.1.2 call for proof that a horse is not

- 6.1.2.1 in any respect ineligible to run,
- 6.1.2.2 nominated by a Disqualified Person, or
- 6.1.2.3 in the ownership or part-ownership of a Disqualified Person;

6.1.3 where they are not satisfied by proof called for under Paragraph 6.1.2, prevent the horse from running;

6.1.4 order an examination (including the taking of samples) by such Person or Persons as they consider appropriate of any horse

- 6.1.4.1 which has been declared to run under Rule (F)89, or
- 6.1.4.2 which is on the racecourse;

6.1.5 direct that the sampling is to include the taking and storage of samples for subsequent analysis,

6.1.6 require that the horse be kept in the official racecourse stables for more extensive examination for any period ending up to 24 hours after the time of the race which the horse ran or was entered to run,

6.1.7 if any Person prevents a horse which has been declared to run under Rule F)89 from being examined before the race in question, order the withdrawal of the horse from the race;

6.1.8 refer to the Authority any conduct preventing an examination, as described in Paragraph 6.1.4;

6.1.9 order the withdrawal from a race of any horse which has been declared to run under Part 2 where they have reason to be concerned about the medical or physical condition of the horse;

6.1.10 order the withdrawal from a race of any unruly horse as to which they have reason to be concerned;

6.1.11 order the withdrawal from a race of any horse which, for any reason, they consider is or will be unable to start without there being an unacceptable delay to the start of the race.

6.1.12 order the withdrawal from a race of any horse which takes charge of or dislodges its rider on the way to the start.

6.1.13 order the withdrawal from a race of any horse which has suffered a fall or other major incident either at or on its way to the start that may adversely affect its welfare.

## 6.2 Before making any order under Paragraph 6.1.9

- 6.2.1 the Stewards must have obtained the opinion of the Veterinary Officer at the meeting, and
- 6.2.2 the Veterinary Officer must have recommended that the horse be withdrawn on grounds of concern about its medical or physical condition.

6.3 The Stewards must immediately notify the Clerk of the Scales and the Starter in any case where a horse is withdrawn by order under Paragraph 6.1.10, 6.1.11 or 6.1.12.

6.4 Any horse withdrawn under Paragraph 6.1.9 or 6.1.13 will be suspended from running in future races in Great Britain for the period of 3 days starting with the day of the race.

## 7. Equipment

### 7.1 The Stewards may

- 7.1.1 prohibit any equipment for use on a horse in a race which they consider to be unsuitable, unsafe or ineffective;
- 7.1.2 prohibit a Rider from using a particular whip, whether or not such whip complies with the specifications approved by the Authority;
- 7.1.3 order the seizure and destruction of any safety vest which has been modified in any way in contravention of Paragraph 7 of Schedule (D)2.

7.2 Where the Stewards prohibit the use of a whip under Paragraph 7.1.2, they must without delay submit a report to the Authority.

## 8. Riders

### 8.1 The Stewards may

- 8.1.1 at any time order an examination by a Racecourse Medical Officer of any Rider who is declared to ride under Rule (F)92 or who has ridden in a race;
- 8.1.2 in the case of a Rider selected for testing for banned substances or notifiable medications in accordance with the procedures set out in Schedule (D)4 Part 4, grant him exemption from providing a sample;
- 8.1.3 at any time with justifiable cause order a Rider to submit himself to off-course testing for the presence of any banned substance or notifiable medication.

8.2 If the Racecourse Medical Officer considers it appropriate to do so, an examination under Paragraph 8.1.1 may include the taking from the rider's body of samples for subsequent analysis of blood, urine, breath, sweat, saliva, or any other fluid.

8.3 Where the Stewards make an order under Paragraph 8.1.3, the Authority's Chief Medical Adviser must be notified in confidence immediately in order for him to arrange off-course testing in accordance with the procedures under Schedule (D)4 Part 8 (this testing will normally take place within 24 to 48 hours of notification).

8.4 Any Rider who fails without good reason to comply with any order made under this Rule shall be taken to have contravened a requirement imposed on him by these Rules.

8.5 Racecourse Medical Officer means any registered medical practitioner who is engaged by the Racecourse Managing Executive to provide medical cover for Riders at a race meeting held at the racecourse.

## **9. Abandonment of a day's racing or of a race**

9.1 This Rule applies in relation to a day's racing or any race if

- 9.1.1 there are exceptional circumstances,
- 9.1.2 there is adverse weather, or
- 9.1.3 the ground conditions are such that the course is not safe.

9.2 The Stewards may

- 9.2.1 cancel a Parade,
- 9.2.2 at an All Weather Track fixture, cancel the requirement that horses should be brought into the Parade Ring before the race and order the horses to be mounted in the place appointed for saddling,
- 9.2.3 abandon a day's racing, or
- 9.2.4 abandon any race.

9.3 If the Stewards abandon a day's racing or abandon any race on the grounds specified in Paragraph 9.1, a certificate must be drawn up stating the time when the decision to abandon was arrived at and their summarised reasons for doing so.

9.4 The decision to abandon or omit any Obstacles can be taken at any time from 2 hours before the advertised time of the first race but only provided the Stewards, Trainers or Jockeys have initiated the relevant procedure for considering concerns about the safety of the course.

9.5 The certificate must be signed by two of the Stewards, or by one Steward and the Clerk of the Course, and without delay despatched to The Racing Calendar Office.

9.6 The Stewards may leave out or alter any Obstacles in the circuit of the course if their retention would necessitate the abandonment of the day's racing or a race, but the original advertised distance of a race must not be decreased.

9.7 If the Stewards

- 9.7.1 authorise the cancellation of a Parade,
- 9.7.2 authorise the omission of any Obstacles,
- 9.7.3 disapply the requirements of Rule 45 in respect of a race, or
- 9.7.4 vary in any way the programme as originally advertised,

they must without delay report to The Racing Calendar Office their reasons for doing so.

## **10. The race**

10.1 In exceptional circumstances, the Stewards may give permission for a race to be started in front of the starting post and within such distance of it as the Authority may from time to time direct.

10.2 Permission given under Paragraph 10.1 overrides any contrary provision concerning the distance of the

race, whether contained in the conditions of the race or in these Rules.

10.3 The Stewards may determine the result in the event that either the Judge or any substitute authorised under Rule 4.3 is unable to carry out his duties.

10.4 The Stewards may declare a race void in any case when

10.4.1 the start has been affected due to a faulty action of the starting stalls

10.4.2 the Starter has failed to declare a false start under Rule 38; and

10.4.3 the Stewards consider that the faulty action of the starting stalls has materially prejudiced the chances of a sufficient number of the horses running in the race to justify declaring the race void.

10.5 The Stewards may withdraw any horse in a race from starting stalls when

10.5.1 the horse has been prevented from starting due to a faulty action of the starting stalls when the start was effected, or

10.5.2 the horse is riderless at the time the start was effected.

## **11. Enquiries**

11.1 The Stewards may

11.1.1 determine all questions that arise in reference to racing at a race meeting, except as otherwise provided in these Rules and subject to any appeal made to the Authority under Part (A)7,

11.1.2 report to the Authority on the conduct of any Person or any other matter relating to racing, regardless of whether there is or may be a contravention of these Rules,

11.1.3 enquire into, regulate, control, take account of, and adjudicate on, the conduct of

11.1.3.1 all officials,

11.1.3.2 all Persons bound by these Rules, and

11.1.3.3 all Persons frequenting Racecourse Property for the purpose of the meeting.

11.2 For the purposes of Paragraph 11.1.1, it is irrelevant whether a question arises during the course of or subsequent to the meeting.

11.3 The Stewards will not entertain any disputes relating to bets.

11.4 By notices exhibited on the number board or elsewhere and by any form of public address system at the racecourse, the Stewards may state and announce

11.4.1 that an objection has been lodged,

11.4.2 its subject and nature,

11.4.3 their decision in respect of it, and

11.4.4 their decision in respect of any other matter coming within their jurisdiction.

11.5 The Stewards may communicate the contents of any such notice, statement or announcement to any of the following who are present at the racecourse

11.5.1 representatives of the media, or

11.5.2 representatives of a subscription service,

for publication or onward transmission by them.

11.6 Where any enquiry on a matter listed in Rule 73.2 is called for by the Stewards before the announcement of Weighed In has been given, this shall have the force and consequences of an objection and these Rules shall have effect as if an objection had been lodged.

## **12. Disciplinary action against a person for contravention of these Rules**

12.1 The Stewards may take Disciplinary Action against a Person under this Part if the Stewards

12.1.1 consider that the Person is guilty of misconduct, and

12.1.2 are satisfied that it is appropriate in all the circumstances to take action against him.



12.2 A Person is guilty of misconduct if, while he is subject to these Rules

12.2.1 he contravenes a requirement imposed on him by or under these Rules,

12.2.2 any provision of these Rules states that he is taken to have contravened any such requirement, or

12.2.3 any provision of these Rules states that he is liable to Disciplinary Action.

12.3 If the Stewards are entitled to take Disciplinary Action against a Person under Paragraph 12.1

12.3.1 they may impose on him any of the disciplinary penalties specified in Paragraph 12.4, and

12.3.2 more than one penalty may be imposed in respect of each contravention of a Rule.

12.4 The disciplinary penalties are

12.4.1 to impose a financial penalty not exceeding £15,000;

12.4.2 in the case of a Rider

12.4.2.1 to suspend him from riding at the racecourse where a contravention has been committed for any period up to 42 days;

12.4.2.2 to suspend him from riding for the day;

12.4.2.3 to caution him as to his future conduct in races.

12.5 Any suspension of a Rider under Paragraph 12.4.2 shall commence in accordance with the criteria specified in Schedule 1.

12.6 The Stewards may provide for any part of a period of suspension or part of a fine imposed by them to take effect or be payable as the case may be only if a referral results in a breach of the same or any Rule, or a pending appeal of a previous offence is unsuccessful.

12.7 For the purpose of Paragraph 12.6, an appeal will be considered unsuccessful if at its conclusion the person appealing is found in breach of the same or any Rule. In such a case deferred fines will be payable immediately on conclusion of the appeal and deferred periods of suspension shall be added to any period of suspension for the earlier offence and served as if it had been imposed at the same time.

### **13. Disciplinary action: supplementary**

13.1 Where a Rule requires a particular penalty, order or sanction, the Stewards must comply with the requirement.

13.2 The Stewards powers to take Disciplinary Action may be used only in relation to matters that arise in the course of, or concerning, the meeting for which the Stewards are appointed to act but this shall not prevent

13.2.1 any matter from being referred to the Authority under Rule 16, or

13.2.2 the Stewards from taking Disciplinary Action in any of the circumstances specified in Paragraph 13.3.

13.3 The circumstances are

13.3.1 that a matter has been adjourned from a previous meeting at the racecourse;

13.3.2 that a matter has been adjourned from a previous day of the same meeting;

13.3.3 that all Persons who may be liable to Disciplinary Action consent to the matter being dealt with by the Stewards;

13.3.4 that, after an enquiry into the running of a horse at the meeting, the Stewards consider that, in respect of an earlier running of the same horse at any racecourse in Great Britain, the Rider or Trainer failed to comply with any requirement, imposed on him by the Rider Manual (D) or Trainer Manual (C), to make an after-race report concerning the same horse's performance.

13.4 For the purposes of Paragraphs 13.3.1 and 13.3.2 it is irrelevant whether the same individuals were serving as Stewards at the previous meeting or on the previous day.

13.5 In determining what (if any) Disciplinary Action to take in respect of the contravention of a Rule, the Stewards may take account of any financial penalty that has already been imposed on a Person under Rule (F)96.

## **14. Races already run: disqualifying a horse and changing the placings**

14.1 The powers conferred by Paragraphs 14.2 and 14.3 are exercisable by the Stewards on an objection made to them under Rule 73.2.

14.2 The Stewards may disqualify a horse in relation to a race that has already been run

14.2.1 in any of the circumstances described in Part 4, or

14.2.2 in any circumstances described in Rule 73.2.

14.3 In the circumstances described in Rules 53, 54 or 55, the Stewards may make such changes to the placings of a horse in the race as the Stewards consider appropriate.

14.4 Paragraph 14.2.2 does not apply if the Rider satisfies the Stewards that

14.4.1 his failure to present himself was justified by reason of illness, accident or other extraordinary circumstances,

14.4.2 he weighed out at not less than his correct weight, and

14.4.3 the proper weight was carried throughout the race.

14.5 Where

14.5.1 a Person makes an error, or contravenes a Rule, in entering a horse for a race, and

14.5.2 the appropriate steps specified in Rule (F)78 (steps for correcting certain errors) for correcting the error or contravention have been taken,

the horse shall not be liable to disqualification on account of the error or contravention.

## **15. Powers to suspend a horse from running in future races**

15.1 The powers conferred by Paragraph 15.2 are exercisable by the Stewards in relation to any future races to be held at the racecourse where the race meeting for which the Stewards are acting is held.

15.2 The Stewards may suspend a horse from running for such period not exceeding 40 days as they may specify where

15.2.1 a Rider, Trainer or any other Person to whom Rule 58 applies is found to have contravened any provision of either Rule 58 or 59, or

15.2.2 a Trainer is found to have contravened his duties under Rule (C)45 (which requires trainers to give pre-race instructions to riders) as to the instructions to be given to Riders.

15.3 A suspension of a horse under Paragraph 15.2 shall commence on the day after the time for appealing has lapsed as provided for in Rule (A)78.1.

## **16. Making referrals to the Authority**

16.1 The Stewards may report a matter to the Authority when they consider that

16.1.1 there is a reasonable suspicion that a Person has contravened a requirement imposed on him by or under these Rules in a way that they consider ought to be considered by the Authority;

16.1.2 a Person has contravened a requirement imposed on him by or under these Rules and

16.1.2.1 the contravention ought to be considered by the Authority, or

16.1.2.2 a penalty, order or sanction ought to be imposed which exceeds the range available to the Stewards;

16.1.3 a Person present at the meeting (whether or not subject to these Rules) has behaved in a manner that the Stewards consider to be unacceptable.

16.2 The Stewards must refer any matter to the Authority in circumstances which the Authority has specified as being such as to require a referral.

16.3 On considering any matter referred to the Authority under this Rule, the Authority is not bound by any finding of the Stewards.

## **17. Power of Authority to correct decisions of Stewards**

17.1 The Authority may correct a decision of the Stewards where the Stewards have failed accurately to apply any mandatory provision in these Rules.

17.2 Where a correction is made under Paragraph 17.1

17.2.1 any Person concerned will be informed in writing of the corrected decision, and

17.2.2 if he objects, he may apply for the matter to be referred to a disciplinary panel under Part (A)5.

17.3 An application under Paragraph 17.2.2 must be made in writing to the Authority's Office before the end of the period of 48 hours starting with the day after that on which he is given notice of the corrected decision.

17.4 When that period ends on a day on which the office is closed, the application will be made in time if done by 5.00pm on the next day on which the Authority's Office is open.

17.5 The decision of the Authority shall stand unless (and until) a disciplinary panel decides otherwise.

## **18. Other powers of Authority as to Stewards' decisions**

18.1 If the Authority considers it appropriate to do so, it may cancel or reduce

18.1.1 any Disciplinary Penalty imposed by the Stewards, or

18.1.2 any decision of the Stewards to disqualify a horse, alter the placings or suspend a horse.

18.2 The Authority may extend the period of any suspension imposed by the Stewards where

18.2.1 an appeal is made to the Authority under Part (A)7, or

18.2.2 the Authority conducts a full enquiry into the case.

## **PART 2 - PREPARATION FOR THE RACE**

### ***Horses qualifying for a race***

#### **19. Requirements for a horse to enter the race**

19. A horse may not be entered for a race unless such of the requirements of Schedule 2 as apply in relation to the horse are met.

#### **20. Requirements for a horse to run the race**

20.1 A horse may not run in a race unless such of the requirements of Schedule 3 as apply in relation to the horse are met.

20.2 Schedule 3 contains the following

20.2.1 Part 1 specifies requirements applying to all horses;

20.2.2 Part 2 specifies additional requirements that apply only to horses foaled or trained outside Great Britain;

20.2.3 Part 3 specifies additional requirements that apply where the race is a flat race;

20.2.4 Part 4 specifies additional requirements that apply where the race is a steeple chase;

20.2.5 Part 5 specifies additional requirements that apply where the race is a Hunters' Steeple Chase;

20.2.6 Part 6 specifies additional requirements that apply where a horse is trained outside Great Britain;

20.2.7 Part 7 specifies additional requirements that apply where a horse is imported to Great Britain to be trained.

### ***Requirements as to equipment***

#### **21. Equipment for horse and rider**

21. Schedule 4 (which makes provision about equipment for horses and riders) has effect.

### ***Weighing out and declarations***

#### **22. Weighing out procedure**

22.1 The Riders for each race must be weighed out in accordance with these Rules.

22.2 Each Rider must be weighed for a particular horse at the appointed place.

22.3 The weighing must take place

22.3.1 not less than a quarter of an hour before the time fixed for the race, or

22.3.2 if this is not possible due to the late running of the preceding race, not more than five minutes after the Clerk of the Scales has weighed in the winner of that race, or

22.3.3 if the Stewards specify a later time under Rule 4.2.1, by that time

22.4 No Rider may be weighed out for any race unless the Declaration Sheet for the horse has been verified in accordance with Rule 23.

22.5 The Clerk of the Scales will not allow a Rider to be weighed out for a horse where he has been informed by the Stakeholder that any of the following have not been paid

22.5.1 any stake or any arrears in respect of any horse belonging to the same owner or standing in his name,

22.5.2 the Rider's fee or any fee due in respect of an Amateur Rider,

22.5.3 any payment due to the Professional Riders Insurance Scheme,

22.5.4 any arrears claimed under these Rules,

22.5.5 any VAT payable on or in connection with any of the matters specified in Paragraphs 22.5.1 to 22.5.4.

22.6 The Clerk of the Scales will not allow a Rider to be weighed out for any race unless he is wearing a safety

vest which conforms to a standard approved by the Authority (see Rule (D)36 (safety vests, skull caps and saddles)).

22.7 Rule (D)42 (weighing out) specifies requirements applying to a Rider on weighing out, including the items he must include in the scale.

22.8 Overweight will be rounded down to the nearest 1lb unit.

22.9 Subject to Paragraph 22.1, to compensate for being required to wear a safety vest, the weight of a Rider on weighing out will automatically be allowed at 3lbs less than the weight that is registered on the scale (factored into the calibration of the Weighing Room scales).

22.10 During the months of December, January and February, to compensate for wearing a safety vest and extra clothing, the weight of the Rider on weighing out for a flat race will automatically be allowed at 4lbs less than the weight that is registered on the scale (factored into the calibration of the Weighing Room scales).

## **23. Verifying the Declaration Sheet**

23.1 A Person who signs the Declaration Sheet for a horse, or who in circumstances specified in Paragraph 23.3 makes a declaration by telephone, declares that

23.1.1 the horse is to run, and

23.1.2 the information contained in the sheet in relation to the horse is correct.

23.2 A declaration by signature must be made not less than three-quarters of an hour before the time fixed for the race.

23.3 A declaration may be made by telephone if, in exceptional circumstances, the Stewards authorise the Clerk of the Scales to accept the declaration but such authorisation may be given only if

23.3.1 the horse is not due to have its passport verified under Rule (E)15.1.1, 15.1.2 or 16.2,

23.3.2 the declaration is made not less than three-quarters of an hour before the time fixed for the race, and

23.3.3 the Person making the declaration immediately reports to the Clerk of the Scales to confirm the declaration on arrival at the racecourse.

23.4 Before the end of the period specified in Paragraph 23.2 or 23.3.2, the information contained in the Declaration Sheet may be altered without penalty.

23.5 If any necessary correction is not made before the end of that period

23.5.1 the Person making the declaration, or

23.5.2 if the declaration was made by one of his employees, the Trainer,

shall be taken to have contravened a requirement imposed on him by these Rules.

## **24. Persons who may verify the Declaration Sheet**

24.1 The Declaration Sheet for a horse may only be verified by

24.1.1 the Owner,

24.1.2 the Trainer,

24.1.3 a stable employee of the Trainer who produces his racehorse attendant's identity card and validity pass, or

24.1.4 any other Person who produces a written authorisation which is signed by the owner or Trainer and which is valid for the day of the race only.

24.2 Where a horse is owned by a Recognised Company, the verification may also be provided by

24.2.1 a Registered Agent of the Recognised Company, or

24.2.2 any other Person who produces written authorisation signed by the Registered Agent which is valid for the day of the race only.

## **25. Late change of rider**

25.1 Subject to Paragraphs 25.2 to 25.4, no new Rider will be permitted after the time determined under Rule (F)92 for making declarations of Rider.

25.2 Paragraph 25.1 does not apply in any case where

- 25.2.1 the Authority or Stewards direct that it does not apply, or
- 25.2.2 the Stewards authorise the substitution of a Rider who has been weighed out for a particular horse but who is prevented, before he has come under Starter's Orders, from riding in the race on account of accident or illness.

25.3 Paragraph 25.1 does not apply where the Authority or Stewards are satisfied that any of the following circumstances apply and that the new Rider can be weighed within the appropriate time, as determined by Rule 22.3

- 25.3.1 if the declared Rider is ill or unfit to ride another Rider may be substituted,
- 25.3.2 if the declared Rider is not qualified to ride another Rider may be substituted,
- 25.3.3 a meeting on the same day has been abandoned and the substitute Rider was declared to ride at the abandoned meeting,
- 25.3.4 the substitute Rider was declared to ride at another meeting on the same day and one of his declared rides is unable to run,
- 25.3.5 the substitute Rider was declared to ride another horse in the same race but the horse is unable to run,
- 25.3.6 the substitute Rider was not declared to ride because he had already been declared to ride at nine meetings but subsequently did not ride at one of those meetings,
- 25.3.7 if the declared Rider is due to carry 1lb or more overweight another Rider may be substituted, or
- 25.3.8 in such other circumstances as the Authority or the Stewards consider acceptable.

25.4 Paragraph 25.1 does not apply if the Stewards authorise a Rider for a horse where

- 25.4.1 the horse has been declared to run under Rule (F)89,
- 25.4.2 no Rider has been declared for the horse as required under Rule (F)92,
- 25.4.3 the Stewards have received a request for authorisation from a Person listed in Rule 24.1, and
- 25.4.4 the authorisation is given not less than three-quarters of an hour before the time fixed for the race.

25.5 Where a Rider switches rides in the circumstance specified in Paragraph 25.3.4, the Trainer of the horse to which the Rider is switching must inform The Racing Calendar Office of the change at the earliest opportunity.

25.6 The Trainer or Owner of a horse shall be taken to have contravened a requirement imposed on him by these Rules in any case where

- 25.6.1 the Authority or the Stewards permit a substitution because, at the instruction of the Trainer or owner, the declared Rider is not present to ride, but
- 25.6.2 they are not satisfied that any of the circumstances specified in Paragraphs 25.3.1 to 25.3.8 apply.

25.7 In all races, other than those confined to

- 25.7.1 Apprentice Jockeys
- 25.7.2 Conditional Jockeys
- 25.7.3 Amateur Riders, or
- 25.7.4 both Conditional Jockeys and Amateur Riders

where a Rider is prevented from weighing out in the circumstances specified in Rule (D)42.5, the new Rider must be of a similar level regarding claiming a Rider's allowance.

So, for example, a Rider who claims any Rider's allowance must be replaced by a Rider who also claims any Rider's allowance.

25.8 The Trainer must, without delay and without exception, request approval from

- 25.8.1 The Racing Calendar Office, or
- 25.8.2 if he is at the racecourse, the Stewards

where the declared Rider will not be riding and a new Rider has been identified as provided for in Paragraphs

25.3.1 to 25.3.8.

## **26. Publication of information about changes**

26.1 The Clerk of the Scales will cause to be displayed on the screen or number board any alterations to the following information which differs from that appearing in the official race card

- 26.1.1 declared horses,
- 26.1.2 declared Riders, with allowances claimed if appropriate,
- 26.1.3 the draw in any flat race,
- 26.1.4 any extra weight or variation of weight or weight allowance,
- 26.1.5 colours, and
- 26.1.6 any declaration that a horse is wearing
  - 26.1.6.1 a hood,
  - 26.1.6.2 blinkers,
  - 26.1.6.3 visor,
  - 26.1.6.4 eyeshield,
  - 26.1.6.5 eyecover,
  - 26.1.6.6 cheek pieces (sheepskin or otherwise), or
  - 26.1.6.7 any combination of the items in Paragraphs 26.1.6.1 to 26.1.6.6, or
  - 26.1.6.8 a tongue strap.

The definitions in Paragraph 1 of Schedule 4 have effect for the purposes of Paragraph 26.1.6.

26.2 The Clerk of the Scales will immediately cause to be displayed on the screen or number board such alterations to the information listed in Paragraphs 26.1.1 to 26.1.6 as the Stewards may sanction.

26.3 The information will be displayed either continuously or at regular intervals until the race starts.

26.4 Where a horse is withdrawn under Rules 6, 35 or 39 the Clerk of the Scales must immediately

- 26.4.1 arrange for an announcement to be made over the public address system which states that the horse is withdrawn and indicates whether or not the horse has come under Starter's Orders, and
- 26.4.2 arrange for a notice to be exhibited on the number board or screen which states whether or not the horse has come under Starter's Orders.

26.5 Where the horse is withdrawn by order of the Starter, the Clerk of the Scales must also immediately report that fact to the Stewards.

### ***Requirements before proceeding to the Start***

## **27. Requirements before mounting**

27.1 The Racecourse Managing Executive must ensure that a clean number-cloth, of a pattern approved by the Authority is provided for every horse for which a Rider presents himself to be weighed out.

27.2 The horse attendants must be provided with badges bearing numbers corresponding with those on the card and the Trainer of a horse will be reported to the Stewards if an attendant's badge is not exhibited.

27.3 Each horse running at a meeting

- 27.3.1 may be saddled in the official racecourse stables if
  - 27.3.1.1 the horse is difficult to saddle, and
  - 27.3.1.2 the owner or Trainer has first obtained permission from the Stewards;
- 27.3.2 otherwise, must be saddled in the appointed place.

27.4 Each horse must then, unless Paragraph 27.6 applies

- 27.4.1 be brought into the Parade Ring, or
- 27.4.2 in the case of an All Weather Track fixture, be brought to the place designated for mounting,

by the time stipulated on the Timetable Plan for Start Times displayed in the Weighing Room and racecourse stables.

27.5 The Trainer of a horse will be reported to the Stewards in the event of the horse not being brought into the

Parade Ring before the signal to mount is given and shall be taken to have contravened a requirement imposed on him by these Rules.

27.6 Where the Stewards at an All Weather Track fixture have, under Rule 9.2.2, authorised mounting in the place appointed for saddling

27.6.1 the riders must proceed to the place designated for mounting when so instructed by the Clerk of the Course or his representative,

27.6.2 no horse may leave there to proceed early to the start before the signal to mount is given unless the owner or Trainer has first obtained the permission of the Stewards,

27.6.3 the horses will be mounted where they are standing when the signal to mount is given, and

27.6.4 the horses must then proceed directly to the entrance onto the track.

## **28. The Parade Ring**

28.1 Riders must proceed to the Parade Ring when so instructed by the Clerk of the Course or his representative.

28.2 No horse may be admitted to the Parade Ring unless

28.2.1 it has been declared to run under Rule (F)89,

28.2.2 it is advertised on the racecard as being for sale, or

28.2.3 the Authority or the Stewards have given prior permission.

28.3 A Person may enter the Parade Ring if he is

28.3.1 an official of the meeting,

28.3.2 an owner, Trainer, horse attendant or Rider of a horse which is to run in the next race, or

28.3.3 a Person who has special leave from the Stewards or the Racecourse Managing Executive,

and any Person refusing to leave shall be reported to the Stewards.

28.4 No horse is allowed to leave the Parade Ring to proceed early to the start before the signal to mount is given unless the owner or Trainer first obtains the permission of the Stewards.

28.5 When the signal to mount is given, each horse must continue to proceed around the Parade Ring and be mounted at the walk or a horse may instead be made to stand still, with its heads towards the centre of the Parade Ring, for the Rider to walk immediately to where his horse is standing and mount there.

28.6 When the Rider has mounted, he may walk his horse round the Parade Ring in front of those horses which are still standing and must continue to do this, in the same direction as the horses were walking before they were mounted, until the moment arrives to go down to the start.

28.7 Horses are not allowed to cross the middle of the Parade Ring unless directed to do so by an official or any representative of the Racecourse Managing Executive.

## **29. After the horse is mounted**

29.1 Horses must be ridden in front of the stand before proceeding to the start in any case where

29.1.1 a Parade has been advertised for the race in accordance with Rule (F)22 (publication of race programme), or

29.1.2 the Racecourse Managing Executive so requires under Paragraph 29.3.

29.2 As regards Parades, Rule 30 applies to determine when parades are to be held and imposes certain requirements in respect of the conduct of parades and, if a race is to have a Parade

29.2.1 this must be clearly identified on the Timetable Plan for Start Times which must be displayed on the Weighing Room notice board, and

29.2.2 in respect of any Parade in which the runners are led in front of the Stand, a plan showing the Parade requirements must be displayed in the Weighing Room.

29.3 As regards Paragraph 29.1.2, where a Racecourse Managing Executive decides to require the horses in any race to be ridden in front of the stand

29.3.1 a notice of the requirement must be displayed in the Rider's Changing Rooms and on the



Weighing Room notice board,

29.3.2 the notice must indicate the route to be taken to the start, and

29.3.3 Trainers, Riders and horse attendants must obey the instructions of any racecourse officials who are organising this requirement.

## **30. Requirements applying to parades**

30.1 A Parade is mandatory in

30.1.1 each Group 1 flat race (but this is subject to Paragraph 30.2), and

30.1.2 each Grade 1 jump race which is not a Grade 1 novice or Juvenile jump race,

but, where there are two or more such races on a racecard, a Parade is mandatory in the principal race only.

30.2 There shall be no Parades in races confined to two years old or any flat race less than seven furlongs.

30.3 A Parade is optional in all other races but, where a Racecourse Managing Executive wishes to exercise the option of having a Parade, permission must be sought from the Authority's Jump Racing or Flat Racing Committee respectively.

30.4 Any Parade must take place in the order requested by the racecourse managing executive.

30.5 Trainers, Riders and horse attendants must

30.5.1 obey the instructions of racecourse officials who are organising a Parade,

30.5.2 make every effort to assist racecourse officials in maintaining the Parade order requested by the racecourse managing executive in the pre-Parade Ring, Parade Ring and during the Parade itself and, where possible, horses should be mounted on the move to assist in this respect.

30.6 Once the Parade has started no Rider may dismount or leave the Parade early except in an emergency.

30.7 A Parade may be assisted by one or more outriders at the front or rear.

## **PART 3 - THE START**

### ***Conduct***

#### **31. General duty to secure a prompt start**

31. Each Trainer, Rider and Racecourse Managing Executive must take reasonable steps to ensure that races start on time and that all procedures set out in these Rules for that purpose are complied with.

#### **32. Method of start**

32.1 Subject to Paragraph 32.3, all flat races must be started

32.1.1 from starting stalls of a design approved by the Authority, or

32.1.2 if starting stalls are not available, by a starting gate approved by the Authority.

32.2 Subject to Paragraph 32.3, all steeple chases, hurdle races and National Hunt Flat Races must be started

32.2.1 by a starting gate approved by the Authority, or

32.2.2 with special permission from the Authority, by flag.

32.3 In a case of emergency, any race may be started with a flag if

32.3.1 the Starter decides to do so, or

32.3.2 the permission of the Stewards is obtained.

32.4 In loading horses for races, the Starter may call upon additional assistance from other handlers if they are available and he considers it appropriate to do so.

32.5 Schedule 5 makes further provision about the use of starting stalls, starting gates and starting flags.

#### **33. Getting to the start**

33.1 A horse may not be led on the course on the way to the start except in a Parade or with the permission of the Stewards.

33.2 No horse will be permitted to go to the start late unless the owner or Trainer first obtains the permission of the Stewards.

33.3 The Stewards will only give permission for a horse to proceed to the start late in exceptional circumstances (such as where a horse needs to be re-plated) and not for any behavioural problems.

33.4 When a horse is unavoidably delayed in the Parade Ring (or, in the case of an All Weather Track fixture, in the place designated for mounting) and cannot leave to go to the start in company with the other horses, those horses which have not already left for the start must remain in the Parade Ring until the horse concerned is ready to go to the start with them.

33.5 Every horse must be ridden to the start.

33.6 No preliminary jump is allowed before any race.

#### **34. General requirements at the start**

34.1 A Rider comes within the control of the Starter once he arrives at the start.

34.2 No Person will be allowed on the course at the start without the permission of the Starter.

34.3 No Person other than a Rider may use a whip on a horse, or otherwise strike it in any way, while it is under the control of the Starter before and during the start of any race.

34.4 The Starter must report to the Stewards any case where he considers that a horse has been improperly saddled.

34.5 Schedule 5 Part 4 places further restrictions on Trainers and their representatives at the start.

#### **35. Power of Starter to withdraw horses**

35.1 It is the responsibility of the Starter to take a final decision as to whether or not any horse should run.

35.2 The Starter must immediately notify the Clerk of the Scales that a horse is withdrawn if he considers that, for any reason, the horse is or will be unable to start at the appointed time or when the Starter is ready to start the race.

35.3 In making a decision on withdrawal, the Starter must have regard to any preference which, in accordance with Rules (C)36.2 and (C)36.3 (other requirements affecting equine welfare), the Trainer of the horse has

indicated on the list of declared runners given to the Starter.

#### 35.4 Where

35.4.1 one of the plates is removed from a horse at the start or is shed on the way to, or at, the start, and

35.4.2 a farrier is present at the start and replating is possible,

the Starter may approve replating if he considers that there is sufficient time for replating to take place or that the race can be delayed while the horse is replated, but if loading into the stalls has commenced for a flat race, approval will be given only in exceptional circumstances.

### 36. The start

36.1 Every horse in a race must be at the starting post ready to start at the appointed time.

36.2 The horses may only be started by the official Starter or his authorised substitute.

36.3 Every flat racecourse will be classified in Schedule 7 as a left handed course or a right handed course.

36.4 For any flat race, except those programmed to be started from a starting gate

36.4.1 the horses must take their place at the start in the order drawn for them,

36.4.2 the Rider who has drawn No 1 must always, when looking at the starting stalls from the rear, be placed

36.4.2.1 in the first stall used on the left of the starting stalls on a left handed course,  
and

36.4.2.2 in the first stall used on the right of the starting stalls on a right handed course.

36.4.3 the other Riders must take their places in consecutive numbers from the Rider drawn No 1.

36.4.4 in the event of a non runner and where time permits, the stalls number for that horse will be removed from the sequence. The remaining runners will be loaded in such a way that no numbered stall is left vacant, with the stalls numbering amended accordingly.

36.5 Each horse shall be considered as having come under Starter's Orders when the Starter has carried out such action as to cause the race to be declared Off in accordance with Rule 37.2.

36.6 Each horse which has come under Starter's Orders shall be considered as having started the race apart from a horse which is for any reason withdrawn by the Starter or the Stewards.

### 37. Timing of the start

37.1 The time recorded for the start of a race by either Satellite Information Services or Amalgamated Racing shall be regarded as the official time of the start.

37.2 A race shall be declared Off when

37.2.1 in a race started from starting stalls, the Starter has released the starting stalls;

37.2.2 in a race started from a starting gate, the Starter has dropped his flag and released the starting gate;

37.2.3 in a race started by a flag, the Starter has dropped his flag.

37.3 But Paragraph 37.2 does not apply where the Starter declares a false start under Rule 38.

### ***False starts***

### 38. False starts

38.1 The Starter may declare a false start

38.1.1 if he considers that through any faulty action of a starting gate or a starting stall a fair start has not been effected,

38.1.2 when a horse has broken away before the race has been declared Off, or

38.1.3 if, for safety reasons, the Starter releases the tape of the starting gate but does not intend to start the race.

38.2 Where a false start has been declared the Starter will order the Riders to return to the starting post by using the Recall Procedures.

38.3 The Starter's decision on all matters covered by Paragraphs 38.1 to 38.2 is final.

38.4 Where the Recall Procedures are initiated without his orders, the Starter must nevertheless declare it a false start.

### **39. Effect of Recall Procedures**

39.1 A race is void unless at least one Rider returns to the Starter after the Recall Procedures have been initiated.

39.2 Where

39.2.1 only one Rider returns, and

39.2.2 he can satisfy the Starter that he obeyed the Recall Procedures,

his horse shall be regarded as having walked over for the race.

39.3 Where more than one Rider returns, the race must be started again as soon as the course is clear.

39.4 The Starter's decision on all matters covered by Paragraphs 39.1 to 39.3 is final.

39.5 Any horse which, following the initiation of the Recall Procedures

39.5.1 in a flat race, completes the course, or

39.5.2 in a steeple chase, hurdle race or National Hunt Flat Race, either completes a circuit of the course, unseats its rider other than at the start, or falls,

shall be regarded as not having obeyed the Recall Procedures and shall be withdrawn by the Starter.

39.6 The Rider of any horse to which Paragraph 39.5 applies shall be taken to have contravened a requirement imposed on him by this Rule.

### **40. Failure of the Recall Procedures**

40.1 The race is void if the Starter declares a false start but there is a failure of the Recall Procedures.

40.2 Paragraph 40.1 does not apply where all the horses pull up before

40.2.1 completing the course in a flat race, or

40.2.2 completing a circuit of the course in a steeple chase, hurdle race or National Hunt Flat Race.

40.3 For the purposes of Paragraph 40.2.2, any horse which falls before completing a circuit of the course in a steeple chase, hurdle race or National Hunt Flat Race

40.3.1 shall be regarded as having pulled up and returned to the Starter, and

40.3.2 must be withdrawn by the Starter.

### ***Starter's reports***

### **41. Requirement to make reports to Stewards**

41.1 The Starter must report to the Stewards on each occasion when the Starter

41.1.1 dispensed with the starting stalls or starting gate, or

41.1.2 withdrew a horse in exercise of his powers under Rule 35.2,

specifying the Starter's reasons, the time the race was started and the cause of, and any Person responsible for, causing any delay.

41.2 Where the race is started from starting stalls, the Starter must report to the Stewards any horse which

41.2.1 failed to enter the stalls,

41.2.2 unnecessarily delayed a start,

41.2.3 behaved in an unruly manner unacceptable to the Starter, or

41.2.4 behaved in a manner which resulted in three Criteria Failures being issued under Rule 43.

41.3 Any report made by the Starter under this Rule will be sent to The Racing Calendar Office.

### **42. Power to report misconduct of rider, trainer or his representative**

42.1 The Starter may report to the Stewards any Rider, Trainer or his representative whom the Starter considers is guilty of misconduct at the start.

42.2 Misconduct by the Rider includes, in particular

42.2.1 attempting to line up or taking a position for the start before being instructed to do so by the Starter;

42.2.2 causing or allowing a horse in a race started from a starting gate to be in contact in any way with the starting tape or causing or allowing his head to be on or over the starting tape.

42.3 But no report will be made in respect of conduct falling within Paragraph 42.2.2 where the Starter considers that the circumstances of the conduct were beyond the Rider's control.

42.4 Misconduct by a Trainer or his representative includes, in particular, a failure to comply with the protocol set out in Schedule 5 Part 4 and may result in the Stewards taking Disciplinary Action.

### **43. Power to issue warnings to trainers (criteria failures)**

43.1 The Starter will, in the circumstances set out in Paragraph 43.2, issue the Trainer of a horse with a warning relating to the horse's behaviour (referred to in this Manual as a Criteria Failure).

43.2 The circumstance for issue of a Criteria Failure are

43.2.1 where the horse is unruly in the stalls but the behaviour does not warrant a report to the Stewards under Rule 41,

43.2.2 where the horse is unruly outside the stalls but the behaviour does not warrant a report to the Stewards under Rule 41, or

43.2.3 where a late load is requested by the Trainer for any horse other than one to which Paragraph 43.3 or Schedule 5 Paragraph 4.5.2 applies.

43.3 A horse foaled on and after 1st January 2000 may be recorded as a horse which will not in future incur a Criteria Failure when a late load is requested by the Trainer if the horse

43.3.1 is recognised as one which

43.3.1.1 has been properly schooled, but

43.3.1.2 will always need special handling under race conditions because of its temperament, and

43.3.2 has twice been the subject of a Starter's report under Rule 41.2 and has subsequently passed the necessary stalls tests.

43.4 If a horse records three Criteria Failures within a 12 month rolling period, the Starter must report the horse to the Stewards for a stalls test.

43.5 Examples of unruly behaviour in the stalls include

43.5.1 panicking in the stalls or trying to go under the front gate;

43.5.2 rearing in the stalls;

43.5.3 kicking out in the stalls;

43.5.4 lying or sitting down in the stalls.

43.6 Examples of unruly behaviour outside the stalls include

43.6.1 needing four pushers with or without a blindfold;

43.6.2 having to be blindfolded and is very reluctant;

43.6.3 kicking out;

43.6.4 being generally unruly at the start.

### **44. Effect of a Starter's report**

44.1 This Rule applies where a horse is reported to the Stewards under Rule 41.2.

44.2 The horse may not start for a race from stalls until a satisfactory certificate has been obtained in respect of the horse.

44.3 For the purposes of Paragraph 44.2, the following are satisfactory certificates

44.3.1 a report to the Racing Calendar Office by a Starter that the horse has passed a stalls test conducted in accordance with Schedule (C)5,

44.3.2 if the horse which was trained outside Great Britain at the time that it was reported, a certificate issued by the Racing Authority of the country in which the horse is or has been trained, or

44.3.3 if the horse was trained in Great Britain at the time it was reported and is subsequently trained abroad, a certificate issued by the Racing Authority of the country in which the horse is trained.

44.4 A horse for which a satisfactory certificate has been obtained

44.4.1 may not run in a race from stalls on the day on which the certificate is obtained, but

44.4.2 when it does run in a race, unless the satisfactory certificate has been granted pursuant to Paragraph 44.3.1, the Trainer must ensure that the certificate is brought to the meeting and is available for inspection if required.

44.5 If, after a horse has been reported under Rule 41.2, it is subsequently reported to the Authority, the horse may not undergo a stalls test until the Authority has considered that report.

44.6 The Authority may at its discretion prevent any horse reported to them from undergoing a stalls test.

## **PART 4 - THE RACE**

### ***Completing the course***

#### **45. Riding to the draw in a flat race with marker poles**

45.1 This Rule applies to any flat race starts at which marker poles have been placed shortly after the start.

45.2 Each Rider

45.2.1 must ride in a straight line from his draw position until reaching the marker poles, and

45.2.2 may only then move to the running rail.

45.3 Paragraph 45.2 does not apply to any horse at the rear of the field which

45.3.1 has dwelt of its own accord, or

45.3.2 has been restrained with a view to covering it up.

45.4 A Rider is liable to Disciplinary Action for any contravention of Paragraph 45.2, even if no interference is caused.

45.5 If interference does take place, a Rider is also liable to Disciplinary Action for any contravention of Rules 53, 54 or 57.

45.6 Any owner or Trainer who gives instructions to a Rider which, if obeyed, may lead to contravention of Paragraph 45.2 shall also be taken to have contravened a requirement imposed on him by this Rule.

45.7 A Rider may apply to the Stipendiary Steward if he considers the condition of the course to be such that the requirements of Paragraph 45.2 should be disapplied by the Stewards.

45.8 After inviting representatives of the Riders to put their case, the Stewards will determine the application and notify the representatives.

#### **46. Remounting or Pulling up a horse**

46.1 If during the race a horse is remounted and continues in the race it shall, on an objection to the Stewards under Part 7, be disqualified.

46.2 No rider may remount after a race has started and ride back to the place appointed for unsaddling unless

46.2.1 he has been examined by a Racecourse Medical Officer, and

46.2.2 his horse has been examined by a Veterinary Surgeon.

46.3 Paragraph 46.2.1 does not apply if the Racecourse Medical Officer is unable to carry out the examination before completion of the veterinary examination under Paragraph 46.2.2.

46.4 Where a Rider pulls up for any reasons listed under Rule (D)45.3, he cannot subsequently re-join the race and must wait in the area where he pulled up until all contenders in the race have passed by and, if the race is a steeple chase or hurdle race, he must refrain from jumping any further Obstacles.

46.5 The horse of a Rider who is found to have contravened Paragraph 46.4 shall, on an objection to the Stewards under Part 7, be disqualified.

46.6 In this Rule

**Veterinary Surgeon** means any qualified veterinary practitioner appropriately registered to practice.

#### **47. Disqualification of horse not carrying correct weight**

47. If during the race a horse carries less than the weight it should carry throughout the race, it shall, on an objection to the Stewards under Part 7, be disqualified.

#### **48. Emergency procedures**

48.1 Where a yellow stop race flag indicating that it is unsafe to proceed is waved at any time in the course of a race by racecourse personnel

48.1.1 each Rider who has not passed the flag must pull up, and

48.1.2 the race shall be void.

#### **49. Jump races: directing riders around an obstacle (by-pass procedures)**

49.1 A Rider must proceed around the Obstacle as indicated by the direction markers (notwithstanding that in exceptional circumstances these markers may direct riders around the opposite side of the Obstacle compared to that indicated by the plan of the racecourse in the Weighing Room) and continue in the race, following the correctly marked course.

49.2 If a Rider is unable to follow the direction markers, he must pull up.

49.3 The Stewards may decide not to take Disciplinary Action against a Rider for a contravention of Paragraphs 49.1 or 49.2 if the Rider satisfies them that he had reasonable cause.

49.4 The horse of a Rider who is found to have contravened Paragraphs 49.1 or 49.2 shall, on an objection to the Stewards under Part 7, be disqualified unless the Stewards consider that extraordinary circumstances justified the Rider in acting as he did, in that

49.4.1 all Riders remaining in the race took the same course, and

49.4.2 no Rider obtained an unfair advantage as a result.

## **50. Deleted**

Deleted

## **51. Failing to ride the course correctly**

51.1 Where a horse

51.1.1 runs the wrong side of a running rail or a marker used to denote the correct course, or

51.1.2 misses an Obstacle

the Rider must pull up or turn back in order to ride the course correctly from the point where the horse took the wrong course or in order to jump the Obstacle.

51.2 Paragraph 51.1 does not apply

51.2.1 where the Stewards have issued instructions to Riders before the race that an Obstacle is to be omitted, or

51.2.2 in the circumstances specified in Rule 51 or 49

51.3 The horse of a Rider who is found to have contravened Paragraph 51.1 shall, on an objection to the Stewards under Part 7, be disqualified unless the Stewards are satisfied that

51.3.1 the Rider's reasons for taking the wrong course were satisfactory,

51.3.2 all Riders remaining in the race took the same course, and

51.3.3 no Rider has obtained an unfair advantage as a result.

## **52. Horse led over an obstacle**

52.1 Paragraph 52.2 applies where a horse in a steeple chase or hurdle race refuses an Obstacle and

52.1.1 is led over the Obstacle by one or more bystanders, or

52.1.2 is given a lead over by a horseman not riding in the race.

52.2 The horse shall, on an objection to the Stewards under Part 7, be disqualified

## ***Riding***

## **53. Dangerous riding**

53.1 A Rider is guilty of dangerous riding if he causes serious interference by

53.1.1 purposely interfering with another horse or Rider, or

53.1.2 riding in a way that is far below that of a competent and careful Rider and where it would be obvious to such a competent and careful Rider that riding in that way was likely to endanger the safety of a horse or Rider.



53.2 A Rider whom the Stewards or the Authority consider has been guilty of dangerous riding at any time whilst on the racecourse, and whether before or after any race

53.2.1 shall be taken to have contravened a requirement imposed on him by this Rule, and  
53.2.2 is liable to Disciplinary Action.

53.3 When a horse or its Rider has caused interference by dangerous riding in any part of a race the horse shall, on an objection to the Stewards under Part 7, be disqualified.

## **54. Careless riding or improper riding**

54.1 A Rider is guilty of careless riding if he fails to take reasonable steps to avoid causing interference or causes interference by inattention or misjudgement.

54.2 A Rider is guilty of improper riding if he

54.2.1 causes interference by making a manoeuvre when he knows or ought reasonably to have known that interference could occur, or  
54.2.2 engages in any misconduct in the course of riding, whether mounted or dismounted, including riding that would be dangerous (within the meaning of Rule 53) but for the fact that it did not cause serious interference.

54.3 Improper riding by a Rider also covers any case of improper use of the whip which does not fall within Rule 53 or within the preceding provisions of this Rule.

54.4 A Rider whom the Stewards or the Authority consider has been guilty of careless riding or improper riding at any time whilst on the racecourse, and whether before or after any race

54.4.1 shall be taken to have contravened a requirement imposed on him by this Rule, and  
54.4.2 is liable to Disciplinary Action.

54.5 Where

54.5.1 a horse or its Rider has caused interference by careless or improper riding, and  
54.5.2 the Stewards are satisfied that the interference improved the placing of the horse in relation to the horse or horses with which it interfered,

the horse shall, on an objection to the Stewards under Part 7, be placed behind the horse or horses with which it has interfered.

54.6 For the purposes of Paragraph 54.5.2

54.6.1 the reference to the placing of any horse interfered with is to the placing decided by the Judge, and  
54.6.2 if the Stewards are not satisfied the interference did improve the placing of the horse, they must overrule the objection and order that the placings remain unaltered.

54.7 In deciding whether the Stewards are satisfied that the interference improved the placing of the horse, the Stewards shall make no allowance for any ground which the incident may have cost the horse causing the interference.

54.8 For the purposes of Paragraph 54.4, if the Professional Rider of a horse placed first, second, third, fourth, fifth or sixth

54.8.1 in a flat race with a Total Prize Fund of £27,500 or more, or  
54.8.2 in a steeplechase, hurdle race or National Hunt Flat Race with a Total Prize Fund of £20,000 or more

is found to have contravened Schedule (B)6 Part 2 (Improper Riding) and is suspended for 7 days or more before previous offences are taken into account, the Professional Rider may be fined a sum of not less than £200 and not more than £10,000, except as provided for in Paragraph 54.9.

54.9 An Apprentice Jockey, in the circumstances set out in Paragraph 54.8, may be fined a sum of not less than

£100 and not more than £5,000.

54.10 The amount of the fine shall be calculated by reference to that payment which Schedule (F)9 provides to be paid to the rider for the race and placing in question.

54.11 If the suspension is for 7 or 8 days, the Professional Rider shall be fined 20% of that payment, 10% in the case of an Apprentice Jockey, providing that the payment referred to in Paragraph 54.10 is £1,000 or above.

54.12 If the suspension is for 9 days or more the Professional Rider shall be fined 40% of that payment, 20% in the case of an Apprentice Jockey, providing that the payment referred to in Paragraph 54.10 is £500 or above.

54.13 For the purposes of Paragraph 54.4, if the Amateur Rider of a horse placed first, second, third, fourth, fifth or sixth

54.13.1 in a flat race with a Total Prize Fund of £27,500 or more, or

54.13.2 in a steeplechase, hurdle race or National Hunt Flat Race with a Total Prize Fund of £20,000 or more

is found to have contravened Schedule (B)6 Part 2 (Improper Riding) and is suspended for 7 days or more before previous offences are taken into account, the Amateur Rider may be fined a sum of not less than £200 and not more than £400.

54.14 The amount of the fine shall be calculated by reference to that payment which Schedule (F)9 provides to be paid to a Professional Rider for the race and placing in question.

54.15 If the suspension is for 7 or 8 days the Amateur Rider shall be fined £200 provided the sum referred to in Paragraph 54.14 is £1,000 or above.

54.16 If the suspension is for 9 days or more the Amateur Rider shall be fined £400 provided the sum referred to in Paragraph 54.14 is £500 or above.

## **55. Accidental interference**

55.1 In any case where interference is caused by accident in any part of the race, the Stewards must apply Rules 54.5 to 54.7 to such interference in order to determine whether to order any alteration as to placings.

55.2 For the purposes of Paragraph 55.1, Rule 54.5.1 shall be read as if, for the reference to interference by careless or improper riding there were substituted a reference to interference by accident.

## **56. Rules 53 to 55: supplementary provision**

56. In Schedule 6

56.1 Part 1 sets out certain circumstances in which conduct causing interference may be regarded as contravening Rules 53 to 55; and

56.2 Part 2 contains further provision about improper use of the whip, including the post-race procedure to be followed when a horse is wealed.

## **57. Assisting another horse in the race**

57.1 A Rider must not

57.1.1 make a manoeuvre in a race in the interests of another horse in Common Ownership or under common control or from the same stable or team, whether or not such a manoeuvre causes interference or causes his horse to fail to achieve its best possible placing, or

57.1.2 contravene any provision of this Part with the intention or with the consequence of giving advantage to another horse in Common Ownership or under common control or from the same stable or team.

57.2 Nothing in Paragraph 57.1 prohibits pure pacemaking as such.

57.3 Where a Rider is found to have contravened the prohibition in Paragraph 57.1, the Trainer of the horse shall also be taken to have contravened a requirement imposed on him by this Rule.

57.4 The Stewards may decide not to take Disciplinary Action against a Trainer under Paragraph 57.3 if the Trainer satisfies them that he instructed his Rider to treat every other horse in the race without any favour, however the race developed, and that the Rider acted regardless of such instructions.

57.5 **Common ownership** means that the horses in question share one or more owners in common and common control shall be similarly construed.

## **58. General requirement for a horse to be run on its merits and obtain best possible placing**

58.1 Every horse which runs in a race shall be run and be seen to be run on its merits (see Rule (D)45 (riding to achieve the best possible placing)).

58.2 No Owner, Registered Agent of a Recognised Company or Trainer may

58.2.1 give any instructions which if obeyed could or would prevent a horse from obtaining the best possible placing, or

58.2.2 prevent or try to prevent in any way any horse from obtaining the best possible placing.

58.3 No Rider or any other Person may in any way prevent or try to prevent any horse from obtaining the best possible placing.

## **59. Failure to run a horse on its merits**

59.1 A Rider of a horse shall be taken to have contravened the requirement imposed on him by Rule 58.1 in each of the following cases.

59.2 Case 1 is where the Stewards or the Authority consider that the Rider has intentionally failed to ensure that his horse is run on its merits.

59.3 Case 2 is where the Stewards or the Authority consider

59.3.1 that there was no intentional disregard of the requirement that the horse be run on its merits, but

59.3.2 that the horse has not achieved its best possible placing because the Rider

59.3.2.1 failed to ride out approaching the finish on a horse that would have been placed first, second, third, fourth or in any other placing for which there is prize money,

59.3.2.2 mistook the race distance and either began riding a finish too early or failed to ride a finish,

59.3.2.3 took the wrong course, or

59.3.2.4 asked for an effort or made some other permissible manoeuvre too late as a result of serious misjudgement or inattention.

59.4 Case 3 is where, in circumstances not falling within Case 1 or 2, the Stewards or the Authority consider that the Rider has failed to take all reasonable and permissible measures to ensure his horse is run on its merits.

59.5 For the purposes of this Rule

59.5.1 placing means any placing given to the horse by the Judge from and including first place to last place, and

59.5.2 if a dead-heat occurs as a result of any of the circumstances in Case 1, 2 or 3 it will be regarded as the equivalent of not achieving the best possible placing.

## **PART 5 - THE RESULT**

### ***Determining the placings***

#### **60. The Judge**

60.1 Judge's box means the place designated by the Stewards as the Judge's box.

60.2 A race is void unless either

60.2.1 the Judge is in the Judge's box when the first horse passes the winning post, or

60.2.2 the Stewards are able to determine the result in exercise of their powers under Rule 10.3.

60.3 No horse which passes the winning post after the Judge has left the box shall be placed.

60.4 In this Part, references to the Judge include a substitute authorised by the Stewards under Rule 4.3.

#### **61. The Judge's decision**

61.1 The winner and the remaining placings are to be determined according to the part of the horse's head that is first past the winning post, but excluding the horse's ears and tongue.

61.2 The Judge's decision as to the order in which horses past the winning post is final except where

61.2.1 the Stewards or the Authority exercise their powers under these Rules to disqualify a horse or alter a placing,

61.2.2 the Judge corrects a mistake in accordance with Rule 62, or

61.2.3 the Authority changes a Judge's decision in accordance with Rule 63.

#### **62. Correction by Judge of original decision as to placings**

62.1 This Rule applies to any decision of a Judge about

62.1.1 in a handicap with sixteen or more runners, the placings of the first five horses,

62.1.2 in a race where there are more prizes, the placing of any horse awarded a prize, or

62.1.3 in any other race, the placings of the first four horses.

62.2 The Judge may correct any decision before the end of the period of five days starting with the day after the day of the race.

62.3 A correction made on the day of the race is subject to confirmation by the Stewards.

62.4 A correction made after the day of the race is subject to confirmation by the Authority.

#### **63. Powers of Authority to review Judge's decision**

63.1 The Authority may consider a decision made by a Judge and, if it the Authority considers that the Judge has made a mistake, it may

63.1.1 correct the decision if no correction has been made before the end of the five day period referred to in Rule 62.2, and

63.1.2 declare the winner and placed horses.

63.2 In any case where the Authority makes a decision under Paragraph 63.1

63.2.1 the electronic image shall be the main evidence of the result, and

63.2.2 if the decision is made before the end of the period of fourteen days starting with the day after the day of the race, the Authority's decision shall supersede that of the Judge.

#### **64. Dead-heats: placing**

64.1 Where two horses run a dead-heat for first place in any race it shall not be run off.

64.2 Each horse that divides a race for first place shall be regarded as a winner.

64.3 When a dead-heat is run for second place and the winner of the race is subsequently disqualified or its placing is altered, the horses which ran the dead-heat shall be regarded as having run a dead-heat for first place.

64.4 When a dead-heat is run for any lower placing and the placings are subsequently altered the horses which ran the dead-heat shall be regarded as having run the dead-heat for the new placing.

For other provisions relating to dead-heats, see Rules (F)48, (F)120 and (F)137.2.1, and Schedules (F)10 and (F)13 (which include provision as to distribution of prizes, effect of a dead-heat on a selling race and penalties).

### ***Walk overs***

#### **65. Walk overs**

65.1 A race shall be regarded as a walk over if, following the verification of Declaration Sheets in accordance with Rule 23

65.1.2 only one horse has been declared a runner, or

65.1.3 two horses were declared but one is withdrawn before the start.

65.2 The horse is not required to walk over the entire course but it shall be regarded as the winner only if it is ridden past the Judge's box.

### ***Void races***

#### **66. Circumstances in which a race is void**

66.1 A race shall be void where a yellow stop race flag is waved, as described in Rule 48.

66.2 A race may be declared void if no qualified horse covers the course in accordance with these Rules.

66.3 A race is liable to be declared void if

66.3.1 all the horses in the race ran at the wrong weights;

66.3.2 all the horses ran over the wrong course;

66.3.3 all the horses started from the wrong start, unless the Stewards have exercised their powers under Rule 10.1;

66.3.4 no horses returned to the start after the recall flag was raised (see Rule 39);

66.3.5 the Starter declared a false start but the recall flag was not raised, unless the horses pull up as described in Rule 40.2;

66.3.6 no horse finished;

66.3.7 the Judge or an authorised substitute was not in the Judge's Box, as required by Rule 60.2.1, unless the Stewards are able to determine the result as described in Rule 60.2.2;

66.3.8 the circumstances described in Rule 10.4 occur.

## **PART 6 - AFTER THE RACE**

### **Weighing-in**

#### **67. Procedure for weighing-in**

67.1 Where the Judge has not announced his decision before the Riders return to weigh in, the Clerk of the Scales must weigh in all Riders until such time as the Judge's decision is announced.

67.2 Subject to Paragraph 67.3, the Clerk of the Scales will weigh in the Riders of the first four horses placed by the Judge.

67.3 In any race with prize money allocated with more than four prizes, the Clerk of the Scales will weigh in the Riders of such number of the horses placed by the Judge as is necessary for the number of prizes.

67.4 The Clerk of the Scales must also

67.4.1 weigh in any other Riders as required by the Stewards,

67.4.2 report to the Stewards any Rider who does not present himself to be weighed in.

67.4.3 report to the Stewards any Rider who weighs in at 2lbs or more over the weight at which he weighed out, and

67.4.4 report to the Stewards any Rider who weighs in below the weight at which he weighed out by more than 1lb.

67.5 Rule (D)47 (weighing in) specifies requirements applying to a Rider on weighing in, including the items he must include in the scale.

67.6 To compensate for

67.6.1 wearing a safety vest, the weight of a Rider on weighing in will automatically be allowed at 3lbs less than the weight that is registered on the scale (factored into the calibration of the Weighing Room scales), or

67.6.2 wearing a safety vest and extra clothing during the months of December, January and February, the weight of the Rider on weighing in for a flat race will automatically be allowed at 4lbs less than the weight that is registered on the scale (factored into the calibration of the Weighing Room scales).

67.7 All weights will be rounded down to the nearest 1lb unit.

67.8 Where a Rider weighs in at 2lbs or more over the weight at which he weighed out, the horse will not be disqualified.

67.9 The Stewards have power to disqualify the horse under Rule 14.2 where a Rider does not present himself for weighing in.

67.10 Where a Rider weighs in below the weight at which he weighed out by more than 1lb, his horse shall, on an objection to the Stewards under Rule 73.2, be disqualified.

67.11 The Stewards shall take Disciplinary Action against one of the Rider or Trainer, or both of them, when a Rider is reported to them under Paragraphs 67.4.2 to 67.4.4 unless the reason for the report can be explained to the satisfaction of the Stewards.

#### **68. Announcements etc after weighing-in**

68.1 Where all Riders, apart from those within Rule 14.4, have weighed in to the satisfaction of the Clerk of the Scales at not less than the weight at which they weighed out, the Stewards must authorise

68.1.1 the announcement of Weighed In (the All Right signal), and

68.1.2 the giving of the appropriate signal on the number board or screen.

68.2 Authorisation under Paragraph 68.1 must not be given until

68.2.1 the Judge has announced and confirmed to the Clerk of the Scales his decision on all placings,

68.2.2 any objection made to the Stewards made on a ground listed in Rule 73.2 has been decided, and

68.2.3 a decision has been made on any enquiry called for by the Stewards under Rule 11.6.

68.3 No objection on any grounds other than those specified in Rule 73.2 will be entertained before the announcement of Weighed In.

68.4 After the announcement of Weighed In, no alteration may be made on the board or screen in respect of the numbers of the winner or placed horses.

### ***Reports***

#### **69. Report by the Clerk of Scales**

69.1 At the close of each day's racing, the Clerk of the Scales will send a report of each race to The Racing Calendar Office which confirms

69.1.1 the weights carried, including any overweight,

69.1.2 the names of the Riders,

69.1.3 the identity of any horses which failed to complete the course, stating the reasons, and

69.1.4 the details of any horse sold at auction or claimed.

69.2 Where a horse appears on the card in the name of the nominator and the Stewards have (in special circumstances) granted permission for the horse to run in the name of some other Person, the Clerk of the Scales must report that fact to The Racing Calendar Office, stating the grounds on which the permission was granted.

#### **70. Report by the Judge**

70. At the end of each day's racing, the Judge must sign and send a report of each race to The Racing Calendar Office.

## **PART 7 - DISPUTES AND OBJECTIONS**

### **71. Resolution of disputes**

71.1 This Part provides for the resolution of disputes in connection with racing.

71.2 An objection may be made only by such Persons as are listed in Rule 72.

71.3 If the objection is made on any of the grounds listed in Rule 73.2, it must be made to the Stewards.

71.4 An objection on any other grounds may be made to the Authority only.

71.5 The Stewards will not entertain any disputes about bets.

71.6 Nothing in this Part restricts the general powers of the Authority or the Stewards under these Rules.

### **72. Deleted**

#### ***Who decides objections***

### **73. Objections made on certain grounds to be decided by Stewards**

73.1 Any objection on a ground specified in Paragraphs 73.2.1 to 73.2.9

73.1.1 must be made to the Stewards of the meeting,

73.1.2 will be decided by three Stewards, and

73.1.3 once made, may not be withdrawn without leave of the Stewards.

73.2 A Qualified Person may make an objection to Stewards in respect of a horse on one or more of the following grounds

73.2.1 interference or any act on the part of the Rider of the horse;

73.2.2 the Rider having taken the wrong course;

73.2.3 the race having been run on a wrong course;

73.2.4 the race having been started from the wrong start, unless the Stewards have exercised their powers under Rule 10.1;

73.2.5 any other matter occurring in the race;

73.2.6 any other matter occurring before weighing in;

73.2.7 the Rider not presenting himself to weigh in;

73.2.8 the Rider not drawing the weight at which he weighed out;

73.2.9 any other matter in respect of which any other provision of these Rules provides that an objection may be made to Stewards under this Part.

73.3 Any such objection must be made in accordance with the appropriate deadlines and procedures in Rule 75.

### **74. Objections made on any other ground to be decided by the Authority**

74.1 The Authority will decide any objection by a Qualified Person which is made on any ground other than those specified in Rule 73.2.

74.2 This includes any objection which is made

74.2.1 to any revision under Rule 62 or 63 of the Judge's decision, and

74.2.2 in any case of fraud or wilful mis-statement.

74.3 An objection under this Rule must be made in accordance with the appropriate deadlines and procedures in Rule 76 or 77.

#### ***Deadlines and procedure***

### **75. Deadline and procedure: objections decided by Stewards**

75.1 Any objection under Rule 73 must be made within the following deadlines

75.1.1 any objection to the distance of a course officially designated must be made before the race;

75.1.2 any objection to any decision made by the Clerk of the Scales must be made at once; and

75.1.3 any other objection



75.1.3.1 if made by the Rider of a horse in the race, must be made when the Rider weighs in, and

75.1.3.2 if made by any other Person, must be made before the Clerk of the Scales completes the weighing in of the Riders as set out in Rule 68.1.

75.2 A Person must notify the Clerk of Scales if he is considering making an objection.

75.3 Where the Clerk of the Scales is notified of the possibility of an objection

75.3.1 the Person considering it will have five minutes to come to a decision,

75.3.2 during this period a viewing of the race will be possible in the Stewards' Room under the control of the Stipendiary Steward, and

75.3.3 no other objection on any ground specified in Rule 73.2 may be heard within this time.

75.4 If the Person decides to make the objection, he must make it to the Clerk of the Scales.

75.5 A Person who makes an objection may be fined by the Stewards if

75.5.1 the objection is withdrawn, or

75.5.2 the Stewards consider that there were no good and reasonable grounds for making it,

and an additional sum may be added to the fine if the Stewards consider that the objection was frivolous or vexatious.

## **76. Deadline and procedure: objections decided by the Authority**

76.1 Subject to Paragraph 76.2 and Rule 77, any objection which is made to the Authority must be made in writing and notice of it must be received at the Authority's Office before the end of the period of fourteen days starting with the day after the day of the race to which the objection relates.

76.2 An objection made in a case of fraud or wilful mis-statement may be made at any time provided that the Authority is satisfied there has been no unnecessary delay on the part of the objector.

76.3 The Authority may order any Person to pay

76.3.1 such reasonable costs and expenses relating to an objection, and

76.3.2 such reasonable compensation for outlay incurred in connection with it

as the Authority may determine.

## **77. Deadline and procedure: objection about a revision of Judge's decision**

77.1 This Rule applies where an objection relates to a revision under Rule 62 of the Judge's original decision as to placings and the revision was made after the announcement of Weighed in.

77.2 Subject to Paragraph 77.3, any such objection must be made in writing to the Authority at the Authority's Office within 48 hours of the revised decision being made.

77.3 An objection made in a case of fraud or wilful mis-statement may be made at any time provided that the Authority is satisfied there has been no unnecessary delay on the part of the objector.

## **78. Consequences where an objection is made**

78.1 This Rule applies where an objection made under this Part has not yet been finally determined, including where it is subject to appeal under Part (A)7.

78.2 Pending the determination of the objection or appeal

78.2.1 any prize which a horse affected by the objection or appeal may have won (or may win) in the race must withheld until the objection or appeal is determined, and

78.2.2 any stake payable by the owner of any other horse must be paid to and held by the Stakeholder for the Person who may be entitled to it.

78.3 If a matter is the subject of an appeal to an Appeal Board, the matter shall not be regarded as having been determined until

- 78.3.1 the appeal to the Appeal Board is disposed of, or
- 78.3.2 any further enquiry resulting from the appeal has been completed.

78.4 Where the Authority or the Stewards have disqualified a horse which has won or been placed in a race

- 78.4.1 the horse must be removed from the placings and is not be entitled to any prize, and
- 78.4.2 the other horses are to take positions accordingly.

78.5 Where the Authority or the Stewards have changed the placing of a horse under Rule 53, 54 or 55 (including where they have placed the horse last)

- 78.5.1 the horse is only entitled to the prize for the position in which it has been placed; and
- 78.5.2 the other horses are to take positions accordingly.

## **79. Publication of information about objections and enquiries**

79.1 This Rule applies where

- 79.1.1 an objection is lodged, or
- 79.1.2 an enquiry is called for under Rule 11.6.

79.2 The Clerk of the Scales must immediately order that

- 79.2.1 the appropriate announcement is to be made over the public address system, and
- 79.2.2 the appropriate signal is to be given on the number board or screen.

79.3 The announcement and signal must include the grounds for objection.

79.4 The signal is

- 79.4.1 for all right, a blue flag or light, and
- 79.4.2 for an objection or enquiry under Rule 11.6
  - 79.4.2.1 a red flag with white E, or
  - 79.4.2.2 a red light.

79.5 The signal must be displayed continuously until the Stewards' decision on the enquiry is announced.

79.6 A signal specified in Paragraph 79.4.2 must also be given in the event of an enquiry into any of the matters listed in Rule 67.

## **PART 8 - MISCELLANEOUS**

### **80. Movement of injured horses**

80. Where, in the opinion of the racecourse Veterinary Surgeon, an injured horse or a horse with a spread plate should not be allowed to walk, the horse must be transported to the racecourse stables or the veterinary treatment box in the horse ambulance.

### **81. Destruction of horses**

81. Where a horse is, in the opinion of a racecourse Veterinary Surgeon, so severely injured that it ought to be humanely destroyed in order to prevent undue suffering

81.1 the racecourse Veterinary Surgeon will seek to inform the Owner or Trainer of the horse and obtain a second opinion before proceeding with the humane destruction, but

81.2 if it is not practicable to do so, he may proceed with humane destruction without reference to the owner or Trainer.

### **82. Post-mortem examinations of horses**

82.1 A Veterinary Officer may order a post mortem examination of any horse which dies, or is humanely destroyed as a result of an injury or accident occurring, on any Racecourse Property.

82.2 Any such examination

82.2.1 may be conducted by such Person or Persons as the Veterinary Officer considers appropriate, and

82.2.2 may include the retention of tissues.

### **83. General duty to comply with Stewards' instructions and other requirements**

83. Each Person must comply with any instructions given by the Stewards of a meeting.

### **84. Restriction of access to the Weighing Room**

84.1 No Person may enter the Weighing Room unless

84.1.1 he is authorised for access by the Authority, or

84.1.2 he is given special permission for access by the Clerk of the Scales.

84.2 The prohibition in Paragraph 84.1 applies to any Rider whose licence or permit has been suspended by the Authority and lasts for the period of that suspension.

84.3 If he considers it necessary or expedient to do so, the Clerk of the Scales may at any time grant special permission for access to the Weighing Room

84.3.1 to a Rider within Paragraph 84.2, but only if his suspension is for a period of fourteen days or less, or

84.3.2 to any other Person.

84.4 A Person shall be taken to have contravened a requirement imposed on him by this Rule, and will be reported to the Stewards, if

84.4.1 he enters the Weighing Room when he is not authorised to do under Paragraphs 84.1 to 84.3, or

84.4.2 having been given special permission for access by the Clerk of the Scales, he has refused to leave the Weighing Room when asked to do so.

### **85. Restriction of access to Riders' Changing Rooms**

85.1 No Person may enter a Riders' Changing Rooms unless

85.1.1 he is

85.1.1.1 a Rider engaged to ride,

85.1.1.2 an Amateur Rider engaged to ride,  
85.1.1.3 a master valet, or  
85.1.1.4 an assistant valet;

85.1.2 he is authorised for access by the Authority; or  
85.1.3 he is given special permission for access by the Clerk of the Scales.

85.2 A Person shall be taken to have contravened a requirement imposed on him by this Rule, and will be reported to the Stewards, if

85.2.1 he enters a Riders' Changing Rooms when he is not authorised to do under Paragraph 85.1,  
or  
85.2.2 having been given special permission for access by the Clerk of the Scales, he has refused to leave a Riders' Changing Rooms when asked to do so.

85.3 In this Rule

**Assistant Valet** means a Person who holds a permit to act as an assistant to a master valet, which is granted by the Authority under Part (D)7;

**Master Valet** means a Person who holds a licence to act as a master valet which is granted by the Authority under Part (D)7.

## **86. Complaints against officials**

86. Any complaint against an official must

86.1 be made to the Stewards, and  
86.2 be in writing and signed by the complainant.

## **PART 9 - SUPPLEMENTARY**

### **87. Notices, directions and other documents**

87. Unless the context otherwise requires, Rules (A)105 (the giving of notices etc), (A)106 (the giving of notices etc in electronic form) and (A)107 (deemed service of documents) have effect in relation to any notices, directions or documents which are authorised or required to be given or sent under the provisions.

### **88. Computation of time**

88. Except where these Rules provide otherwise, when the specified period for doing any act at the Authority's Office ends on a day on which the office is closed, that act will be done in time if done by 5.00pm on the next day on which the Authority's Office is open.

### **89. Arrangement of Rules into Manuals**

89.1 These Rules are made up of the following Manuals

The General Manual (A)

The Race Manual (B)

The Trainer Manual (C)

The Rider Manual (D)

The Horse and Owner Manual (E)

The Race Administration Manual (F)

89.2 Each Manual is of equal standing and the fact that these Rules are divided into Manuals does not affect the weight of any requirements specified in each Manual.

### **90. Meaning of rider**

90. Unless the context otherwise requires, any reference in this Manual to rider (without more) is to

90.1 a Jockey,

90.2 a Person who holds an amateur rider's permit granted by the Authority, or

90.3 an Overseas Rider,

who is not suspended from riding by the Authority or by a Recognised Racing Authority.

### **91. References to Jockeys**

91.1 In this Manual, unless the context otherwise requires, Jockey

91.1.1 means a Person who holds a jockey's licence granted by the Authority, and

91.1.2 includes an Apprentice Jockey or a Conditional Jockey.

91.2 For these purposes

**Apprentice Jockey** means a Person who holds an apprentice jockey's licence granted by the Authority (see Rule (D)3.4);

**Conditional Jockey** means a Person who holds a conditional jockey's licence granted by the Authority (see Rule (D)3.4).

### **92. References to other types of rider**

92.1 In this Manual, unless the context otherwise requires

**Overseas Rider means**

92.1.1 a Person who is authorised by a Recognised Racing Authority to ride under the rules of that Racing Authority (whether by grant of a licence, permit or otherwise), but

92.1.2 does not include a Person who also holds a jockey's licence or an amateur rider's permit granted by the Authority.

92.2 In this Manual, unless the context otherwise requires

**Amateur Rider means**

92.2.1 a Person who holds an amateur rider's permit granted by the Authority, or

92.2.2 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to such a permit and who rides in a race under these Rules;

### **Professional Rider means**

92.2.3 a Jockey, or

92.2.4 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to a jockey's licence granted by the Authority and who rides in a race under these Rules.

## **93. Other definitions**

### **93.1 Definitions of**

93.1.1 terms used in only one Rule are set out in that Rule, and

93.1.2 terms used in more than one Part are set out in Rules 90 to 92 and in the following provisions of this Rule.

93.2 In this Manual, unless the context otherwise requires

**All Weather Track** means a track with a racing surface other than turf;

**the Authority** means the British Horseracing Authority;

**the Authority's Office** means the office for the time being appointed by the Authority as the office of the British Horseracing Authority (the present address is 75 High Holborn, London, WC1V 6LS);

**Clear Day** means, in determining the number of days:

93.2.1A The day on which the period begins; and

93.2.1B If the end of the period is defined by reference to an event, the day on which that event occurs

are excluded.

**Clear Working Day** means, in determining the number of days:

93.2.1C The day on which the period begins; and

93.2.1D If the end of the period is defined by reference to an event, the day on which that event occurs; and

93.2.1E Saturday, Sunday, Bank Holiday, or day on which the Authority's office is not open for non-automated commercial business

are excluded.

**Declaration Sheet**, in relation to a horse, means the document in the prescribed form which contains such information as the Authority considers appropriate relating to the declaration to run for the horse which was made under Part (F)6;

**Disciplinary Action** means any action taken by the Authority Part (A)6 or by the Stewards under Part 1;

**Disciplinary Penalty** means any penalty imposed by the Stewards under Rule 12.4;

**Disqualified Person** means a person who is for the time being a disqualified person pursuant to

93.2.1 these Rules,

93.2.2 any Rules of Racing previously in force,

93.2.3 the Authority's Regulations for Point-to-Point Steeple Chases, or

93.2.4 the Authority's Regulations for Arabian Horse Racing;

**Hunters' Steeple Chase** means a weight-for-age steeple chase which is confined to amateur riders and to horses certified by a Master of Hounds to have been hunted;

**National Hunt Flat Race** means a race for horses which at starting have not run under any recognised Rules of Racing except in national hunt flat races held under these Rules or in Irish national hunt flat races or in French AQPS races (and, by virtue of race conditions, no horse aged more than seven years will be eligible to start in a national hunt flat race);

**Obstacle** means any fence or hurdle in a steeple chase or hurdle race;

**Official Photograph** means the photograph taken when the horses pass the winning post by the race finish

camera installed and operated by the integrity service provider;

**Owner** means the owner pursuant to Rule (E)96; or, where the Horse is not trained in Great Britain, the Person who is duly registered in the register of Owners or is otherwise registered in the country in which the Horse is trained as being a Horse's owner;

**Parade** means the presentation before a race of all the runners in racecard order mounted by their riders and either led or cantered at intervals in front of the stand;

**Person** includes a body corporate;

**Prescribed** means prescribed by the Authority;

**Racecourse Managing Executive** means the person who holds a racecourse licence granted by the Authority under Part (F)2;

**Racecourse Property** means any property owned, used or controlled by the racecourse managing executive;

**The Racing Calendar Office** means the office appointed for the time being as The Racing Calendar Office by the Authority (the present Racing Calendar Office is at Weatherbys, Sanders Road, Wellingborough, Northamptonshire, NN8 4BX);

**Recognised Company** means a company which is for the time being registered in the register of Owners under Rules (E)39 to (E)46;

**Recognised Racing Authority** means a racing authority of a country which is for the time being recognised by the Authority under Rule (A)93;

**Registered Agent**, in relation to a recognised company, means an agent for the company who is for the time being registered under Rule (E)41;

**these Rules** means all the Rules of racing, including provisions which are contained in any other Manual (see Rule 89);

**Stakeholder** means such person as the Authority may appoint to collect

93.2.13 all stakes,

93.2.14 all other sums due under the conditions of races,

93.2.15 all arrears and fees due under these Rules,

93.2.16 any account or legal charges which the Authority may from time to time determine should be paid towards recovering the costs of administering accounts, and

93.2.17 any VAT which is payable in connection with each of those sums;

**Stewards** means Stewards of a meeting and shall, where the context allows, include a Stipendiary Steward.

**Stipendiary Steward** means an official who acts at race meetings in connection with the conduct of the meeting.

## **Trainer**

93.2.18 means any person who holds a licence or permit to train which is granted by the Authority or whose authorisation by a Recognised Racing Authority corresponds to such a licence or permit; and

93.2.19 includes any person who is treated as a trainer in accordance with Rule (C)1.2 (horse trained solely for Hunters' Steeple Chases, the Grand Military Gold Cup or the Royal Artillery Gold Cup);

**Unrecognised Meeting** means a meeting which

93.2.20 if it is held in Great Britain, has not been recognised and granted fixtures by the Authority, and

93.2.21 if it is held elsewhere, has not been authorised by a Recognised Racing Authority,

**VAT** means value added tax for the time being in force;

**Veterinary Officer** means a registered veterinary surgeon engaged by the Authority;

**Veterinary Surgeon** means any qualified veterinary practitioner appropriately registered to practice.

93.3 Words importing the masculine gender include the feminine.

93.4 The singular includes the plural (and vice versa).

## **SCHEDULES**

### **Schedule 1 - Effective days for riding suspensions**

Interpretation and application

1.1 This Schedule applies where a Rider is suspended from riding under any provision of these Rules.

1.2 Any reference in this Schedule to a Rule Contravention means the contravention of a requirement of these Rules in respect of which a Rider's suspension has been imposed.

2.1 Any suspension of a Rider which is imposed

2.1.1 by Stewards under this Manual,

2.1.2 by the Authority in exercise of its powers under Rule (A)61, or

2.1.3 in such other circumstances as the Authority may direct,

shall take effect in accordance with this Schedule.

Commencement of suspension

3. Except to the extent specified below, and subject to Paragraph 14, a riding suspension shall begin at the start of the 14th day after the day of the Stewards' decision.

4.1 Where a Rider at the effective commencement of a riding suspension is

4.1.1 already suspended for any Rule Contravention which has taken effect in accordance with this Schedule, or

4.1.2 suspended from riding by any Recognised Racing Authority,

the suspension shall begin on the first day that the Rider is not suspended.

5. The Authority may direct that a suspension by any Recognised Racing Authority shall not have effect under these Rules.

Duration: professional riders

6.1 Subject to Paragraphs 7 and 8, a riding suspension imposed on a Professional Rider will be effective for the period of his suspension on all days when any racing applicable to the type of licence held by him is programmed to take place in Great Britain.

6.2 The period of suspension shall include any days which may subsequently be cancelled or abandoned.

7.1 This Paragraph applies where a riding suspension is imposed on a Professional Rider who holds dual licences entitling him to ride in both

7.1.1 flat races (flat racing), and

7.1.2 steeple chases, hurdle races and National Hunt Flat Races (jump racing)

7.2 Subject to Paragraph 8, the suspension will be effective for the period of the Professional Rider's suspension as follows

7.2.1 if the Rule Contravention occurred in a flat race, on those days when flat racing is programmed to take place in Great Britain;

7.2.2 if the Rule Contravention occurred in a steeple chase or hurdle race or National Hunt Flat Race, on those days when jump racing is programmed to take place in Great Britain.

7.3 The period of suspension shall include any days which may subsequently be cancelled or abandoned.

8.1 This Paragraph applies where a riding suspension imposed on a Professional Rider is of four days or less.

8.2 The period of suspension will not be effective on any days when pattern races divided into Group 1 or Grade 1 are programmed to take place in Great Britain, as applicable to the type of licence held by the Professional Rider, unless he makes a request under Paragraph 12 of this Schedule that the provisions of this Paragraph should not apply to him.

8.3 The subsequent cancellation, abandonment or the transfer of a Group 1 or Grade 1 race to another day will not result in any suspension being transferred back to the day when such a race was originally programmed to take place.

8.4 If a Group 1 or Grade 1 race is transferred to a day when no Group 1 or Grade 1 race is programmed to take



place

- 8.4.1 the suspension will not take effect on that day unless Paragraph 8.5 applies, and
- 8.4.2 any suspension which has to be moved will commence in accordance with the preceding Paragraphs of this Schedule.

8.5 Where the decision to transfer a race is taken after the time determined under Rule (F)92 for making declarations of Riders for that day

- 8.5.1 the suspension date will stand, and
- 8.5.2 the Rider will not be permitted to ride.

9.1 Where

- 9.1.1 an Apprentice Jockey or Conditional Jockey is suspended for a contravention of Rule 53 or 54, and
- 9.1.2 under Rule (A)60 (additional penalties: rider to attend remedial training), the Authority also requires him, in the light of his riding record, to attend a one day course in remedial training at either the British Racing School or the Northern Racing College.

the suspension will commence in accordance with this Schedule but a day of the suspension will take place on a date, which will be notified to both the Apprentice Jockey or Conditional Jockey and his employer by the Authority, in order to attend the remedial training course.

Duration: amateur riders

10.1 Subject to Paragraph 11, a riding suspension imposed on an Amateur Rider (whether or not he is a Category A or Category B Amateur Rider) will apply

- 10.1.1 when the Rule Contravention occurs in a flat race, on those days when a flat Amateur Riders race for which the Amateur Rider is eligible by gender is programmed to take place in Great Britain;
- 10.1.2 when the Rule Contravention occurs in a steeple chase, hurdle race or National Hunt Flat Race on those days

when a steeple chase, hurdle race or National Hunt Flat Race that is open to Category A Amateur Riders is programmed to take place in Great Britain, and for which the Amateur Rider is eligible by gender.

10.2 The period of suspension shall include any days which may subsequently be cancelled or abandoned.

11.1 This Paragraph applies where a riding suspension imposed on an Amateur Rider in steeple chases, hurdle races or National Hunt Flat Races is of four days or less.

11.2 The period of suspension will not be effective on any days when Group or Grade 1 Pattern Races are programmed to take place in Great Britain unless the Amateur Rider makes a request under Paragraph 12 that the provisions of this Paragraph should not apply to him.

11.3 The subsequent cancellation, abandonment or the transfer of a Group or Grade 1 race to another day will not result in any suspension being transferred back to the day when such a race was originally programmed to take place.

11.4 Paragraphs 8.4 and 8.5 shall, in relation to Group and Grade 1 races, apply to Amateur Riders as those provisions apply to Professional Riders.

Applications to disapply Paragraphs 8 and 11

12.1 Where any Rider who is suspended for four days or less wishes to make an application for the provisions set out in Paragraphs 8.2 and 11.2 not to apply to him, he must submit an application to the Authority's Disciplinary Department

- 12.1.1 before the deadline for declarations of riders for the day to which the suspension will revert, or
- 12.1.2 before 5.00p.m. on the last day that the Authority's Office is open for business, if the last day for making an application falls on a day on which it is closed.

Miscellaneous

13.1 Any appeal against a riding suspension which is imposed on a Rider under Part 1 will, subject to Paragraph 13.2, be heard before the day the suspension is due to commence and only in exceptional circumstances will the Authority otherwise direct.

13.2 Paragraph 13.1 does not apply where the suspension is imposed for a contravention of Rule 59.2 (intentional failure by rider to ensure horse is run on its merits).

14.1 This Paragraph applies where a suspension of between one and four days (inclusive) is imposed on a Rider.

14.2 A Rider may make an application to the Authority's Disciplinary Department for one day of a suspension of between one and four days (inclusive) to commence before the 14th day after the day of the Stewards' decision.

14.3 If a Rider makes a request before the time for appeal has elapsed, he will relinquish his right to appeal.

14.4 No application will be considered on a day on which the Authority's Office is closed.

14.5 No application will be approved if the time for making declarations of Riders under Rule (F)92 has closed.

14.6 If an application is approved, no further application will be considered.

14.7 No application will be considered if the suspension triggers a part of a suspension imposed under Rule (A)72.3.4.

## **Schedule 2 - Requirements for horse to enter race**

### **Requirements as to the horse**

1.1 The horse must be the produce of a natural service or covering.

1.2 The sire and dam of the horse must have been the produce of a natural service or covering.

1.3 The horse must

1.3.1 have had a natural gestation in the body of the mare in which it was conceived; and

1.3.2 have been delivered from that body.

1.4 Natural service or covering means the physical mounting of a mare by a stallion and which can include the immediate re-inforcement of the stallion's service or cover by a portion of the ejaculate produced by that stallion during that service or cover of that same mare.

2.1 A horse foaled in Great Britain, Ireland or the Channel Islands may be entered for a race only if its name is entered on the register of horse names in accordance with Chapters 2 or 3 of Part (E) (registration of names of horses trained in Great Britain).

2.2 Where the name of the horse has been changed, the change must have been made in accordance with the requirements of Chapters 2 or 3 of Part (E).

2.3 A horse which was foaled outside Great Britain, Ireland or the Channel Islands, and which is also trained or domiciled outside those countries, may be entered for a race only if it is registered with one of the Stud Book Authorities listed in Schedule (E)2 and its name is duly registered by the Recognised Racing Authority in the country of foaling.

3.1 This Paragraph applies to any horse which is trained in Great Britain.

3.2 The horse must have an identifying microchip.

3.3 Where the horse has an identifying microchip, the microchip must have been implanted by a Veterinary Surgeon.

3.4 At any time when a horse which has been declared to run is on Racecourse Property, a Veterinary Officer may examine it for confirmation of the presence of an identifying microchip.

4. The horse must satisfy any other requirement of these Rules that have effect as to the qualification of a horse to enter a race.

4A. The horse must not be the subject of a Non-Racing Agreement registered under Rule (E)26.

4B. In relation to a horse foaled in Great Britain,

4B.1 Notification of the horse must have been made to the Stud Book Authority of Great Britain and Ireland in accordance with Rule (G)1.1.1 (Equine Anti-Doping Rules requirements) unless otherwise approved by the Authority, and

4B.2 the Horse must have been registered with the Stud Book Authority of Great Britain and Ireland.

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### **Requirements as to ownership and training**

5. In relation to a horse trained in Great Britain, the name of the owner must be entered in the register of Owners maintained by the Authority.

6. In relation to a horse trained outside Great Britain, the name of the owner must have been recorded in a corresponding manner by the Racing Authority of the country in which the horse is trained.
7. Where the horse is in the ownership of a Recognised Company, the company must have a Registered Agent.
8. The horse must not be in the ownership or part-ownership of a Disqualified Person.
- 9.1 The horse must not be in the stable of, or under the care and management of a Disqualified Person.
- 9.2 Paragraph 9.1 does not apply where

- 9.2.1 the Disqualified Person is neither the owner nor part-owner,
- 9.2.2 his disqualification was incurred under Rule (A)66 (person whose name appears on the Forfeit List), and
- 9.2.3 not more than fourteen days have elapsed since the date of publication of the disqualification in the Forfeit List.

#### Requirements as to the race

10. The horse must meet the conditions applying to the race.
  - 11.1 The horse must not be subject to a suspension imposed by the Authority or by a Recognised Racing Authority which prevents it from running in the race.
  - 11.2 For the purposes of Paragraph 11.1
    - 11.2.1 entries for races may be accepted during the period of suspension of the horse if the race is due to be run outside that period, and
    - 11.2.2 in the case of suspension by a Recognised Racing Authority, the suspension shall be regarded as immediately effective unless the Authority declares otherwise on the application of the owner or Trainer of the horse.
  - 11.3 The owner or Trainer may not make an application under Paragraph 11.2.2 unless all appeal procedures available under the Rules of the Recognised Racing Authority have been exhausted.
  - 11.4 The application must be made in writing to the Authority's Office before the end of the period of 48 hours starting with the day after that on which
    - 11.4.1 any appeal under the Rules of the Recognised Racing Authority was finally dismissed, or
    - 11.4.2 if there is no procedure for appeal, the order for suspension was made.
  - 11.5 When that period ends on a day on which the Authority's Office is closed, the application will be made in time if done by 5.00pm on the next day on which the Authority's Office is open.
  - 11.6 The Authority may also consider an application made after that time if the owner or Trainer satisfies the Authority that it was not possible to comply with Paragraphs 11.4 or 11.5 and that the application was made at the earliest opportunity.
  12. Where the horse has been suspended by the Stewards under Rule (B)15 or by the Authority under Rule (A)75 from running, the horse may not be entered or start for any class 1 or 2 flat race handicap in Great Britain until it has first run in Great Britain in a flat race other than a class 1 or 2 handicap.
  13. The horse must not have run at an unrecognised meeting (other than one which has been granted an exemption under Rule (A)38 (participation at unrecognised meetings)).
- (This list of requirements for entry for a race also appears in Schedule (F)5.)

### **Schedule 3 - Requirements for horse to run**

#### PART 1

##### Requirements applying to all horses

1. The horse must have met all requirements for entry specified in Schedule 2 which apply to the horse.
2. The horse must have been entered for the race.
3. Where the race closed more than six days before running, the entry of the horse must have been confirmed under Rule (F)87.
4. The horse must have been declared a runner in accordance with Rule (F)89.
5. All applicable requirements of Chapter 3 of Part (E)2 as to the carrying out of identity checks on the horse must have been completed and the identity of the horse verified by the Veterinary Officer carrying out the check.

6.1 A horse must not have been tubed (tracheostomy).

6.2 Paragraph 6.1 does not apply where

6.2.1 the tubing took place before October 1st, 2012, and

6.2.2 the trainer is able to produce a certificate, signed by a veterinary surgeon, to this effect.

6.3 Those tubed horses which can run as provided for in Paragraph 6.2

6.3.1 must not run in a race on an All Weather Track,

6.3.2 must not run in a race whilst wearing a martingale, and

6.3.3 must have the plug in the tube removed before starting the race

7.1 The horse must not have received any substance on the day of the race (whether by injection, orally or by any other method) other than normal feed and water offered by mouth until it has left Racecourse Property.

7.2 Paragraph 7.1 does not apply where a Veterinary Officer grants a special dispensation.

8.1 The horse must not have any implant apart from one that is pharmacologically inactive.

8.2 Paragraph 8.1 does not apply where the implant is a suprachoroidal cyclosporine implant for the treatment of immune mediated corneal disease or autoimmune uveitis in specific, documented and monitored cases.

9. Within the fourteen days before the race, the horse must not have visited an equine swimming pool in Great Britain which has not been approved by the Authority.

10.1 The horse in the opinion of a Veterinary Officer must have at least received a vaccination against equine influenza.

10.2 The horse must not have been given any vaccination on the day of the race or on any of the six days before the day of the race in which the horse is declared to run.

11.A. The horse must not have been administered any intra-articular corticosteroid on the day of the race or on any of the fourteen days before the day of the race in which the horse is declared to run.

11. B The horse must not have been administered

11.B.1 any bisphosphonate under the age of three years and six months as determined by its recorded date of birth, or

11.B.2 any bisphosphonate on the day of the race or on any of the thirty days before the day of the race in which the horse is declared to run.

11.C The horse must not have been administered extracorporeal shockwave therapy on the day of the race or on any of the five days before the day of the race in which the horse is declared to run.

11.1 The horse must not have been subject to

11.1.1 a neurectomy, or

11.1.2 a laparoscopic sterilisation on or after April 1st, 2010.

11.2 Paragraph 11.1.2 does not apply

11.2.1 where the horse is a mare or filly and a satisfactory veterinary certificate is submitted to the Racing Calendar Office which confirms that she has undergone the procedure for therapeutic reasons, or

11.2.2 if the horse is subsequently gelded.

12. The Rider of the horse must be weighed out in accordance with Part 2.

13. The horse must not have been suspended from running by the Authority pursuant to Rule (F)97 (which includes provision for a three or seven-day suspension of a non-runner in certain circumstances).

14. The horse must not have already run in a race which was run on the same day (apart from a walk-over).

15. The horse must not have received a blood transfusion for the purpose of enhancing its performance in the race.

16. The horse must not be more than 120 days pregnant.

17. The horse must not have been suspended from running at the racecourse by Stewards in exercise of their powers under Part 15.

18. The horse must not have been otherwise suspended from running in races.

18A. The horse must not have had its heritable genome modified.

## PART 2

Additional requirements: horses foaled or trained outside Great Britain

19.1 This Paragraph applies to any horse foaled or trained outside Great Britain.

19.2 The requirements as to an identity check under Rule (E)16 (identity check for horse trained outside Great Britain) must have been complied with.

20.1 Subject to Paragraphs 20.2 and 20.3 of this Schedule, a horse trained outside Great Britain must not have been in Great Britain for a period of more than 90 days starting with whichever of the following applies

20.1.1 the date the racing clearance notification required by Chapter 4 of Part (E)2 was issued,

20.1.2 the date the horse's passport was endorsed by the Recognised Racing Authority of the country where the horse is trained, or

20.1.3 the date when a horse trained in Ireland arrives in Great Britain.

20.2 Paragraph 20.1 of this Schedule does not apply where the horse is in the care of a Trainer who holds a licence or permit granted by the Authority.

20.3 Paragraph 20.1 of this Schedule does not apply where

20.3.1 the horse is in the care of a Trainer who is recognised by a Recognised Racing Authority as being duly qualified as a Trainer in the country where the horse is trained, and

20.3.2 the Authority has given a direction that it should not apply.

21. A horse which is trained outside Great Britain, and which has been in Great Britain for a period 90 days or less, must at all times have been under the personal supervision of the Trainer.

22.A A horse which is trained outside of Great Britain must have provided within ten business days prior to the race, or such other time period agreed in advance with the Authority, a sample collected by the Authority and analysed by a BHA-approved Laboratory which disclosed no evidence of the presence or use of a prohibited substance or a prohibited method prohibited at all times.

22.A.1 The Authority may from time to time exempt horses from certain Recognised Racing Authorities from this requirement.

## PART 3

Additional requirements: flat races

22.1 This Paragraph applies to a horse starting a flat race.

22.2 For the fourteen Clear Days immediately before the day of the race, the horse must have been in the care of and trained by a Person who

22.2.1 holds a licence to train for flat races which is granted by the Authority, or

22.2.2 if the horse is trained outside Great Britain, is duly qualified as a Trainer in the country where the horse is trained.

## PART 4

Additional requirements: jump races

23.1 This Paragraph

23.1.1 applies to a horse starting a steeple chase, a hurdle race or National Hunt Flat Race, but

23.1.2 does not apply if the horse is trained privately in the circumstances specified in Rule (C)1.1.3 (person without licence or permit training a horse solely for the purpose of Hunters' Steeple Chase, the Grand Military Gold Cup or the Royal Artillery Gold Cup).

23.2 For the fourteen Clear Days immediately before the day of the race, the horse must have been in the care of and trained by a Person who

23.2.1 holds a licence or permit to train for the race in question which is granted by the Authority, or

23.2.2 if the horse is trained outside Great Britain, is duly qualified as a Trainer in the country where the horse is trained.

## PART 5

Additional requirements: hunters' steeple chases

24. Paragraphs 25 to 27 apply to a horse starting in a Hunters' Steeple Chase.

25. The horse's name must be entered in the register of horses names maintained by the Authority.
- 26.1 A Hunters' Certificate must be registered for the horse in accordance with Paragraphs 26.2 and 26.3.
- 26.2 The Hunters' Certificate must be sent to The Racing Calendar Office on the Prescribed form, together with the appropriate fee for registration specified in Schedule (A)1.
- 26.3 Registration before noon on any day qualifies the horse to be entered in any Hunters' Steeple Chase
- 26.3.1 which closes on or after the day immediately following, and
- 26.3.2 for which the horse is eligible.
27. At any time on or after November 1st of the year before that in which the race takes place, the horse must not have been stabled with or trained by a Person who holds a permit to train granted by the Authority, where that permit either
- 27.1 does not entitle him to train for the owner of the horse, or
- 27.2 did not do so at the time when the horse was stabled or trained by him.

## PART 6

Additional requirements: horses trained outside Great Britain

- 28.1 A Trainer of any horse trained outside Great Britain which is entered for a race must sign a declaration
- 28.1.1 confirming that the horse has not been administered any prohibited substance or prohibited method that is listed as prohibited at all times in Schedule (G)1;
- 28.1.2 setting out the details of the administration of any prohibited substance or prohibited method listed as prohibited at all times in Schedule (G)1

when required to do so by or on behalf of the Authority.

- 29.1 A horse may not run

- 29.1.1 if no declaration has been made under Paragraph 28, or
- 29.1.2 if the declaration confirms that the horse has been administered a prohibited substance or method prohibited at all times in Schedule (G)1.

30. Paragraph 29 does not apply if the circumstances surrounding the administration of a prohibited substance or a prohibited method are acceptable to the Authority or if the Authority otherwise so decides.

## PART 7

Additional requirements: horses imported to Great Britain

- 31.1 Unless otherwise approved by the Authority, a horse imported into Great Britain to be trained in Great Britain may not be declared if the Authority is not in receipt of a certificate of analysis issued by a BHA-approved Laboratory reporting no evidence of the presence or use of a prohibited substance or prohibited method prohibited at all times in a sample collected from the Horse in accordance with Schedule (G)2 Paragraph 4.
- 31.2 The Authority may from time to time exempt horses imported into Great Britain from certain Recognised Racing Authorities from this Paragraph.

## Schedule 4 - Equipment

1. In this Schedule

**Hood** means a garment similar to blinkers, incorporating ear covers but without eye cowls;

**Blinkers** means a garment fitted over a horse's head with holes for the eyes and ears, one or both eyeholes being fitted with cowls cutting out all vision to the rear but permitting full forward vision;

**Visor** means a garment similar to blinkers in which one or both cowls have holes cut in them permitting limited side or rear vision;

**Eyeshield** means a garment similar to blinkers except that in place of the eye cowls both eyes are covered with a mesh or other transparent material;

**Eyecover** means a garment similar to blinkers except that in place of the eye cowls one eye only is completely covered by an opaque cover;

**Cheek Pieces** means two strips of sheepskin of equal size or any other similar material or device which is attached to the cheek pieces of the bridle;

**Tongue Strap** means any device used to tie down a horse's tongue.

2. The following are illustrations of items listed. They are used as a visual interpretation of Paragraph 3, in order to avoid confusion at the declaration stage under Rule (F)89. Trainers are reminded that only the seven items referred to in Paragraph 3 are to be declared (i.e. hood, blinkers, visor, eyeshield, eyecover, cheek pieces, or a combination of them or a tongue strap). The declaration may be changed only in the circumstances set out in Paragraph 5.6.

#### Requirement to declare certain equipment

3.1 A declaration must be made to The Racing Calendar Office in any case where a horse is to run in a hood, blinkers, visor, eyeshield, eyecover, cheek pieces or a tongue strap.

3.2 If a horse is to run in a hood fitted with blinkers, both must be declared.

3.3 Any other combination of hood, blinkers, visor, eyeshield, eyecover or cheek pieces must also be declared.

3.4 The declaration must be made

3.4.1 by the time fixed for making declarations to run under Rule (F)89, and

3.4.2 in such manner as the Authority may direct.

3.5 Where a declaration to run under Rule (F)89 has been made but the Trainer has either not declared or mistakenly declared a hood, blinkers, visor, eyeshield, eyecover, cheek pieces (or any combination) or a tongue strap, the Trainer may add or remove the item if

3.5.1 he pays the appropriate fee, and

3.5.2 the request is received within two hours of the time fixed under Rule (F)89.

#### Prohibition on horse wearing any other head or ear garments

4.1 No horse may run in a race wearing a garment fitted over its head or ears other than a hood, blinkers, visor, eyeshield, eyecover, cheek pieces or any combination of these.

4.2 In particular, the following are prohibited

4.2.1 the wearing of any form of attachment to the hood, blinkers, visor, eyeshield, eyecover, or cheek pieces,

4.2.2 the use of blinding hoods, and

4.2.3 the use of any form of shutter hood.

4.3 Paragraph 4.2.2 does not apply when the horse is entering starting stalls under the supervision of the Starter.

4.4 A visor must not be modified in any way by covering the holes cut in the cowl.

#### Wearing equipment that has been declared

5.1 This Paragraph applies where a declaration made under Paragraph 3 in respect of

5.1.1 a tongue strap, or

5.1.2 any other equipment listed in Paragraph 3.

5.2 When a horse has been declared to run with a tongue strap, the Veterinary Officer must be satisfied:

5.2.1 with the material of the tongue strap,

5.2.2 with the way in which it is applied, and

5.2.3 that no device shall encircle the horse's tongue and be attached either directly or indirectly to the bridle.

5.3 If a Trainer cannot fasten the tongue strap or if it comes loose and cannot be refitted

5.3.1 the horse may still run, but

5.3.2 if the horse does not run (whether at the insistence of the Trainer or because it is withdrawn by the Starter) the Stewards will waive the financial penalty for non-runners which would otherwise be imposed under Rule (F)96.

5.4 The Starter or Veterinary Surgeon will not attempt to refit a tongue strap which comes loose on the way to the start.

## 5.5 Subject to Paragraph 5.6

5.5.1 all other declared equipment must be worn by the horse on the way to the start and during the race, and

5.5.2 if the equipment is not worn on the way to the start, the horse may not run and must be withdrawn by the Starter.

5.6 Where a declaration for the horse to wear any hood, blinkers, visor, eyeshield, eyecover, cheek pieces (or any combination) has been made incorrectly, the Trainer may substitute the incorrectly declared garment but only if

5.6.1 he pays the appropriate financial penalty, and

5.6.2 the request is received prior to the deadline specified in Rule 22.3.

5.7. Where a declaration for the horse to run with a tongue strap has been made in error, it may still run without a tongue strap but only if the Trainer pays the appropriate financial penalty.

Wearing equipment without a declaration

## 6.1 Subject to Paragraph 5.3 and 6.2

6.1.1 if no declaration has been made under Paragraph 3 in respect of an item listed in Paragraph 3.1, the horse must not wear the item on the way to the start or during the race, and

6.1.2 if it does wear the item on the way to the start, the horse may not run and will be withdrawn by the Starter.

6.2 If no declaration has been made under Paragraph 3 in respect of a tongue strap, the horse must not wear the item on the way to the start or during the race, and

6.2.1 if it does the horse may still run but only if the Trainer pays the appropriate financial penalty.

Shoes

7.1 The following types of shoes are prohibited:

7.1.1 Shoes which have protrusions on the ground surface other than calkins or studs on the hind, limited to 3/8" in height,

7.1.2 American type toe-grab plates, and

7.1.3 Shoes with a sharp flange.

7.2 Horses running in Flat races conducted on turf must enter the Parade Ring fully shod, except with the permission of the Authority. Permission under this Paragraph 7.2 must be obtained prior to the time fixed for making declarations to run under Rule (F)89, or may in exceptional circumstances be granted by the Stewards.

7.2.1 National Hunt Flat Races conducted on turf are excluded from the provisions of Paragraph 7.2.

Nasal dilators or supports or bells

8. Nasal dilators or supports or bells are not permitted to be worn on any horse in the Parade Ring or in a race.

Lip chains

9.1 Lip chains may not be worn by any horse on Racecourse Property unless approval has been obtained from a Veterinary Officer.

9.2 If such an approval is obtained, the lip chain may only be used

9.2.1 by an experienced handler, and

9.2.2 in a sensitive manner.

9.3 Any failure to comply with these requirements will result in Disciplinary Action.

Number cloths

10. Every horse running in a race must carry a number cloth.

**Bits**



11.1 Veterinary Officers will take note of the biting of every horse brought into the paddock.

11.2 Only bits which meet with the approval of the Veterinary Officer will be permitted.

11.3 No horse is permitted to run in a bitless bridle.

Rider's and Trainer's responsibilities

12. The following contain further provisions as to equipment and tack for racing

12.1 Rules (D)36 to (D)39 set out requirements applying to Riders, and

12.2 Rules (C)36, (C)43 and (C)44 set out requirements applying to Trainers.

BLINKERS



CHEEK PIECES



HOOD



VISOR



Differentiated from blinkers by an aperture in the cowl. This can be a slit as shown above or may be circular or diamond shaped.

EYESHIELD



(May also be made of a transparent material. However, such eyeshields must have adequate ventilation, and may be unsuitable for use in wet conditions on all weather tracks, where the kickback is liable to stick to the eyeshield)

EYECOVER



## **Schedule 5 - Starting procedures**

### **PART 1**

#### **STARTING GATES OR STARTING WITH A FLAG**

1.1 This Paragraph applies to any start from a starting gate or with a flag.

1.2 The horses

1.2.1 must be started to the satisfaction of the Starter, and

1.2.2 may be started at such reasonable distance behind the Starting Post as the Starter thinks necessary.

1.3 The signal for the start is the release of the gate or the lowering of the flag.

1.4 Where a race is started by flag, the advance flag operator will raise his flag when the Starter raises his flag and will drop it when the Starter drops his flag to start the race.

1.5 The Starter may remove an unruly horse.

1.6 If he does remove a horse, he must place it to one side of, or behind, the other runners and at such a distance that it cannot gain any advantage itself or cause danger to, or prejudice, the chances of the other horses and Riders engaged in the race.

1.7 Where the Starter

1.7.1 gives permission for a horse to be held, or

1.7.2 orders an unruly horse to be held,

the horse must be held behind the other runners at a position to be designated by the Starter.

1.8 An unruly horse which causes undue delay may be left.

## PART 2

### STARTING STALLS

2.1 This Paragraph applies to any start from starting stalls.

2.2 The Starter may remove an unruly horse.

2.3 No horse may

2.3.1 start from outside the stalls, or

2.3.2 be held in the stalls except in an emergency.

2.4 The Starter must withdraw a horse if the horse

2.4.1 refuses to enter the stalls, or

2.4.2 enters the stall and through its unruly behaviour damages the stall.

### Starting Stalls: loading procedures

3.1 The loading of starting stalls will take place under the direction of

3.1.1 the Starter and Assistant Starter, or

3.1.2 if there is no Assistant Starter, the Starter and team leader.

3.2 While loading is in progress Riders and handlers must maintain a strict silence, except in so far as it is necessary to attract the Starter's attention or to facilitate loading.

3.3 The procedure for loading, which may be varied at the direction of the Starter, is as follows

3.3.1 the Starter, the Assistant Starter and those handlers responsible for leading horses must station themselves at a convenient distance in front of the stalls;

3.3.2 the remaining handlers must wait behind the stalls;

3.3.3 when the runners arrive at the start they must walk in a circle, anti-clockwise, around the Starter until the roll is called;

3.3.4 where it is necessary for the runners to assemble behind the stalls, a Starter must act according to local circumstances;

3.3.5 a Rider who wishes to dismount at the start must obtain the Starter's permission before doing so and must lead his horse around himself;

3.3.6 a horse must not be passed to or led round by handlers;

3.3.7 when the roll is called by the Starter, each Rider must on being named walk his horse round behind the stalls without delay.

3.4 When entering the stalls

3.4.1 Subject to Paragraph 3.5, no horse will be loaded with the front gate open;

3.4.2 a horse which refuses to go into the stalls on the first occasion may be blindfolded and tried again;

3.4.3 if the horse again refuses it will be sent to the rear and at the Starter's discretion may be given one final chance after the other horses have been loaded;

3.4.4 the Starter may order that a horse be loaded without its Rider being mounted;

3.4.5 subject to Paragraph 3.5, no horse will be reversed into the stalls;

3.4.6 the Starter will order the withdrawal of any horse which cannot be loaded.

3.5 The Starter may order that a horse be loaded with the front gate open or be reversed into the stalls provided that

3.5.1 the horse has been reported by the Starter under Rule 41.2 on two occasions within the previous twelve months, or

3.5.2 the horse has failed an initial stalls test and has not run since,  
and in either set of circumstances

3.5.3 a certificate has been obtained from a Starter in respect of the horse stating that the horse has been loaded satisfactorily with the front gate open or reversed into the stalls.

3.6 If the Starter has ordered the horse be loaded as set out in Paragraph 3.5 the horse

3.6.1 will be loaded first,

3.6.2 with its Rider mounted, and

3.6.3 it must be loaded by the Trainer or his representative.

3.7 When loading is completed and the Assistant Starter (or in his absence, the team leader) is satisfied that all the back gates are securely shut he will, from his position at the rear of the stalls, make the appropriate signal to the Starter.

3.8 The team leader (or his deputy), from his position at the front of the stalls, will signal to the Starter when the handlers are clear.

3.9 The Starter, having checked and satisfied himself as to the situation, will start the race.

Starting Stalls: loading sequence

4.1 With the exceptions stipulated in Paragraphs 4.4 and 4.5 (one of which incurs a Criteria Failure and one of which does not) all horses foaled on and after 1st January 2000 must be loaded in draw order on their first run.

4.2 Otherwise, horses must be loaded in the following sequence

4.2.1 horses that were blindfolded on their previous run, or for which a blindfold has been requested by the Trainer;

4.2.2 followed by horses with odd numbers in the draw;

4.2.3 followed by horses with even numbers.

4.3 That sequence may be varied at the direction of the Starter or the Assistant Starter in the interests of speedy and efficient loading.

4.4 A Trainer may request a late load for a horse (including unraced horses and those for which a blindfold has been requested) but if he does so it will count as a Criteria Failure (see Rule 43).

4.5 The only circumstances where a Criteria Failure will not be incurred are

4.5.1 where a horse meets the criteria of Rule 43.3, or

4.5.2 where an unraced horse

4.5.2.1 has been presented by a Trainer on a raceday for a Pre-Race Assessment  
(when the horse is not declared to run) (see Schedule (C)5 Paragraph 5), and

4.5.2.2 passes satisfactorily through stalls.

## PART 3

### STEEPLE CHASE, HURDLE RACE AND NATIONAL HUNT FLAT RACING

#### Walking round

- 5.1 Horses will be girthed up in the girthing up pen unless otherwise instructed by the Starter.
- 5.2 When all horses are girthed up and the Starter has mounted the rostrum, the horses will enter the course and must, where possible, walk around at least twenty-five yards back from the tape.
- 5.3 Horses girthed up on the course, as instructed by the Starter, must walk around at least twenty-five yards back from the start.
- 5.4 To avoid the Starter waiting unnecessarily, a Rider must tell the Starter if he is dropping in.
- 5.5 When the Starter wishes the horses to walk forward he will raise his flag to signify this to the riders. Once he has done so, the riders shall walk forward and take up a position ready to start the race. Until that time, no rider is permitted to walk up or take up a position.

#### Walking up

- 6.1 Riders must listen to the Starter's instructions at all times during the procedure.
- 6.2 When the Starter wishes the horses to walk forward he will raise his flag to signify this to the Riders.
- 6.3 Horses in the front rank must walk or jig jog until the start is effected.
- 6.4 Horses at the rear may trot to catch up but must not overtake those in front or force those in front out of a walk.
- 6.5 Riders may be instructed to 'WAIT' or keep 'STEADY' as necessary by the Starter.
- 6.6 If the Starter instructs 'NO' then the race is not about to be started.
- 6.7 'No Sir' must only be used in an emergency situation.
- 6.8 The start will not be delayed if the Starter considers a Rider is holding up proceedings by trying to push in where there is no room.
- 6.9 A Rider who deliberately faces his horse backwards because he has missed his intended position will be reported to the Stewards.
- 6.10 If the field line up and commence to move forward before the Starter raises his flag, or where any horse approaches the start at faster than jig jog before the tape is released and the Starter's flag is dropped, the race will not be started. In this circumstance, the Starter may report to the Stewards any Rider he considers responsible.
- 7.1 The marker poles are the poles erected on either side of the course in front of the Starting Gate.
- 7.2 If, for whatever reason, the Starter has been unable to start the race before the runners reach the marker poles, Riders must pull up.
- 7.3 A Rider will be taken to have contravened Rule (D)44 (general conduct at the start) if his horse goes beyond the marker poles prior to the start being effected, unless the Starter considers that the circumstances were beyond the Rider's reasonable control.
- 7.4 For safety reasons the Starter may release the tape where a horse goes beyond the marker poles, however, where the Starter's flag remains raised this should not be taken as the start being effected.
- 7.5 The gap between the marker poles and the tape will enable a horse that has become side on to be led out.

#### Turning back

- 8.1 If the Starter has told all Riders to take a turn back, they must go back as far as the marker poles, line up, and a standing start will be effected.
- 8.2 The Starter may allow a Rider or Riders to take a voluntary turn if it assists in starting the race.
- 8.3 If the tape becomes dislodged (or for any other reason of sustained delay), all horses must take a turn back as far back as instructed by the Starter.

### PART 4

#### PROTOCOL FOR TRAINERS OR THEIR REPRESENTATIVES AT THE START

- 9.1. No Trainer or his representative will be allowed at the start without the permission of the Starter.
- 9.2. While at the start the Trainer or his representative must comply with any instruction issued by the Starters or his Assistant.
- 9.3. If a Trainer or his representative arrives at the start without prior permission he is likely to be asked to keep off the track (i.e. behind the running rail).
- 9.4. The Trainer or his representative is responsible for the serviceability of any equipment (e.g. rugs, blindfolds) he proposes to use at the start.
- 9.5. Any such equipment will be checked by a Starter to ensure suitability.
- 9.6. If using a rug the Trainer or his representative must take it to the start and is responsible for its correct use. The Trainer or his representative must also ensure that the rope is attached to both the rug and the stalls after the horse has been loaded.

9.7. Stalls handlers will not load a horse wearing a rug with the front strap done up nor will they load horses using a 'come along' rope.

9.8. If a Trainer or his representative is to load a horse into stalls he must wear a skull cap. (This is not necessary if just leading round).

9.9. The Trainer or his representative must in no way interfere with the loading procedure or other runners.

9.10. Under no circumstances will the Trainer or his representative be allowed to encourage his horse, physically, verbally or using any other means to leave the stalls (or to jump off in a race not from stalls).

For the avoidance of doubt the above includes: carrying a whip of any sort, striking a horse in any way, using tins of stones to rattle, blowing whistles etc.

9.11. Should a Trainer or his representative fail to comply with any of the above Paragraphs 9.1 to 9.10 he is liable to be reported to the Stewards.

## **Schedule 6 - Causing interference and improper use of whip**

### **PART 1**

#### **Interference**

##### **Overtaking on the inside**

1.1 Where a Rider attempts to pass another horse on the inside on an unrailed part of the course

1.1.1 the Rider must ensure that his horse has the speed to do so;

1.1.2 he must be clear of the horse which he has overtaken on the inside well before the next Obstacle or section of running rail;

1.1.3 he must ensure that he does not interfere in any way with the horse which he is overtaking; and

1.1.4 if he does cause interference it may be regarded as dangerous riding or careless riding.

2.1 The Rider being overtaken is entitled to maintain his line to the inside of the next Obstacle or section of running rail but he must not ride across to ride off any horse trying to pass him on the inside.

2.2 If he does ride across, such interference may be regarded as dangerous or improper riding.

#### **False Rail**

3.1 Paragraph 4 applies where a racecourse employs a rail configuration known as false rail.

3.2 A false rail is a running rail which

3.2.1 cuts away to an inner running rail (this can vary from three furlongs to one furlong from the winning post), and

3.2.2 is intended to prevent interference and give every horse, wherever it is positioned, the best opportunity of a clear run to the finish.

4.1 Where a Rider comes to the false rail he must either

4.1.1 cut quickly across to the inner running rail, providing such a manoeuvre will not cause any interference, or

4.1.2 keep straight.

4.2 Any Rider who allows his horse to gradually drift to the rail and in so doing causes the Rider behind to be taken off his intended line, and as a result has to 'take a pull' as he reaches the rail, is likely to be guilty of causing interference and in contravention of Rules 53 or 54.

4.3 A Rider will not be guilty of a riding offence if he allows his horse to drift slowly across to the rail provided that interference is not the result but, by allowing this to occur, it increases the risk of causing interference and therefore this practice should be avoided.

### **PART 2**

#### **Improper use of whip**

5. The Stewards should hold an enquiry into any case where a Rider has used his whip contrary to Paragraph 6.

#### **Improper riding**

6.1 The following are examples of uses of the whip which may be regarded as improper riding for the purposes of Rule 54.3.

#### Example 1 Using the whip on a horse

- 6.1.1 with the whip arm above shoulder height;
- 6.1.2 rapidly without regard to their stride (that is, twice or more in one stride);
- 6.1.3 with excessive force;
- 6.1.4 without giving the horse time to respond.

#### Example 2 Using the whip on a horse which is

- 6.1.5 showing no response;
- 6.1.6 out of contention;
- 6.1.7 clearly winning;
- 6.1.8 past the winning post.

#### Example 3 Using the whip on a horse in any place except

- 6.1.9 on the quarters with the whip in either the backhand or forehand position;
- 6.1.10 down the shoulder with the whip in the backhand position;

unless exceptional circumstances prevail.

#### Example 4 Using the whip on a horse above the permitted level for frequency.

6.2 Use of the whip may be judged to be improper in other circumstances.

#### Procedure

7.1 Horses will be subject to an inspection by a Veterinary Officer after the race.

7.2 A Trainer must remove or adjust rugs or sheets for the purposes of any inspection.

7.3 The Veterinary Officer will report to the Stewards every horse which is wealed or injured.

8. A Trainer must attend any enquiry into a wealed or injured horse trained by him and, in the event of a finding that the Rider is in breach of one of the examples in Paragraph 6, may be liable to Disciplinary Action pursuant to Rule (C)45 (which requires trainers to give pre-race instructions to riders).

### Schedule 7 - Left handed and right handed flat racecourses

Left handed courses	Right handed courses
Ayr	Ascot
Bath & Somerset County	Beverley
Brighton	Carlisle
Catterick Bridge Chelmsford	
Chepstow	Goodwood
Chester	Hamilton Park
Doncaster	Kempton Park
Epsom Downs	Leicester
Ffos Las	Musselburgh
Great Yarmouth	Newmarket (Rowley Mile Course)
Haydock Park	Newmarket (July Course)
Lingfield Park	Ripon
Newbury	Salisbury
Newcastle	Sandown Park
Nottingham	Windsor
Pontefract	
Redcar	
Southwell	
Thirsk	

Wolverhampton	
York	

## Index of defined Expressions

1. This index provides a guide to words or expressions which are defined generally and so liable to be met in provisions which do not themselves contain the definition.
2. Where a term is used only in one Rule (or in a series of closely connected Rules), the definition will be set out in that Rule. Always check the Rule itself before looking at this index.
3. Where a term is used in more than one place, it will start with a capital letter. The second column of this index tells you where you can find the substantive definition.
4. This index is not part of these Rules.

<b><i>Defined term</i></b>	<b><i>Where term is defined (references are to Rules in this Manual unless other specified)</i></b>
All-Weather Track	93
Amateur Rider	92
Apprentice Jockey	91
Assistant Valet	85.3
the Authority	93
the Authority's Office	93
Common Ownership	57.5
Conditional Jockey	91
Criteria Failures	43
Declaration Sheet	93
Disciplinary Action	93
Disciplinary Penalty	93
Disqualified Person	93
Hood, Blinkers, Visor, Eyeshield, Eye Cover, Cheek Pieces, Tongue Strap	Schedule 4
Hunters' Steeple Chase	93
Jockey	91
Master Valet	85.3
National Hunt Flat Race	93
obstacle	93
Official Photograph	93
Overseas Rider	92
Parade	93
Person	93
Prescribed	93
Professional Rider	92
Qualified Person (Part 7)	72
Racecourse Managing Executive	93
Racecourse Medical Officer	8.5

Racecourse Property	93
The Racing Calendar Office	93
Recognised Company	93
Recognised Racing Authority	93
Registered Agent	93
Rider	90
Rule Contravention (Schedule 1)	Schedule 1
these Rules	93
Stakeholder	93
Stewards	93
Stipendiary Steward	93
Trainer	93
VAT	93
Veterinary Officer	93
Veterinary Surgeon	93



## **PART 1 - INTRODUCTORY**

### **1. Introductory**

1.1 Part (A)3 prohibits any Person in Great Britain from training horses to run under these Rules unless

- 1.1.1 he holds a trainer's licence or a trainer's permit granted by the Authority,
- 1.1.2 the horse is trained outside Great Britain and the trainer is duly qualified as a trainer in the country where the horse is trained, or
- 1.1.3 he is training a horse solely for the purpose of Hunters' Steeple Chases, the Grand Military Gold Cup or the Royal Artillery Gold Cup.

1.2 In relation to any horse trained in circumstances specified in Paragraph 1.1.3, the following Persons shall be treated for the purposes of Parts 3 to 6 and Manual (G) as if they were the trainer of the horse

- 1.2.1 the Person or Persons who own the horse, and
- 1.2.2 if the owner is a Recognised Company, the Registered Agent of the company.

1.3 A Person is liable to Disciplinary Action if

- 1.3.1 he contravenes a requirement imposed on him by or under these Rules,
- 1.3.2 any provision of these Rules states that he is taken to have contravened any such requirement, or
- 1.3.3 any provision of these Rules states that he is liable to Disciplinary Action.

1.4 Disciplinary action may also be taken against a Person in any of the circumstances specified in Rules (A)63 to (A)70.

### **2. Scheme**

2.1 Part 2 has effect in connection with licences and permits for trainers which may be granted by the Authority and sets out specific requirements that apply only to the holders of such licences or permits.

2.2 Parts 3 to 6 impose requirements on

- 2.2.1 holders of a trainer's licence or permit granted by the Authority;
- 2.2.2 Persons running horses in Great Britain who
  - 2.2.2.1 train horses in a country outside Great Britain, and
  - 2.2.2.2 are duly qualified as a trainer in that country; and
- 2.2.3 Persons treated as a trainer under Rule 1.2.

## **PART 2 - TRAINER'S LICENCES AND PERMITS FROM THE AUTHORITY**

### **CHAPTER 1 - OBTAINING A LICENCE OR PERMIT**

#### ***Grant, refusal or withdrawal***

#### **3. Licences to train granted by the Authority**

3.1 A licence to train horses may be granted by the Authority subject to such restrictions or conditions as it considers appropriate.

3.2 A trainer's licence may be granted to allow a Person to train any horse for entry in

3.2.1 flat races,

3.2.2 steeple chases, hurdle races and National Hunt Flat Races, or

3.2.3 both.

#### **4. Permits to train granted by the Authority**

4.1 A permit to train horses may be granted by the Authority subject to such restrictions or conditions as it considers appropriate.

4.2 A trainer's permit may be granted to allow a Person to train horses which

4.2.1 are the sole property of one or more of the categories of Persons listed in Paragraph 3, and

4.2.2 may be entered for or run in steeple chases, hurdle races or National Hunt Flat Races only.

4.3 The categories of Persons listed in this Paragraph are

4.3.1 the holder of the permit;

4.3.2 his spouse or civil partner;

4.3.3 his parents or grandparents;

4.3.4 his sons or daughters;

4.3.5 his grandchildren;

4.3.6 his brothers or sisters;

4.3.7 a Person who appears to the Authority to be co-habiting with the holder of the permit by reason of a personal relationship; and

4.3.8 the executors or administrators for any of the above.

4.4 For the purposes of Paragraph 4.2.1 the horse must be free of all leases or other joint arrangements apart from those between the Persons for whom the permit holder is entitled to train.

4.5 A Permitted Trainer must, at the request of the Authority at any time, produce evidence of ownership of all horses that are currently, or have been within 12 months preceding the request, under his care or control to satisfy the Authority of the provision specified at Paragraph 4.2.1 of this Rule.

4.6 Where a Permitted Trainer is unable to, or fails to, provide evidence as specified in Paragraph 4.5 of this Rule, he shall be taken to have contravened a requirement imposed on him under these Rules and will be liable to Disciplinary Action.

#### **5. Initial application for licence or permit**

5.1 A Person who applies for a trainer's licence or a trainer's permit must use the Prescribed form.

5.2 Procedures for the consideration and determination of applications are set out in Schedule (A)9.

5.3 The initial application must be received at the Authority's office at least 2 months before the date on which the licence or permit will be required.

5.4 No licence or permit may be granted unless the applicant meets the criteria and other requirements as may be established by the Authority from time to time.

5.5 At any time after receiving an initial application under this Rule and before determining it, the Authority may require an applicant to

5.5.1 attain a National Vocational Qualification (NVQ) at Level 3 in Racehorse Care and Management,

- 5.5.2 satisfactorily complete the Authority's training course in 'Racehorse Management',
- 5.5.3 satisfactorily complete the Authority's training courses in 'Business Skills' and 'Staff Management', or
- 5.5.4 show that he has already completed a training course which is approved by the Authority or otherwise acceptable to it.

5.6 Nothing in Paragraph 5.5 restricts any other requirements that the Authority may impose.

## **6. Expiry and renewal of licence or permit**

- 6.1 A trainer's licence or permit expires at the end of the period stated on it.
- 6.2 The holder of a licence or permit may apply for it to be renewed using the Prescribed form.
- 6.3 Procedures for the consideration and determination of applications are set out in Schedule (A)9.
- 6.4 The renewal application must be received at the Authority's Office at least 1 month before the date on which the licence or permit will be required.
- 6.5 A licence or permit may be renewed subject to such restrictions or conditions as the Authority considers appropriate and the restrictions or conditions may differ from those previously imposed.

## **7. Circumstances in which licence or permit ceases to be valid**

7.1 A Person shall be taken to have contravened a requirement imposed on him by these Rules if he continues to train in Great Britain horses running under the Rules after his licence or permit has ceased to be valid.

7.2 A trainer's licence or permit shall immediately cease to be valid if

7.2.1 the licence or permit

- 7.2.1.1 expires and is not renewed,
- 7.2.1.2 is withdrawn by the Authority, or
- 7.2.1.3 is suspended by the Authority; or

7.2.2 the holder of the licence or permit

- 7.2.2.1 relinquishes it,
- 7.2.2.2 is declared to be a Disqualified Person, or
- 7.2.2.3 changes stables before he has notified the Authority of the change and obtained its written approval.

7.3 Paragraph 7.2.2.2 does not apply where

7.3.1 a trainer's disqualification was incurred under Rule (A)66 (person whose name appears on the Forfeit List), and

7.3.2 not more than 14 days have elapsed since the date of publication of the arrears in the Forfeit List.

## **8. Fees for grant and renewal of licence or permit**

- 8.1 An application under this Part for the grant or renewal of a trainer's licence or permit must be accompanied by the appropriate fee and any VAT payable.
- 8.2 The fees payable shall be such as the Authority may from time to time determine.
- 8.3 A sum of such amount as the Authority considers appropriate shall be taken from each fee it receives for a licence or permit and shall be allocated by the Authority to such racing charities as it considers appropriate.

### ***Temporary licences***

## **9. Temporary licences**

9.1 The Authority may grant a temporary licence

- 9.1.1 in the event of the death or injury of the holder of a trainer's licence, or
- 9.1.2 in such other circumstances as the Authority considers appropriate.

9.2 The Authority may at any time withdraw a temporary licence if it considers it appropriate to do so.

9.3 The holder of a temporary licence granted under Paragraph 9.1.1

9.3.1 must assume all the obligations and responsibilities of the deceased or injured trainer, and

9.3.2 may at any time apply to the Authority for a trainer's licence.

9.4 Where a trainer's licence (the original licence) is replaced by a temporary licence

9.4.1 the original licence shall

9.4.1.1 immediately cease to be valid, and

9.4.1.2 resume effect only on the withdrawal of the temporary licence or in accordance with any directions given by the Authority, and

9.4.2 the temporary licence shall continue to be valid until it is withdrawn under Paragraph 9.2 notwithstanding that the date for the renewal of the original licence is due.

## **CHAPTER 2 - LICENSED OR PERMITTED TRAINERS: FURTHER PROVISION**

### ***Licensed trainers and permitted trainers***

## **10. General requirements applying to licensed trainers and permitted trainers**

10.1 The Authority may

10.1.1 refuse to grant or renew a trainer's licence or permit, or

10.1.2 suspend or withdraw a licence or permit,

if the Authority considers that any of the conditions specified in Paragraph 10.2 are not met.

10.2 The conditions are that

10.2.1 the applicant or the holder of the licence or permit is a suitable Person,

10.2.2 any training establishment used by him is suitable and secure,

10.2.3 training may only be carried out at or from stables in connection with which the licence or permit is granted,

10.2.4 the terms and conditions on which Persons are engaged by him in the training of racehorses are fair and reasonable, and

10.2.5 the holder meets such other requirements as the Authority may from time to time determine.

10.3 For the purpose of determining whether these conditions are met, the Authority may, either on the initial application for a licence or permit or subsequently, inspect the applicant's establishment at such time and with such frequency as it considers appropriate.

10.4 For the purposes of Paragraph 10.2.4, the terms and conditions of service of employees shall be taken to be fair and reasonable if, taken as a whole, they are, or are no less favourable than, the Standard Terms and Conditions.

10.5 The Standard Terms and Conditions means the terms and conditions of service for stable employees which are

10.5.1 established by the National Joint Council for Stable Staff (set up by agreement between the National Trainers Federation and the National Association of Stable Staff), and

10.5.2 set out in Schedule 1.

10.6 Schedule 2 makes further provision as to the requirements applying to any Licensed Trainer or Permitted Trainer with regard to any Person employed by him.

## **11. Deleted**

## **12. Duty to check identity of a horse**

12.1 A Licensed Trainer or Permitted Trainer must check the identity of any horse which comes under his care or control from the horse's passport.

12.2 A Licensed or Permitted Trainer must report immediately any discrepancies in the markings or microchip in the horse's passport to the Racing Calendar Office.

12.3 The identity check must be carried out when the trainer receives the passport or as soon as reasonably practicable afterwards.

### **13. Duty to keep Treatment records**

13.1 A clear and accurate record of any Treatment administered to a horse under the care or control of a Licensed Trainer or Permitted Trainer must be kept by the trainer for a period of not less than one year.

13.1.1 Treatment means any medication or treatment containing a Prohibited Substance administered to a horse under the care or control of a Licensed Trainer or Permitted Trainer whether or not that horse is currently in training.

13.2 Subject to paragraph 13.7, each record must be made within 48 hours of administration, or if that administration occurs away from the yard, as soon as reasonably practicable after the horse returns to the yard following the administration, and include, as a minimum requirement, the following information

13.2.1 registered name of the horse or, if it is unnamed, the registered name of the dam and the year of foaling,

13.2.2 brand name or active ingredient of the Treatment used,

13.2.3 date of commencement of any Treatment,

13.2.4 route of administration,

13.2.5 quantifiable dosage of Treatment, e.g. ml/mg. If this changes during the course of any Treatment, this must be made clear in the record

13.2.6 frequency of administration. If this changes during the course of any Treatment, this must be made clear in the record,

13.2.7 date the Treatment finished, and

13.2.8 name of the Person administering the Treatment.

13.3 Every entry made in the Treatment records will be deemed authorised by the Trainer.

13.4 Where the Person referred to in Paragraph 13.2.8 is a veterinary surgeon, the Trainer shall ensure that the Treatment record is completed accordingly. Veterinary practice records that comply with the requirements of Paragraph 13.2 shall be sufficient provided they are available in the yard and cross-referenced in the Treatment records.

13.5 The records for an individual horse must be kept in one format available in one location.

13.6 The records must be made available for inspection

13.6.1 by any approved Person authorised to enter the trainer's premises under Part (A)5, or

13.6.2 in accordance with any directions given by the Authority when conducting an enquiry under that Part of that Manual into a possible contravention of these Rules.

13.7 In the event that a horse is hospitalised, should the records provided by the veterinary practice to the Trainer not comply with the requirements of Paragraph 13.2, compliant records must be made available for inspection upon request.

### **14. Authorising another trainer to act on a trainer's behalf**

14.1 A Licensed Trainer or Permitted Trainer who is unable to attend a race meeting at which he has a horse running, may authorise another trainer (his representative) who holds a licence or permit for the same type of race to enter the official racecourse stables and act on his behalf.

14.2 Authority under Paragraph 14.1 must

14.2.1 be in writing, and

14.2.2 state the name of the trainer's representative, the date of the race meeting, the name of the racecourse and the name of the horse.

14.3 A trainer's representative who fails to produce written authority at the official racecourse stables, together with the representative's own identity card, will not be permitted to enter the stables.

## **15. Information about employees**

15.1 A Licensed Trainer or Permitted Trainer must inform the Authority immediately of the termination, for any reason, of an Apprentice Jockey's agreement, or a Conditional Jockey's agreement, which was entered into with the trainer.

15.2 A Licensed Trainer or Permitted Trainer must correct and return the Stable Employees Register Return which the Racing Calendar Office sends to him annually.

15.3 This return must be corrected and returned by the date specified on it.

## **16. Information about horses under a trainer's care**

16.1 A Licensed Trainer or Permitted Trainer must inform The Racing Calendar Office

16.1.1 of the arrival at his yard of each new horse,

16.1.2 if he has more than one yard, of any change in location of a horse under his care or control,  
or

16.1.3 of any change in ownership of a horse under his care or control.

16.2 The information must be provided

16.2.1 no later than 3 days after the event specified in Paragraph 16.1.1, 16.1.2 or 16.1.3, or

16.2.2 if sooner, before any further race entry is made.

16.3 The trainer must also correct and return the Horses in Training Return which The Racing Calendar Office sends to him from time to time and this must be done

16.3.1 if the trainer has access to the Racing Administration Internet Site, in an approved form with immediate effect, or

16.3.2 otherwise, in writing on the Prescribed form by the date specified on the Return.

## **17. Information about gelding a horse**

17.1 A Licensed Trainer or Permitted Trainer must notify The Racing Calendar Office when a horse under his care and control has been gelded.

17.2 Subject to 17.3, this must be notified no later than the closing time for entries for the next race in which the horse is entered in Great Britain.

17.3 If the race is an early closing race, and the horse has been gelded subsequent to being entered, this must be notified before the next Scratching Deadline or confirmation of entry for the race.

### **17A Information about horses of ambiguous sex**

17A.1 A Licensed or Permitted Trainer must, as soon as possible, notify the Racing Calendar Office when a horse under his care or control is found to be of Ambiguous Sex.

17A.2 **A Horse of Ambiguous Sex** means a horse whose visible sexual characteristics are contradicted by its genetic make-up/internal organs.

### **17.B Notification of pregnant horses**

17B.1 A Licensed Trainer or Permitted Trainer must notify The Racing Calendar Office when a horse under his care and control is pregnant.

17B.2 Notification must include the last covering date and must be made

17B.2.1 within 25 days of the last covering, or

17B.2.2 as soon as the horse enters training

whichever is the later.

17B.3 If, after notification, the pregnancy is lost the Trainer must notify The Racing Calendar Office as soon as reasonably practicable that it has been lost.

17B.4 The Authority may decide not to take Disciplinary Action in respect of a contravention of this Rule if the Licensed Trainer or Permitted Trainer satisfies the Authority that he took all reasonable precautions and exercised all due diligence to ascertain whether or not the horse was pregnant.

## **17.C Notification of wind surgery**

17C.1 On each occasion that a horse has had Wind Surgery the Trainer must notify the Racing Calendar Office of the type of Wind Surgery undertaken. No notification is necessary if the horse has never previously raced.

17C.2 Notification must be made before the horse is declared to run under Rule (F)89 (Declaration to Run) and the responsibility for making such notification rests with the Trainer making the declaration.

17C.3 The Authority may decide not to take Disciplinary Action in respect of a contravention of this Rule if the Licensed Trainer or Permitted Trainer satisfies the Authority that he took all reasonable precautions and exercised all due diligence to ascertain whether or not the horse had had Wind Surgery.

17C.4 In this Rule Wind Surgery is defined as

17C.4.1 Tie back (prosthetic laryngoplasty)

17C.4.2 Hobday (ventriculectomy/cordecotomy)

17C.4.3 Epiglottic entrapment surgery

17C.4.4 Tie forward (dorsal displacement soft palate surgery)

17C.4.5 Soft palate cautery

## **18. Information about new horse arriving from outside Great Britain and Ireland**

18.1 This Rule applies where

18.1.1 Rule 16.1.1 requires a Licensed Trainer or Permitted Trainer to inform The Racing Calendar Office of the arrival of a new horse, and

18.1.2 the horse arrives from outside Great Britain or Ireland.

18.2 The trainer must obtain details of the horse's racecourse performances and send them to The Racing Calendar Office

18.2.1 before the horse is next entered for a race, or

18.2.2 if the horse already has an entry, before the next Scratching Deadline, confirmation of entry or declaration stage for the race.

18.3 If the horse was foaled outside Great Britain, Ireland or the Channel Islands the trainer must also complete a naming card and send it to The Racing Calendar Office.

18.4 If the trainer also received a passport for such a horse

18.4.1 he must also send that to The Racing Calendar Office after first identifying the horse in accordance with Rule 12,

18.4.2 it will be returned to the trainer after any amendments to markings have been carried out, but

18.4.3 the passport must still be produced on the racecourse in accordance with Rule (E)16 (identity check for horses trained outside GB and Ireland).

### **Licensed trainers, permitted trainers and private trainers**

## **19. Information about a horse running in a race outside Great Britain and Ireland**

19.1 This Rule applies to any Licensed Trainer, any Permitted Trainer or any Person who is treated as a trainer in accordance with Rule 1.2.

19.2 On each occasion when a horse trained in Great Britain has run in a race outside Great Britain and Ireland, the trainer must notify The Racing Calendar Office of the details of its racecourse performance.

19.3 This information must be notified

19.3.1 within 48 hours of the horse's return to Great Britain, or

19.3.2 if the horse has an entry for a race in Great Britain within five days of its return, or as soon as reasonably possible after the horse's return to Great Britain.

***Licensed trainers only***

## **20. Dealings between licensed trainers and owners**

20.1 Schedule 4 makes provision for and in connection with a Licensed Trainer's dealings with or on behalf of owners or intended owners or the horses under their care or control.

20.2 Part 1 of Schedule 4 deals with agreements to be entered into between Licensed Trainers and owners and their enforcement.

20.3 Part 2 of Schedule 4 contains a code of conduct applying to Licensed Trainers in their dealings with owners.

20.4 Failure by a Licensed Trainer to observe a provision of the code of conduct in Part 2 of Schedule 4 does not itself amount to a contravention of a requirement imposed by or under these Rules but

20.4.1 such failure may be relevant in determining whether or not the trainer has complied with a requirement imposed by or under these Rules, and

20.4.2 may accordingly result in Disciplinary Action being taken against him.

## **20A. Changes in employment status**

20A.1 A Licensed Trainer must notify the Authority as soon as practicable of any intended change to employment status and obtain its written approval before it becomes effective.

20A.2 Failure to comply with Paragraph 20A.1 may invalidate the trainer's licence and/or result in Disciplinary Action.

## **17D. Information about suprachoroidal cyclosporine implants**

17D.1 Where a horse undergoes surgery for the placement of a suprachoroidal cyclosporine implant, a Licensed or Permitted Trainer must notify the BHA Equine Health and Welfare Department within 7 days of surgery with a certificate, signed by a veterinary surgeon to this effect.



## **PART 3 - GENERAL DUTIES OF TRAINERS**

### ***Introductory***

#### **21. Application of Part 3**

21.1 Except where the context otherwise requires, this Part applies to

- 21.1.1 any Person who holds a licence or permit to train which is granted by the Authority,
- 21.1.2 any Person whose authorisation by a Recognised Racing Authority corresponds to such a licence or permit, and
- 21.1.3 any Person who is treated as a trainer in accordance with Rule 1.2.

21.2 Such Persons are referred to in this Part as Trainers.

### ***General***

#### **22. Duties of care and skill**

22.1 A Trainer must conduct his business of training racehorses

- 22.1.1 with reasonable care and skill, and
- 22.1.2 with due regard to
  - 22.1.2.1 the interests of owners and horses under his care or control,
  - 22.1.2.2 the safety of his employees and agents, and
  - 22.1.2.3 the provisions of any code of conduct which applies to Trainers and which is issued by the Authority under these Rules.
  - 22.1.2.4 taking reasonable steps to avoid breaches of these Rules being committed (whether intentional or accidental) by himself or others.

22.2 A Trainer's duties under Paragraph 22.1 extend to any horse under his care or control whether or not the horse is currently in training.

#### **23. Security of horses**

23. A Trainer

23.1 must maintain adequate security measures

- 23.1.1 in his yard,
- 23.1.2 in transit,
- 23.1.3 on the racecourse, and
- 23.1.4 in official racecourse stables;

23.2 must ensure that his employees are properly briefed in their duties of guarding his horses whilst in transit and at the racecourse; and

23.3 must not engage casual labour to assist him in attending to his horses on a racecourse.

#### **24. Vaccination, passport and identity checks**

24.1 A Trainer must ensure that, when any horse under his care or control enters Racecourse Property

- 24.1.1 the horse's passport is available for inspection,
- 24.1.2 all vaccinations which these Rules require have been correctly administered to the horse and entered in its passport, and
- 24.1.3 all documents required for the purpose of carrying out checks as to the identity of the horse are available for inspection.

#### **25. Ensuring protective equipment is worn**

25.1 Paragraph 25.2 applies in any case where

- 25.1.1 an Apprentice Jockey, Conditional Jockey, stable employee or other person is mounted on a horse which is on Racecourse Property, or
- 25.1.2 a Rider, stable employee or other Person is mounted on a horse in any other place where the horse is under the care or control of a Trainer acting in his capacity as such.

25.2 The Trainer of the horse must ensure that

- 25.2.1 each of the Persons referred to in Paragraph 25.1.1 or 25.1.2 wears a skull cap and a safety vest,
- 25.2.2 the skull cap and safety vest are of such design and fitted in such a way as to meet the requirements specified in Schedule (D)2, and
- 25.2.3 the skull cap and safety vest are in a serviceable condition.

For example, a skull cap that has been subjected to a severe impact, or has been worn by a rider suffering concussion, is not regarded as being in a serviceable condition.

25.3 The Trainer shall be regarded as having contravened a requirement imposed on him by these Rules in any case where a Person referred to in Paragraph 25.1.1 or 25.1.2 makes use of an unserviceable skull cap or safety vest.

25.4 The Trainer must

- 25.4.1 also ensure that any Person referred to in Paragraph 25.1.1 or 25.1.2 wears such other protective clothing or protective headgear as the Authority may from time to time direct, and
- 25.4.2 from time to time carry out a risk assessment regarding the wearing of safety vests by Persons who are dismounted and engaged in other potentially hazardous stable tasks (such as lunging, long reigning, clipping etc).

25.5 Nothing in this Rule restricts the Trainer's general duties as to safety set out in Rule 22.

## **26. Restrictions on advertising on clothing or equipment**

26.1 A Trainer must

- 26.1.1 comply with any directions given by the Authority as to controls on sponsorship, and
- 26.1.2 ensure that any stable employee employed by him whose name is entered on the Register of Stable Employee Names complies with such controls.

## ***Equine welfare***

### **27. Duty to promote welfare of horses**

27. A Trainer must take all reasonable steps to ensure the safety and welfare of all horses under his care or control (whether or not they are currently in training).

### **28. Veterinary treatment and medication**

28.1 A Trainer must ensure that all treatments and medication administered to a horse under his care or control are given in the interests of its best health and welfare.

28.2 Accordingly

- 28.2.1 every treatment must be fully justifiable by the medical condition of the horse receiving the treatment,
- 28.2.2 horses that are not trainable as a result of injury or disease must be given appropriate veterinary treatment before training is resumed, and
- 28.2.3 the Trainer must obtain advice from the Veterinary Surgeon prescribing a treatment as to the appropriate level of training during the duration of the treatment.

28.3 Rule 33 contains further provision in respect of treatment which applies when a horse is on Racecourse Property.

28.4 Schedule (B)3 7.1 contains a restriction in respect of the giving to a horse of any substance on the day of a race.

## **29. Strict liability of trainer on horse's visit to equine swimming pool**

### **29.1 Where**

29.1.1 a Trainer sends a horse to an equine swimming pool (whether or not the pool is approved by the Authority under Part (A)9, and

29.1.2 any requirement of these Rules is contravened in relation to the horse whilst it is visiting the pool,

the Trainer shall be taken to have contravened a requirement imposed on him by these Rules.

## **30. Duty to report communicable diseases**

30.1 Where a Trainer has been informed by a Veterinary Surgeon, or should otherwise be aware, that any horse under his control is likely to be or is infected with

30.1.1 diseases covered by the Horserace Betting Levy Board Codes of Practice on Equine Diseases;

30.1.2 any notifiable disease that can affect horses as named in section 88 of the Animal Health Act 1981 and the Diseases subject to the infectious Diseases of Horses Order 1987;

30.1.3 diseases subject to the Specified Type Equine Exotic Diseases,

30.1.4 any disease added to 30.1.1, 30.1.2 or 30.1.3 in the future listed under Schedule 9, or

30.1.5 Equine Influenza

the Trainer must

30.1.6 observe any statutory requirements and also immediately make a report to the Authority's Office, and

30.1.7 not remove, or allow to be removed, any horse under his care or control from the premises until directed otherwise by the Authority.

30.2 Before giving a direction under Paragraphs 30.1.6 and 30.1.7, the Authority may obtain the advice of a Veterinary Officer, which is to be given in consultation with the Trainer's Veterinary Surgeon.

## **31. Prohibition on bringing horse affected with ringworm to a racecourse**

31.1 A Trainer must ensure that no horse under his care or control which he brings onto Racecourse Property is affected with any form of ringworm.

31.2 The Trainer must produce a certificate of non-contagiousness for any horse under his care or control which he brings onto Racecourse Property if it appears to be affected with any form of ringworm.

31.3 The certificate must be completed using the Prescribed form and signed by a Veterinary Surgeon. That Veterinary Surgeon must satisfy the following conditions:

31.3.1 The Veterinary Surgeon must not be:

31.3.1.1 the Owner of the horse or any person related to the Owner of the horse;

31.3.1.2 the Trainer of the horse or any person related to the Trainer of the horse; or

31.3.1.3 a Person shown in the Register of Stable Employee Names as being employed by the Trainer; and

31.3.2. The Veterinary Surgeon must be independent of the Owner and Trainer of the horse.

31.3.3 Where the Authority is not satisfied that the Veterinary Surgeon is independent of the Owner and the Trainer of the horse, it may reject any certificate of non-contagiousness. This Paragraph applies whether or not the Authority subsequently commences an enquiry to consider possible Disciplinary Action.

31.4 Any horse brought to the racecourse which appears to be affected with any form of ringworm may be withdrawn from any race by order of the Stewards.

## **32. Requirement to use official racecourse stables**

32.1 This Rule applies to any horse which

32.1.1 has been declared to run under Rule (F)89, and

32.1.2 has not been notified as a non-runner under that Part of that Manual.

32.2 Unless the Authority directs otherwise, the horse must be stabled in the official racecourse stables not less than 45 minutes before the advertised time of the race in which the horse is due to run.

32.3 The Stewards may decide not to take Disciplinary Action against a Trainer who fails to comply with Paragraph 32.2 if he satisfies them that the failure was due to circumstances which they consider to be acceptable.

32.4 Where a horse under the care or control of a Trainer is stabled in official racecourse stables on a day when it is not due to race, the Trainer is liable to Disciplinary Action if he or his representative

32.4.1 is requested to remove the horse from the stables, and

32.4.2 fails to do so by 10.00 a.m. on the day in question.

## **33. Restrictions applying in relation to a horse whilst on racecourse property**

33.1 This Rule applies where

33.1.1 a horse under the care or control of a trainer is on Racecourse Property for the purposes of running in a race, and

33.1.2 the Equine Welfare and Integrity Officers have commenced their duties.

33.2 Until such time as the horse has either run in the race or has been withdrawn, the horse must not leave Racecourse Property except for the purposes of

33.2.1 moving between the official racecourse stables and the racecourse, or

33.2.2 proceeding to and from any gallops which are not on Racecourse Property.

33.3 Subject to Paragraph 33.6, no substance may be administered to a horse (by injection, orally or any other method) other than normal feed and water offered by mouth unless a Veterinary Officer grants a special dispensation.

33.4 Where a horse is injured or ill

33.4.1 treatment may only be given by the racecourse Veterinary Surgeon, but

33.4.2 a Veterinary Officer may authorise the admission of the Trainer's Veterinary Surgeon, if available, to advise and assist with the treatment.

33.5 A general dispensation is granted to enable a Trainer or his employees to use a bulb syringe to administer water to a horse in small quantities, but the Authority may withdraw this dispensation generally or from specific Trainers or their employees.

33.6 Within two hours of the start time of a race in which the horse is declared to run, it is not permissible to stand a horse in ice or iced water, nor is it permissible to apply a cooling device to any part of the horse (including ice boots or bandages, or ice bags), unless a Veterinary Officer grants a special dispensation. The use of such treatments is permitted post-race, or following withdrawal from the race.

## **33A. Manipulative Therapy**

33A.1 On the day of the race in which the horse is declared to run, it is not permissible for the horse to receive Manipulative Therapy until such time as the horse has either run in the race or has been withdrawn.

33A.2 In this Rule, Manipulative Therapy includes physiotherapy, osteopathy, chiropractic and acupuncture.

## **34. Post-race reports of matters materially affecting a horse's performance**

34.1 Subject to Rule 35, a Trainer (or his representative) must make a report of anything that he considers might have materially affected the performance in the race of any horse trained by him.

34.2 Examples of matters that must be reported under this Rule include

34.2.1 horse bled from nose;

34.2.2 horse finished distressed;

- 34.2.3 horse lost shoe;
- 34.2.4 horse finished lame;
- 34.2.5 filly/mare in season;
- 34.2.6 horse gurgled (for example, by choking, choking up or swallowing its tongue);
- 34.2.7 suspected viral or other ailments;
- 34.2.8 not suited by going.

34.3 The Trainer must report to the Stipendiary Steward any horse which does not start with a declared tongue strap or loses its tongue strap during the race.

34.4 A Trainer who is required to make a report under this Rule may delegate the task of making it to the Rider.

34.5 A report under this Rule must be made as soon as possible after a race to a Steward, a Stipendiary Steward or a Veterinary Officer on the racecourse.

34.6 But if

34.6.1 a matter comes to the Trainer's attention only after the horse leaves the racecourse, and

34.6.2 might have a bearing on the past or future running of a horse,

the report must be made as soon as possible to the Authority's Disciplinary Department, a Steward, a Stipendiary Steward or a Veterinary Officer.

34.7 Where a report is made under this Rule

34.7.1 the Stewards or the Authority may require a Veterinary Officer to carry out an examination of the horse, and

34.7.2 the Trainer or his representative will, if possible, be made aware before any details are published of the contents of any report concerning a horse's welfare which is submitted by the Veterinary Officer.

34.8 Any report under this Rule which is made on the day of racing will be considered by the Stewards, posted on racecourse notice boards and handed to the press and, if the report relates to a horse which was prominent in the betting market, the report may be announced over the public address system.

34.9 Any report under this Rule which is made after the horse leaves the racecourse will be distributed to the press and published.

## **35. Avoiding duplication of post-race reporting**

35.1 The duty to make a report under Rule 34.1 does not apply where the matter

35.1.1 is reported to the Stewards by the Rider under Rule (D)49 (post-race reports to Stewards), or

35.1.2 is plainly obvious to the Stewards.

35.2 A Trainer must not instruct a Rider to ignore Rule (D)49 but, in any case where a Rider informs the Trainer that he intends to make a report

35.2.1 the Trainer may decide instead that he will make a report under Rule 34, and

35.2.2 if he does so, he must inform the Rider accordingly.

35.3 A Trainer must make a report under Rule 34.1 where

35.3.1 a Rider informs him under Rule (D)48 (making a report of gurgling by horse during a race) that the horse was gurgling during the race, and

35.3.2 the Trainer considers that the gurgling may have adversely affected the performance of the horse.

35.4 If a Trainer does not report the gurgling

35.4.1 the gurgling shall be regarded as having had no effect on the performance of the horse,

35.4.2 the information will not be made public, and

35.4.3 an explanation that the horse was gurgling will be accorded little weight if given at a Stewards' enquiry into the running and riding of the horse.

## **36. Other requirements relating to equine welfare**

36.1 In relation to any horse under his care or control, a Trainer must ensure that

- 36.1.1 if the horse is shod it is in accordance with the requirements of Paragraph 7 of Schedule (B)4,
- 36.1.2 all reins are stitched to, or fastened by, a buckle to the bridle apart from where an alternative method of attaching reins to bridles is one which has the approval of the Authority, and
- 36.1.3 all other equipment worn by the horse is in a serviceable condition and properly fitted.

36.2 When the declaration for a horse is verified in accordance with Rule (B)23 (verifying the declaration sheet), the Trainer or his representative must indicate whether he wishes the horse to be withdrawn

- 36.2.1 in the event that one of its plates is removed at the Start or is shed on the way to, or at, the Start, or
- 36.2.2 in the event that the tongue strap cannot be fastened or is shed on the way to the start.

36.3 Any request under Paragraph 36.2 will be noted on the list of declared runners and given to the Starter.

36.4 A request under Paragraph 36.2.1 will, unless the race declaration sheet states otherwise, be taken as referring only to plates on the horse's forelegs.

36.5 Other requirements relating to equine welfare that are contained in these Rules include

- 36.5.1 Part 4 makes provision about prohibited substances administered to a horse;
- 36.5.2 Rule (A)91 sets out Authority's general power to prohibit equipment used for racing;
- 36.5.3 in the Race Manual (B)
  - 36.5.3.1 Rules (B)53 and (B)54 make provision about dangerous, careless or improper riding, including misuse of whip;
  - 36.5.3.2 Rules (B)80 to (B)82 restricts the movement of injured horses and makes provision for humane destruction and post-mortem examination;
  - 36.5.3.3 Schedule (B)3 contains provisions which, on welfare grounds, restrict the circumstances in which a horse may run in a race (see, in particular, Paragraphs 6 (tubed horses), 7 (feed and water), 10 (equine influenza injections), 11 (neurectomy), 14 (number of races in one day), 15 (blood transfusions) and 16 (pregnant horses));
  - 36.5.3.4 Schedule (B)4 contains provision about raceday equipment (see, in particular, Paragraphs 7 (shoes), 8 (nasal dilators)9 (lip chains) and 11(bits));
- 36.5.4 Part (D)5 imposes certain duties on Riders (see, in particular, Rules (D)37 (whips), (D)45.3 and (D)45.4 (requirement to pull up when horse lame or injured) and (D)48 (rider's reports as to gurgling by horse)); and
- 36.5.5 Rules (F)97.3 and (F)97.4 disapply financial penalties for non-runners on production of satisfactory veterinary certification or self-certification.

### ***Entry and declaration stages***

## **37. Duties in determining horses to run in a race**

37.1 A Trainer must ensure that he does not declare or run a horse in any race for which it is not qualified under the conditions of the race or under any provision of these Rules.

37.2 A Trainer must ensure that the horse that runs in a race is the horse that was named at the time of entry.

## **38. Additional duties when horse trained outside Great Britain**

38.1 This Rule applies to any horse trained outside Great Britain and, in this Rule Scratching means the withdrawal of a horse from a race under Rule (F)85 or (F)95; Scratching Deadline means the stage that may be specified in the conditions of any race which closes more than six days before running, at which time a further stake payment will be incurred unless a scratching has been made before the specified deadline date and time.

38.2 Where the horse is entered for a race in which there is a scratching deadline

- 38.2.1 the Trainer must, unless a scratching is made, send to The Racing Calendar Office full details of any racecourse performances by the horse outside Great Britain or Ireland, and

38.2.2 if a declaration to run in the race is subsequently made for the horse, the Trainer must send to The Racing Calendar Office details of any performance subsequent to the date of the scratching deadline.

38.3 Where the horse is entered for a race in which there is no scratching deadline

38.3.1 the trainer must send to The Racing Calendar Office full details of any racecourse performances by the horse outside Great Britain or Ireland, and

38.3.2 if a declaration to run in the race is subsequently made for the horse, the Trainer must send to The Racing Calendar Office details of any subsequent performances.

38.4 Information required by Paragraph 38.2 or 38.3 must be sent directly or through the Trainer's Recognised Racing Authority and

38.4.1 for the purposes of Paragraph 38.2.1, it must be received by 12 noon on the date of the scratching deadline,

38.4.2 for the purposes of Paragraph 38.3.1, it must be received by the time determined in accordance Rule (F)76 for the closing of entries, and

38.4.3 for the purposes of Paragraph 38.2.2 or 38.3.2, it must be received by the time determined in accordance with Rule (F)89 for making a declaration to run.

### ***At the racecourse***

## **39. Access to official racecourse stables by trainer**

39.1 A Trainer must produce the appropriate identity document in order to enter any official racecourse stable.

39.2 Appropriate documents for the purpose of Paragraph 39.1 are

39.2.1 in the case of a Licensed Trainer or Permitted Trainer, the identity card issued to him by the Authority on the grant of his licence or permit,

39.2.2 in the case of any other Trainer, such document as the Authority may direct.

39.3 A Licensed Trainer or Permitted Trainer is liable to a financial penalty if he is unable to produce his identity card to enter official racecourse stables and he is, as a result, issued by a Equine Welfare and Integrity Officer with an authorisation to enter.

39.4 A fee is payable for the replacement of a lost identity card and the amount of the appropriate fee is specified in Schedule (A)1.

39.5 Any Trainer who enters official racecourse stables must comply with any directions given to him by the Authority and must also ensure the compliance of any stable employee of his who enters the stables.

## **40. Access to official racecourse stables by stable employees when on duty**

40.1 A Trainer may apply to the Authority for an identity card and validity pass in respect of any stable employee whose name is entered on the Register of Stable Employee Names.

40.2 The Trainer must keep the card and the pass in his possession at all times apart from when the stable employee is likely to be required to produce them in order to enter an official racecourse stable.

40.3 An identity card is valid until

40.3.1 the renewal date for the photograph (see the Prescribed form for details), or

40.3.2 the card is lost.

40.4 A validity pass expires

40.4.1 if issued in January or February of any year, at the end of February in the next year following;  
and

40.4.2 otherwise

40.4.2.1 at the end of February immediately following the date of issue, and

40.4.2.2 if the pass is renewed, at the end of February in each following year.

40.5 A Trainer is liable to pay a financial penalty if any of his stable employees

40.5.1 is unable to produce the identity card and validity pass to gain admission to official racecourse stables, and

40.5.2 is, as a result, issued by an Equine Welfare and Integrity Officer with an authorisation to enter.

40.6 Authorisation under Paragraph 40.5.2 will not be issued to a stable employee unless the Equine Welfare and Integrity Officer is satisfied that he is employed by the Trainer.

40.7 An application under this Rule for the issue of an identity card and validity pass, or for its renewal or replacement

40.7.1 must be made using the Prescribed form, and

40.7.2 must be signed by the trainer or his Authorised Agent.

40.8 A fee is payable for

40.8.1 the initial issue of the identity card and the validity pass,

40.8.2 any renewal of the card or the pass, and

40.8.3 any replacement of the card or the pass.

and the amount of the appropriate fee is specified in Schedule (A)1.

40.9 Where an application is made to the Authority, it may

40.9.1 grant the application,

40.9.2 grant it subject to conditions, or

40.9.3 refuse the application.

40.10 The Authority may cancel an identity card and validity pass in such circumstances as it considers appropriate.

## **41. Arrangements for access to official racecourse stables by hunters' steeple chase attendants**

41.1 In order to enter an official racecourse stable, any attendant of a declared runner in a Hunters' Steeple Chase which is trained privately by a Person without a licence or permit must

41.1.1 provide a suitable means of personal photo-identification for inspection by the Equine Welfare and Integrity Officer, and

41.1.2 sign the relevant form produced by the Officer.

41.2 Not more than three attendants will be given access to official racecourse stables.

## **42. Overnight racecourse accommodation for stable employees and horses**

42.1 In respect of any proposal by a Trainer that

42.1.1 his stable employees should use overnight accommodation at the racecourse, or

42.1.2 any horse should use the official racecourse stables overnight,

the Trainer must reserve appropriate accommodation by submitting to the racecourse a written application (such as the Racecourse Association Ltd's Overnight Stabling and Accommodation Booking Form).

42.2 The application must be submitted by 1.00.pm. on the day before racing.

42.3 No reservation may be made for a horse unless it is declared to run at the meeting or it is a traveller.

## **43. At the racecourse**

43.1 When a horse is being led on Racecourse Property

43.1.1 the horse must be fitted with a bridle or a headcollar fitted with a chifney in order to enable it to be properly led, and

43.1.2 stable employees may lead only one horse at any time.



43.2 Before the Rider weighs out, a Trainer must declare to the Clerk of the Scales any differences there may be from the racecard as respects

43.2.1 the weight his horse will carry, or

43.2.2 the colours to be worn by the Rider.

43.3 In relation to any horse trained by him, a Trainer must ensure that

43.3.1 the correct number cloth is carried and is clearly visible,

43.3.2 the horse carries at least the correct weight in accordance with the conditions of the race,

43.3.3 the horse leaves the paddock properly saddled,

43.3.4 the horse is properly saddled (which includes attachment of the weight cloth and allowing for girth adjustment to be made at the Start) when it leaves the Parade Ring or, in the case of an all weather track fixture, the place designated for mounting, and

43.3.5 all sheets or rugs are removed from the horse before going to the start of a race (including any worn by the horse whilst walking in a Parade).

43.4 In respect of any race where

43.4.1 the Authority has specified in the race conditions that an Approved Speed Sensing Device must be carried in the race, and

43.4.2 an Approved Speed Sensing Device is provided by the Racecourse Managing Executive,

the Trainer of each horse which starts in the race must ensure that the device is carried in the horse's number cloth.

43.5 Where a Rider hands a saddle to the Trainer or his representative after the Rider has weighed out

43.5.1 the Trainer must ensure that the saddle is not left unattended,

43.5.2 the Trainer may not remove any lead from the Rider's weight cloth unless the Rider presents himself to the Clerk of the Scales to be re-weighed, and

43.5.3 subject to Paragraph 43.5.4, the Trainer must not add to, remove from, or change any equipment with which the Rider has been weighed.

43.5.4 The Trainer may change the girth or surcingle if they do not fit.

43.6 A Trainer who assists in the loading of any horse into starting stalls must wear a skull cap.

43.7 **Approved Speed Sensing Device** means a speed sensing device that is approved by the Authority.

43.8 Where a Rider weighs in below the weight at which he weighed out by more than 1lb and the Stewards are unable to establish the cause of the discrepancy, the Stewards may take Disciplinary Action against any Rider, Trainer or both.

## **44. Additional responsibilities for apprentice and conditional jockeys**

44.1 A Trainer must ensure the fit condition of any saddle used by an Apprentice Jockey or Conditional Jockey employed by him.

44.2 A Trainer or his representative must be present when an Apprentice Jockey or Conditional Jockey who is riding for him is weighed out for a race.

44.3 A Trainer must ensure that each Apprentice Jockey or Conditional Jockey riding for him

44.3.1 is aware that he must have his girths checked at the start,

44.3.2 is aware that he must report any concerns that he may have to the Starter or his Assistant, and

44.3.3 otherwise complies with all requirements as to equipment which are imposed by Rules (D)36 to (D)39.

44.4 A Trainer must ensure that each Apprentice Jockey riding for him in a flat race is aware that he must ensure that the blindfold has been removed from the horse before the start of the race.

44.5 Where an Apprentice Jockey or Conditional Jockey fails to comply with any provision of

44.5.1 Rule (D)36 (safety vests, skull caps and saddles), or

44.5.2 Rule (D)37 (whips used for racing),

the Trainer shall be taken to have contravened a requirement imposed on the Trainer by these Rules.

44.6 A Trainer must ensure that an Apprentice Jockey or Conditional Jockey employed by him

44.6.1 arrives at any meeting where he is declared to ride, and

44.6.2 acquaints himself with every course on the first occasion that he rides there and the stewards will not consider this requirement to have been met unless the Trainer has ensured that he has walked the course.

## **45. Duty to secure the best possible placing**

45.1 A Trainer must give, or cause to be given, to the Rider of any horse trained by him such instructions as are necessary to ensure the horse runs on its merits.

45.2 Instructions must, among other things, cover the use of the whip when employing an Apprentice Jockey or Conditional Jockey.

45.3 A Trainer must not send any horse to race with a view to schooling or conditioning the horse.

45.4 A Trainer shall be liable to Disciplinary Action

45.4.1 in the event of any failure to comply with Paragraph 45.1, 45.2 or 45.3;

45.4.2 in the event that an instruction is given to the Rider which, if obeyed, could or would lead to a contravention of Rule (B)54 (careless or improper riding) with regard to misuse of the whip; or

45.4.3 in the event that the Rider is found to have intentionally failed to ensure that his horse is run on its merits, including any case where the Rider was found to have been schooling or conditioning the horse.

45.5 The Stewards or the Authority may decide not to take Disciplinary Action against a Trainer under Paragraph 45.4.3 where the Trainer satisfies the Authority

45.5.1 that the Rider was given appropriate instructions under Paragraph 45.1, but

45.5.2 that he failed to comply with them.

## **46. Authorised Trainer's Representative**

46.1 A Licensed Trainer or Permitted Trainer who is unable to attend a race meeting at which he has a horse running, must authorise another person to represent him on the racecourse and instruct him so that he complies with Paragraph 46.2.

46.2 This person must

46.2.1 attend Stewards enquiries on the Trainer's behalf into any matter appertaining to the Trainer,

46.2.2 know the riding instructions that the Trainer gave to the Rider under Rule 45, and

46.2.3 be able to inform the Stewards whether the Rider has complied with such instructions.

46.3 Failure by a Trainer to inform his representative of the instructions given to the Rider will not preclude the Stewards from making a finding of a breach of Rule 45.1.

## ***Miscellaneous***

## **47. Cases of suspected doping etc**

47.1 Subject to Paragraph 47.2, If a Trainer has reason to believe that a horse under his care or control has been 'got at' in any way, he must by telephone immediately inform the Authority's Integrity Legal and Risk Department.

47.2 Where, on arrival at a racecourse, a Trainer finds his horse is unable to run in a race and reasonably considers that it has been 'got at', he must immediately inform the Equine Welfare and Integrity Officer.

47.3 Samples taken from the horse by the Veterinary Officer will be forwarded to the Official Analyst at the Approved Laboratory by the Integrity, Legal and Risk Department and no fee will be charged where such sampling occurs before the race.

## **48. Schooling horses for all types of start**

48.1 A Trainer must ensure that any horse trained by him is properly schooled for all types of start.

48.2 In relation to starting stalls, a horse shall be taken to be properly schooled only if

48.2.1 it has experience of being blindfolded before its first appearance on a racecourse,

48.2.2 it loads into the stalls without hesitation (if necessary, no more than two pushers should be required),

48.2.3 it is capable of standing in stalls with a horse either side for a minimum of two minutes, and

48.2.4 it is capable of standing alone in the stalls for two minutes.

48.3 On the first occasion when a horse trained in Great Britain is declared to run in a race where starting stalls are to be used

48.3.1 a Trainer who requires any special arrangements to be made at the start must either speak directly with the Starter or submit a signed request for those arrangements via his representative, and

48.3.2 a Trainer must inform the Starter before the race if he is running a horse with specific idiosyncrasies of behaviour and gait which might lead the Starter to consider withdrawing it from the race.

48.3.3 Deleted.

48.4 Deleted.

48.5 When a horse runs on a second or subsequent occasion any request for special arrangements or for a Person to be present at the start must be confirmed by the Stewards.

48.6 On the first occasion when a horse trained outside Great Britain is entered for a flat race in Great Britain, the Trainer must make arrangements with the Racing Authority of the country in which the horse is trained (or has been trained) with a view to obtaining the observations of the Racing Authority's Senior Starter as to the horse's behaviour at the start.

48.7 The information referred to in Paragraph 48.6 in respect of a race should be received at the Authority's Office (Disciplinary Department) before the time determined in accordance with Rule (F)89 for making a declaration to run in the race and, if it is not received before then

48.7.1 no special arrangements may be made at the start for the horse, and

48.7.2 if the horse proves difficult at the start and the Authority considers it appropriate to do so, the Authority may

48.7.2.1 refuse the horse entry to further races, and

48.7.2.2 refuse entry for other horses trained by the same Trainer.

48.8 Schedule 5 sets out procedures applying to stalls tests, including provision for a certificate of a satisfactory test, sampling on presentation for test in certain circumstances, financial penalties, other Disciplinary Action and Pre-Race Assessments.

## **49. Other requirements applying to trainers**

49.1 A Trainer must, in particular, make himself familiar with and comply with all other requirements of these Rules that apply to him directly.

49.2 For example (in addition to those mentioned in Rule 36.5)

49.2.1 Part (A)4 imposes duties and prohibitions that apply to all Persons subject to these Rules;

49.2.2 in the Race Manual (B)

49.2.2.1 Part (B)2 makes provision as to a horse's qualification for entry and running in a race, declarations by the Trainer in preparation for a race, weighing out procedures, late changes of Rider and procedures after weighing out;

49.2.2.2 Part (B)3 makes provision about the start of a race;

49.2.2.3 Part (B)4 makes provision about the race; and

49.2.2.4 Part (B)8 imposes a general duty to comply with instructions given by Stewards at a race meeting;

49.2.3 in Part (E)2

49.2.3.1 Chapter (E)3 contains requirements as to the identity and vaccination of horses, and

49.2.3.2 Chapter (E)4 sets out procedures for racing outside Great Britain.

49.3 A Trainer must fully co-operate with, and ensure that his employees co-operate with, any enquiries carried out by the Authority or the Stewards.

49.4 This Rule is without prejudice to the general provisions as to compliance with, and deemed knowledge of, these Rules, as specified in Rule (A)2 (persons subject to the Rules).

## **PART 4 - Deleted**

**50. Deleted**

**51. Deleted**

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**61. Deleted**

**62. Deleted**

**63. Deleted**

## **PART 5 - MISCELLANEOUS**

### **64. Restrictions on laying a horse to lose**

64.1 A trainer must not

- 64.1.1 lay with a Betting Organisation any horse under his care or control to lose a race,
- 64.1.2 instruct another Person to do so, or
- 64.1.3 receive the whole or any part of any proceeds of such a lay.

64.2 A Person whose name is or has been entered on the Register of Stable Employee Names must not

- 64.2.1 lay with a Betting Organisation any horse under the care or control of the trainer for whom he is employed to lose a race,
- 64.2.2 instruct another Person to do so on his behalf, or
- 64.2.3 receive the whole or any part of any proceeds of such a lay.

64.3 Paragraph 64.2 applies for the whole of the period of employment and for the period of 21 days afterwards.

64.4 Any reference to a Person laying a horse to lose includes any single instance of doing so, whether or not the single instance was, or was intended to be, one of a series of betting arrangements.

64.5 Nothing in this Rule prevents the laying of any horse owned by a Betting Organisation in the ordinary course of that Betting Organisation's business.

### **65. Trainer who also holds a rider's licence: restrictions on riding**

65.1 Any Trainer who also

- 65.1.1 holds a jockey's licence or amateur rider's permit granted by the Authority, or
- 65.1.2 is authorised to ride by a Recognised Racing Authority,

must not ride in any race in which another horse trained by him is also running or in which he is riding for another Trainer.

65.2 Paragraph 65.1 does not apply to a Permitted Trainer in relation to any race which is a Hunters' Steeple Chase, the Grand Military Gold Cup or the Royal Artillery Gold Cup.

### **66. Suspending horses from running**

66. Schedule 8 makes provision in relation to suspending and assessing horses that may be a risk to themselves, other horses or Riders during the course of a race.

### **66A. Payment for non-training services**

66A.1 Nothing in these Rules shall prohibit a Trainer from accepting or agreeing to accept consideration for

- 66A.1.1 the advertising or promotion of goods and/or services, or
- 66A.1.2 the provision of views or information for general publication.

66A.2 If a Trainer enters into an arrangement with a Betting Organisation in connection with the advertising or promotion of goods and/or services, or the provision of views or information for general publication, he must notify the Authority of

- 66A.2.1 the identity of the Betting Organisation,
- 66A.2.2 the start date and end date of the arrangement,
- 66A.2.3 a summary of the services provided by the Trainer under such arrangement, and
- 66A.2.4 all benefits received by the Trainer under such arrangement.

as soon as reasonably practicable.

66A.3 A Trainer must notify the Authority of any amendment to, or the early termination of, an arrangement with a Betting Organisation in connection with the advertising or promotion of goods and/or services, or the provision of views or information for general publication as soon as reasonably practicable.

## **PART 6 - SUPPLEMENTARY**

### **67. Notices, directions and other documents**

67. Except where these Rules provide otherwise, Rules (A)105 (the giving of notices etc), (A)106 (the giving of notices etc in electronic form) and (A)107 (deemed service of documents) have effect in relation to any notices, directions or documents which are authorised or required to be given or sent under the provisions.

### **68. Computation of time**

68. Unless the context otherwise requires, when the specified period for doing any act at the Authority's Office ends on a day on which the office is closed, that act will be done in time if done by 5.00 pm on the next day on which the Authority's Office is open.

### **69. Arrangement of Rules into Manuals**

69.1 These Rules are made up of the following Manuals

The General Manual (A)

The Race Manual (B)

The Trainer Manual (C)

The Rider Manual (D)

The Horse and Owner Manual (E)

The Race Administration Manual (F)

69.2 Each Manual is of equal standing and the fact that these Rules are divided into Manuals does not affect the weight of any requirements specified in each Manual.

### **70. Meaning of licensed trainer, permitted trainer and trainer**

70.1 In this Manual, unless the context otherwise requires

Licensed Trainer means a Person who holds a trainer's licence granted by the Authority under Part 2;

Permitted Trainer means a Person who holds a trainer's permit granted by the Authority under Part 2.

70.2 In Parts 3 to 5, Trainer (without more)

70.2.1 means any Person who holds a licence or permit to train which is granted by the Authority or whose authorisation by a Recognised Racing Authority corresponds to such a licence or permit; and

70.2.2 includes any Person who is treated as a trainer in accordance with Rule 1.2.

### **71. Meaning of rider**

71. Unless the context otherwise requires, any reference in this Manual to Rider (without more) is to

71.1 a Jockey,

71.2 a Person who holds an amateur rider's permit granted by the Authority, or

71.3 an Overseas Rider,

who is not suspended from riding by the Authority or by a Recognised Racing Authority.

### **72. References to jockeys**

72.1 In this Manual, unless the context otherwise requires, Jockey

72.1.1 means a Person who holds a jockey's licence granted by the Authority, and

72.1.2 includes an Apprentice Jockey or a Conditional Jockey.

72.2 For these purposes

**Apprentice Jockey** means a Person who holds an apprentice jockey's licence granted by the Authority (see Rule (D)3.4);

**Conditional Jockey** means a Person who holds a conditional jockey's licence granted by the Authority (see Rule (D)3.4).

### **73. References to other types of rider**

73.1 In this Manual, unless the context otherwise requires, Overseas Rider

73.1.1 means a Person who is authorised by a Recognised Racing Authority to ride under the rules of that Racing Authority (whether by grant of a licence, permit or otherwise), but  
73.1.2 does not include a Person who also holds a jockey's licence or an amateur rider's permit granted by the Authority.

73.2 In this Manual, unless the context otherwise requires

**Amateur Rider** means

73.2.1 a Person who holds an amateur rider's permit granted by the Authority, or  
73.2.2 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to such a permit and who rides in a race under these Rules;

**Professional Rider** means

73.2.3 a Jockey, or  
73.2.4 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to a jockey's licence granted by the Authority and who rides in a race under these Rules.

## 74. Definitions

74.1 Definitions of

74.1.1 terms used in only one Rule are set out in that Rule,  
74.1.2 terms used in only Part 4 of the Manual are set out at the beginning of that Part, and  
74.1.3 terms used in more than one Part of the Manual are set out in Rules 70 to 73 and in the following provisions of this Rule.

74.2 In this Manual, unless the context otherwise requires

**Authorised Agent** means

74.2.1 in the case of a recognised company, means the registered agent of the company under Rule (E)41 (recognised company to act through registered agent), and  
74.2.2 otherwise, means any person authorised by the Authority to act as agent or sub-agent for another person in exercise of the Authority's powers under Rule (A)94;

**the Authority** means the British Horseracing Authority;

**the Authority's Office** means the office for the time being appointed by the Authority as the office of the British Horseracing Authority (the present address is 75 High Holborn, London, WC1V 6LS);

**Betting Organisation** means

74.2.3 any bookmaker,  
74.2.4 the Tote,  
74.2.5 any company offering spread betting on horseracing or person-to-person betting exchanges on horseracing, and  
74.2.6 the employees of any such organisation;

**Clear Day** means, in determining the number of days:

74.2.6A The day on which the period begins; and  
74.2.6B If the end of the period is defined by reference to an event, the day on which that event occurs

are excluded.

**Clear Working Day** means, in determining the number of days:

74.2.6C The day on which the period begins; and  
74.2.6D If the end of the period is defined by reference to an event, the day on which that event occurs; and



74.2.6E Saturday, Sunday, Bank Holiday, or day on which the Authority's office is not open for non-automated commercial business

are excluded.

**Disciplinary Action** means any action taken by the Authority under Part (A)6 or by the Stewards under Part (B)1;

**Disqualified Person** means a person who is for the time being a disqualified person pursuant to

74.2.7 these Rules,

74.2.8 any Rules of Racing previously in force,

74.2.9 the Authority's Regulations for Point-to-Point Steeple Chases, or

74.2.10 the Authority's Regulations for Arabian Horse Racing;

**Equine Welfare and Integrity Officer** means a integrity officer for a race meeting who acts on behalf of the Authority;

**Forfeit List** means the list of arrears maintained by the Authority under Rule (A)87;

**Hunters' Steeple Chase** means a weight-for-age steeple chase which is confined to amateur riders and to horses certified by a Master of Hounds to have been hunted;

**National Hunt Flat Race** means a race for horses which at starting have not run under any recognised Rules of Racing except in national hunt flat races held under these Rules or in Irish national hunt flat races or in French AQPS races (and, by virtue of race conditions, no horse aged more than 7 years will be eligible to start in a national hunt flat race);

**Person** includes a body corporate;

**Prescribed** means prescribed by the Authority;

**Racecourse Managing Executive** means the person who holds a racecourse licence granted by the Authority under Part (F)2;

**Racecourse Property** means any property owned, used or controlled by the racecourse managing executive;

**Racing Administration Internet Site** means the internet based administration service provided by the Authority;

**The Racing Calendar Office** means the office for the time being appointed by the Authority as The Racing Calendar Office (the present Racing Calendar Office is at Weatherbys, Sanders Road, Wellingborough, Northamptonshire, NN8 4BX);

**Recognised Company** means a company which is for the time being registered in the register of Owners under Rules (E)39 to (E)46;

**Recognised Racing Authority** means a racing authority of a country which is for the time being recognised by the Authority under Rule (A)93;

**Register of Stable Employee Names** means the register of the names of employees of a trainer, which is maintained by the Authority under Part (A)3 (licences, permits and registration);

**Registered Agent**, in relation to a recognised company, means an agent for the company who is for the time being registered under Rule (E)41;

**these Rules** means all the Rules of Racing, including provisions which are contained in any other Manual (see Rule 69);

**Stable Security Officer** means a security officer for a race meeting who acts on behalf of the Authority;

**VAT** means value added tax for the time being in force;

**Veterinary Officer** means a registered veterinary surgeon engaged by the Authority;

**Veterinary Surgeon** means any qualified veterinary practitioner appropriately registered to practice.

74.3 Words importing the masculine gender include the feminine.

74.4 The singular includes the plural (and vice versa).

## 1 - Preamble

### MEMORANDUM OF AGREEMENT BETWEEN THE NATIONAL TRAINERS FEDERATION & THE NATIONAL ASSOCIATION OF STABLE STAFF

#### PREAMBLE

1. The Agreement provides for a Racing Industry Minimum Rates of Pay Structure and certain standard conditions of employment for stable staff employed by trainers in the racing industry. The Agreement is effective from 10th December 2018 with an amended rate for scales 1 - 2: 18 to 20 year olds and scale 3: 16 to 20 year olds from 1st April 2019 and an increase to the rate for time away racing to £8.21 from 1st April 2019.

## 2. Racing Industry Minimum Rates 2018/19

The Government National Minimum is taken into account and there are different minimum rates depending on age in Scales 1 - 3. Scale 4 upwards is not age related. Set out below are the minimum rates for a 40 hour week. It is likely that within any one yard, there would be progressive differentials in pay between staff members in Scales 4 to 6.

Note : NVQ 3 is equivalent to Level 3 Diploma in Work Based racehorse care and management, NVQ2 is equivalent to Level 2 Diploma in Work Based racehorse care and management and NVQ1 is equivalent to Level 1 Diploma in Work Based Horse Care or Work Based racehorse care and riding.

Scale	Description	Pay Band
<b>Minimum Rates for 40 hour basic week</b>		
Scale 1 Trainee	For those with no experience or limited experience in horse racing.  It is unlikely that people in this role will have qualifications higher than NVQ1 or equivalent.	Age 16/17 ? £178.00 upwards (£4.45 per h) Age 18 to 20 - £245.60 upwards (£6.14 per h) Age 21 to 24 - £308.40 upwards (£7.71 per h) Age 25 and over - £331.60 upwards (£8.29 per h)
Scale 2 Improver	People on this scale are likely to have some experience and have NVQ2 or equivalent skills.	Age 16/17 - £212.99 upwards (£5.32 per h) Age 18 to 20 - £245.60 upwards (£6.14 per h) Age 21 to 24 - £308.40 upwards (£7.71 per h) Age 25 and over - £331.60 upwards (£8.29 per h)
Scale 3 Rider/Groom/ Yard Person		Age 16 to 20 - £245.60 upwards (£6.14 per h) Age 21 to 24 - £308.40 upwards (£7.71 per h) Age 25 and over - £331.60 upwards (£8.29 per h)
Scale 4 Senior Rider/Groom/ Yard Person	People on this scale may hold NVQ3 or equivalent.	£339.20 upwards (£8.48 per hour)
Scale 5 Skilled Rider/Specialist Yard Person	People on this scale: May have previously held a professional jockey licence, are likely to have exceptional riding skills, to be capable of breaking and/or schooling young horses, capable of supervising equine swimming pool and similar facilities, have first aider and/or health and safety supervision duties.	£346.80 upwards (£8.67 per hour)
Scale 6 Supervisory staff/senior management	This scale is likely to include head lad, travelling head lad or other supervisory/management roles	£368.00 upwards (£9.20 per hour)

## 4. Overtime (in the yard)

Overtime for time worked in the yard will be paid at the rate of time and one half for each hour worked outside of normal finishing times Monday to Saturday inclusive (outside of the 2 hours allowed for within the consolidated wage).

Stable staff who have been absent part of the week through sickness will not be required to work 40 hours before

receiving overtime.

## **8. Overnight**

Stable staff will receive a £15.00 overnight allowance. This is tax free. It is not payable for days when the abroad payment is paid.

## **9. Racing abroad**

Racing staff who go racing abroad will receive the appropriate hourly payment for time worked away from the yard in excess of their normal daily working hours at the rate specified in paragraph 5.1. These payments are liable for tax and National Insurance deductions and should be put through the payroll.

9.1 In addition, racing staff will also receive a Racing Abroad Payment of £30.00 per day (£21.00 of this allowance can be paid tax free).

The HMRC does not set a tax free amount for payment to staff who go abroad with their horses because expenses can vary significantly according to the country visited. However, it is agreed that provided staff are asked to make some sort of basic written claim stating the amounts they have spent, those amounts can be paid tax free by the employer, if the employer considers them to be reasonable. Receipts should be kept to support claims.

## **11. Designated Saturday evening fixture**

Staff who go racing to a Saturday evening fixture when they would not otherwise have been working that Saturday afternoon, are entitled to receive a paid weekday evening off in lieu, the weekday evening to be mutually agreed between the parties.

## **15. Bereavement Leave**

The purpose of bereavement leave is to ensure that racing staff who suffer bereavement in their family are able to attend the funeral and deal with family and legal matters without the additional hardship of losing money. Racing staff shall be granted up to a maximum of five working days absence payable at the relevant consolidated wage in the event of the death of a spouse, civil partner, child, brother, sister or parent or other relation for whom they provide care at the discretion of the employer.

In the event that five days is insufficient or that a serious family event has occurred which has not resulted in bereavement, the employer may at their discretion negotiate a period of unpaid leave to enable the outstanding personal matter to be dealt with.

## **16. Absence during sickness or accident**

Racing staff who are off work as a result of sickness or accident (except where an accident outside of work has been caused in the employer's reasonable opinion by the employee being involved in fighting, drunken behaviour or abuse of drugs) and who have been with the current employer at the commencement of the sickness absence for six months or more will receive from their employer their usual weekly wage (to include statutory sick pay if eligible) for a period of one month in any one year, such sick pay payable in the case of sickness absence from the fourth day of absence\* and in the case of absence due to an accident at work from the first day of absence.

Racing staff with less than six months service will receive SSP only, if eligible. The six month qualification period shall not apply to an employee sustaining an accident at work.

\*The three waiting days for sickness absence will not apply to a second period of illness linked to the first absence where such periods of absence would be linked for SSP purposes.

## **3. Hours of Work**

The normal full time week is 40 hours (excluding meal breaks). There is no set pattern on how a yard should work these hours, and provided that the 40 hours are spread over a five and one half days period the operation of these hours shall be accepted in contract form.

3.1 In planning the working week, employers must have regard to the Working Time Regulations - further information on these is available in the BHA Health and Safety Manual (the Red Book).

3.2 Having regard to the nature and requirement of the industry, stable staff shall work during weekends subject to their right to one weekend in two free from duties on a rota basis. Variations of this arrangement can be made provided it is agreed domestically.

3.3 Working Time legislation limits the maximum working week for 16 and 17 year old workers to 8 hours a day

and 40 hours a week so young workers cannot work the consolidated week. There are certain permitted exceptions whereby the limit may be exceeded - these will rarely apply. Further guidance on the legislation and exceptions is available for NTF members in the NTF employment guide and from the NTF office.

3.4 For adult workers (those aged 18 and over) their working time should not exceed an average of 48 hours for each seven days applied over the reference period. By collective agreement between the NTF and NASS, the reference period is 52 weeks. Individual employees whose working time is likely to exceed an average of 48 hours over 52 weeks can be excluded from the weekly limit provided they sign an opt out agreement. Further information is available in the BHA Health and Safety Manual.

Time when a worker is travelling on the business of his employer in connection with duties carried out by the worker in the course of work is treated as working time whether or not the travelling takes place during his working hours.

5.1 Racing staff are to be paid for time worked away from the yard outside of normal hours at the following rates £7.83 for all stable staff regardless of age.

From 1st April 2019, this hourly rate increases to £8.21.

5.2 Time away from the yard within the normal daily working hours is paid at the normal rate of pay.

5.3 These payments are liable for PAYE and National Insurance deductions and should be put through the payroll.

5.4 If locally adopted rates are used then the hourly rate paid must meet or exceed the hourly rates set out in this agreement. It is accepted that employees of yards close to racecourses are unlikely to incur meal expenses when racing at their local course and as such the daily subsistence allowance will not apply to such employees. This is likely to mainly apply to Newmarket staff with runners at Newmarket and Epsom staff with runners at Epsom.

## 6. Daily allowances (Monday to Saturday)

A daily subsistence allowance is to be paid to staff going racing Monday through to Saturday.

There is a tax free element to these allowances as set out below. The allowances may be paid in cash in advance to enable staff to buy refreshments but tax must be paid on the non-tax free element. The rate of daily subsistence allowance is based on the number of hours away from the yard outside of normal working hours.

Where a payment is tax free, it is also NI free.

\*Note by an agreement with HMRC the full amount of these payments (£10 and £13.50) can be now be paid tax free provided the employer complies with revised HMRC requirements in place since 6th April 2016. To meet these requirements the employer must apply to HMRC to use the racing industry bespoke payments and have a checking system to check around 10% of expenses claims to ensure they are being properly incurred, namely that the employee has gone racing and incurred expenses.

Number of hours away from yard outside normal working hours	up to 8 hours	8 hours or more
Daily Subsistence Allowance	£10	£13.50
Tax free element	£10*	£13.50*

## 7. Sunday Racing and Sunday Racing Payment

The deployment of racing staff to cover designated Sunday racing fixtures and work in the yard will be determined by the trainer in consultation with the racing staff. However, where staff would not otherwise have been working on that Sunday are asked to go racing or to cover work in the yard, it will be on a voluntary basis.

7.1 The payment for time worked away from the yard (not already paid in the employee's normal wages) shall be paid at the rate specified in paragraph 5.1. See paragraph 12 for compensatory time off.

7.2 It is recognised that racing on a Sunday involves some disruption of free time. To compensate for this, racing staff who go racing on a Sunday fixture in Great Britain will receive a Sunday Racing Payment of £30.00 (note, £12 of this allowance can be paid tax free).

## 12. Travelling on Sunday

Staff who are travelling on a Sunday to race on a weekday, when they would not otherwise have been working that Sunday, are entitled to receive a paid day off in lieu, the day off to be mutually agreed between parties.

## 13. Racing on Sunday

Staff who go racing on a Sunday or who are racing abroad on a Sunday when they would not otherwise have

been working that Sunday, are entitled to a paid alternative day off at the relevant rate. The arrangement of this day off will be at the discretion of the trainer in consultation with the racing staff so that the day is taken within a rolling reference period of twelve months.

## **14. Holidays**

The holiday year will be either 1st January to 31st December or 1st July to 1st June. The trainer will determine which is the most appropriate for each yard. Each year will stand on its own and cannot be carried over (see clause 14.6).

### **Holiday entitlement**

Stable staff are entitled to:

#### **14.1 Part time workers**

##### **Part-time workers**

14.1 Part-timers holiday entitlement will be the same as full time workers on a pro rata basis and paid at their usual rate (part-timers are defined as persons who work less than 40 hours per week).

Part-time workers holiday entitlement increases in line with length of service as for full time workers.

##### **Arrangements for taking holidays and holidays at termination**

14.2 Holidays will be taken at times to be mutually agreed and will have regard to what is practice in the local circumstances.

14.3 Employees who have been given notice, or who have given notice, can be required to take their holiday entitlement during the period of notice and this will be effective even where the employer is unable to give the employee statutory notice of the requirement to take holiday. In the case where racing staff have holiday entitlement which exceeds the period of notice, they will be paid for the balance of their entitlement.

On termination of employment, racing staff should be paid for any holiday accrued in the current holiday year to the date of termination and not taken. Any part of the annual holiday entitlement that has already been taken at the point of termination of service shall be deducted when calculating the holiday pay entitlement as referred to in paragraph 16.1.

##### **Holiday accrual and calculations**

14.4 There is a holiday calculator on the NTF website which may be of assistance particularly for calculating the holiday of part-time workers.

##### **30 days holiday**

â€ where the employee is entitled to 30 days holiday per annum this entitlement accrues at 2.5 days per completed month pro rata from the date of starting to the end of the holiday year and pro rata for part month worked. The daily rate of accrual is 0.082 so for a part month worked, the number of days in that month should be multiplied by 0.082 to calculate the holiday entitlement, i.e. employee leaving on 15th of the month,  $0.082 \times 15$ , 1.23 days holiday accrued for that part month.

##### **32 days holiday**

â€ where the employee is entitled to 32 days holiday per annum this entitlement accrues at 2.66 days per month pro rata from the date of starting to the end of the holiday year and pro-rata for part month worked. The daily rate of accrual is 0.087 so for a part month worked, the number of days in that month should be multiplied by 0.087 to calculate the holiday entitlement, i.e. employee leaving on 15th of the month,  $0.087 \times 15$ , 1.3 days holiday accrued for that part month.

##### **34 days holiday**

â€ where the employee is entitled to 34 days holiday per annum this entitlement accrues at 2.83 days per month pro rata from the date of starting to end of the holiday year and pro-rata for part month worked. The daily rate of accrual is 0.093 so for a part month worked, the number of days in that month should be multiplied by 0.093 to calculate the holiday entitlement, i.e. employee leaving on 15th of the month,  $0.093 \times 15$  days, 1.39 days holiday accrued for that part month.

Annual holiday will be calculated on the consolidated wage.

##### **Bank Holidays**

14.5 Bank and public holidays are included in the holiday entitlement set out at paragraph 16.

Where an employee works on a public holiday an alternative day will be taken to be mutually agreed or if an alternative day is not taken an additional day's pay will be paid up to a maximum of 2 days (pro-rated for part timers and in respect of incomplete holiday years in the first year of employment)

### **Carry over - Sickness absence and maternity/adoption leave periods**

14.6 In certain circumstances where it is not possible for an employee to take their holiday entitlement during the current holiday year due to sickness absence, the entitlement to the holiday which can be carried over will be reviewed at the time in the light of the current legislation at the relevant time.

16.7 Contractual and statutory annual leave will accrue during maternity/paternity and adoption leave periods and will carry over where it cannot be taken in the current holiday due to the employee being on maternity/paternity or adoption leave.

## **17. Racing Industry Accident Benefit Scheme**

Racing staff who are off work as a result of accidental injury arising out of and whilst carrying out duties for a licensed trainer including bona fide journeys between normal place of residence and place of work shall receive from their employer their usual weekly wage pro rata for a period of one month's injury absence in any one year including the first three days of absence. A claim for benefit should be made as soon as possible to the Racing Industry Accident Benefit Scheme (RIABS) within three months of the accident. The scheme does not cover race riding accidents or accidents which occur whilst on or travelling to and from a racecourse when engaged to ride (in this instance refer to the Professional Riders Insurance Scheme (PRIS) tel. 01935 891974 info@pris.org.uk (PRIS contact details updated 1st December 2017))

17.1 Paid full or part-time racing staff of licensed and permitted trainers who are aged between 16 and 65 years and registered with the British Horseracing Authority will have deducted £2.62 from their net wage per week of employment as a contribution to RIABS. For trainees at the BRS or the NRC who were pre-employed by a trainer, the trainer will pay both the trainer's and employee's RIABS premium whilst the employee is attending the BRS or NRC.

17.2 From 1st April 2019, contributions to the Racing Industry Accident Benefit Scheme (RIABS) is £3.00 per week.

17.3 Injury benefit is payable for a maximum period of up to 104 weeks from the established date of the accident, if the accident has been declared by the claimant's employer. The amount of benefit (subject to an overall maximum of £400 per week) is the difference between the claimant's pre-accident net wage and all statutory benefits receivable by the claimant as a result of the accident. RIABS claim forms must be submitted within three months of the date of the accident giving rise to the claim.

17.4 In the event of death, partial disability or being permanently and totally disabled (from working in a stable or any other occupation), the benefits as set out in the RIABS scale of benefits will be paid up to £154,500. The cover is extended to include dental expenses to a limit of £5,000 arising out of accidental injury to sound, natural teeth as a direct consequence of duties involving horses.

## **18. PPE and clothing**

Trainers are recommended to assist racing staff in the purchase of working clothes such as jodhpurs and jodhpur boots if requested to do so and to arrange repayment in weekly instalments, such repayment agreement to be recorded in writing and signed by the employee.

Racing staff may be entitled to tax relief for work clothing - a form is available on the NASS website.

Skull caps and safety vests are personal protective equipment and should be provided free of charge by the employer. These items remain the property of the employer.

## **19. Procedures in the case of disputes**

The procedures to be adopted for the resolution of disputes at yard level and disciplinary and appeal procedures are set out in the Memorandum of Agreement between the NTF and NARS on the Resolutions of Disputes and the Agreement between the NTF and NARS on Discipline and Appeal Procedures.

## **20. General**

Where racing staff are already in receipt of a wage or pension in excess of the relevant minimum rates established by this Agreement, it is a matter for the trainer's discretion whether to maintain existing differentials. Where better conditions exist and stable staff are in receipt of higher wages and/or conditions, then these

particular stable staff will not have their wages and/or conditions reduced to the minimum rates shown above.

## **21. Operation**

This agreement operates from 10th December 2018.

Disputes on the interpretation of this Agreement will be determined in the NJC.

## **Schedule 2 - General duties as to stable employees**

### ***Employment and registration of persons working in stables***

1.1 Before a Licensed Trainer or Permitted Trainer employs a Person with previous employment in another training stable, he must

- 1.1.1 refer to the last Trainer to employ him, and
- 1.1.2 receive a reply from that Trainer.

1.2 A Trainer must make an application to the Racing Calendar Office for a Person's name to be entered on the Register of Stable Employee Names where

- 1.2.1 he decides to employ that Person in his stable, or
- 1.2.2 that Person has regular access to or involvement in his stable, subject to the exceptions in Paragraph 1.2.3.
- 1.2.3 Paragraph 1.2.2 does not apply to
  - 1.2.3.1 service providers; or
  - 1.2.3.2 Owners, unless they have duties in the stable.

1.3 An application under Paragraph 1.2 must

- 1.3.1 be made using the Prescribed form (SER1),
- 1.3.2 be signed by the stable employee and the Trainer (or his Authorised Agent), and
- 1.3.3 be sent within 24 hours of the start of employment.

1.4 The Trainer must either include the stable employee's permanent UK National Insurance number when he completes the Prescribed form (SER1) or must notify the Racing Calendar Office of the number as soon as it has been received from the employee.

1.5 Where a stable employee's employment has ended, the Trainer (or his Authorised Agent) must, using the Prescribed form (SER3), notify the Racing Calendar Office

- 1.5.1 immediately if the stable employee is an Apprentice Jockey or a Conditional Jockey, and
- 1.5.2 otherwise, before the end of the period of seven days starting with day after that on which the employment ended,

and return any identity card and validity pass issued under Rule 40 in respect of the employee.

1.6 This Rule applies to the part-time employment of schoolchildren as it applies to any other Person.

Note: The approval of the Local Education Authority is required for the employment of schoolchildren.

### ***Stable employee training***

2.1 A Licensed Trainer or Permitted Trainer must ensure that all stable employees under 19 years of age join the industry's Stable Staff Training programme and participate in training delivered by

- 2.1.1 the British Racing School,
- 2.1.2 the Northern Racing College, or
- 2.1.3 any other Training Provider for the time being approved by 1st4Sport to offer Level 2 Diploma in Work Based Racehorse Care.

2.2 If it considers it appropriate to do so in exceptional circumstances, the Authority may waive this requirement.

### ***Accident insurance contributions***

3.1 In respect of each eligible stable employee, a Trainer must

- 3.1.1 make an annual contribution towards the Racing Industry Accident Benefit Scheme (the Scheme), and
- 3.1.2 make an additional contribution every three months directly in respect of sums deductible from the net wages of each eligible employee in accordance with the terms and conditions of service set



out in the Standard Terms and Conditions (see Schedule 1).

3.2 A trainer who is not a member of the National Trainers Federation must also make an annual payment to the National Trainers Federation for the administration of the Scheme.

3.3 In this Paragraph Eligible Stable Employee means an eligible person as defined for the purposes of the Scheme.

#### ***Pension contributions***

4.1 In respect of each employee who is eligible under Paragraph 5 of this Schedule

4.1.1 each Licensed Trainer must make a contribution to

4.1.1.1 the National Trainers Federation Stakeholder Pension Plan (The Plan), or

4.1.1.2 another pension plan or arrangement established by either the Trainer or the employee, and

4.1.2 any Permitted Trainer who enters The Plan must make a contribution to the Plan.

4.2 A Trainer who is not a member of the National Trainers Federation must also make an annual payment to the Federation for the administration of The Plan.

4.3 The rate of contribution due under

4.3.1 Paragraph 4.1 is not less than the rate from time to time established by the National Trainers Federation; and

4.3.2 Paragraph 4.2 is such amount as may be determined by the Authority.

5.1 For the purposes of Paragraph 4, an employee is eligible if

5.1.1 he is 18 years or over,

5.1.2 he is under 65 years,

5.1.3 he is registered and working as a full time paid stable employee at the quarterly renewal date of the scheme,

5.1.4 subject to Paragraph 5.2, he has worked for the Trainer as a full-time paid stable employee for a continuous period of nine months or more (whether in the current period of employment or in a previous period), and

5.1.5 he has a valid permanent UK National Insurance number recorded on the Register of Stable Employee Names (see also Paragraph 5.3).

5.2 The nine month qualification imposed by Paragraph 5.1.4 does not apply in relation to

5.2.1 any employee born on or before the 1st December 1980 who was registered and working as a full time paid stable employee on 31st May 2001, or

5.2.2 any employee who before 1st June 2001 qualified for a pension contribution to be paid under provisions as to the regulation of racing then in force.

5.3 As regards the application of Paragraph 5.1.5 in respect of any quarterly renewal date that falls on or after 1st September 2007, if an employee's National Insurance number

5.3.1 is not recorded on the Register of Stable Employee Names on that date, but

5.3.2 is subsequently registered during his employment with the same Trainer,

any previous contributions from the Trainer which would otherwise have been due shall fall due on the next quarterly renewal date.

#### **Death in Service benefit**

6.1 In respect of each employee who is eligible under Paragraph 6.4

6.1.1 each Licensed Trainer must make a contribution to the National Trainers Federation Life Cover Trust in respect of Death in Service benefit (the "DIS Benefit"), and

6.1.2 any Permitted Trainer who opts-in to the DIS Benefit must make a contribution to it.

6.2 A Licensed Trainer who is not a member of the National Trainers Federation and a Permit Trainer who opts-in pursuant to Paragraph 6.1.2 must, when required by the National Trainers Federation, make an annual payment to the Federation for the administration of the DIS Benefit.

6.3 The rate of contribution due under

6.3.1 Paragraph 6.1 is not less than the rate from time to time established by the National Trainers Federation, and

6.3.2 Paragraph 6.2 is such amount as may be determined by the Authority.

6.4 For the purposes of calculating the contributions at Paragraph 6.1 only, an employee is eligible if

6.1.1 he is 16 years to 64 years (inclusive), and

6.1.2 he is registered and working as a full or part time paid stable employee at 1 April each year.

## Schedule 3 - Deleted

## **Schedule 4 - Trainers and owners**

### **PART 1**

#### **Trainer-owner agreements**

##### ***Requirement for agreement***

1. This Schedule applies to any Licensed Trainer.

2.1 Where a Licensed Trainer is to train a horse owned by any Person, he and the owner must enter into a training agreement in respect of the horse before it runs in any race run under these Rules.

2.2 The Authority may determine not to take Disciplinary Action against any Licensed Trainer who fails to comply with Paragraph 2.1 of this Schedule if he can satisfy the Authority that there was an acceptable reason for the failure.

##### ***Form of agreement***

3. A training agreement must be signed and must set out the terms agreed between the parties in respect of at least the following

3.1 the basic training fee (expressed as an amount payable by week or by calendar month);

3.2 all other regular expenses (such as gallop fees, shoeing costs and the like);

3.3 the extent of the Licensed Trainer's authority to incur any additional charges or expenses for the account of the owner (such as veterinary fees);

3.4 provision for variation to be made as to any of the matters specified in Paragraphs 3.1 to 3.3 and for proper notification of variation;

3.5 the time and method of payment by the owner;

3.6 any provision for a Trainer's lien;

3.7 any matter as to training agreements which is required by a code of conduct issued under Rule 11; and

3.8 such other matters as the Authority may from time to time direct.

##### ***Duration of agreement***

4. A training agreement shall lapse if

4.1 the owner does not have a horse in training with the Licensed Trainer for a continuous period of 24 months,

4.2 the Trainer has ceased to hold a licence granted by the Authority, or

4.3 either party to the agreement gives the other written notice of termination.

##### ***Report by licensed trainer of non-payment of fees etc***

5.1 Payment period, in relation to any account due, means the period of three months beginning with the date on which the account was sent.

5.2 Where, before the end of the payment period, a Licensed Trainer does not receive from the owner full settlement of any account due under a training agreement entered into in accordance with this Schedule, the Licensed Trainer may report the matter to the Authority.

5.3 A report of non-payment under Paragraph 5.2 must

5.3.1 be in writing and signed by the Licensed Trainer,

5.3.2 give details of

5.3.2.1 the owner's name and address,

5.3.2.2 the nature and the amount of the debt, and

5.3.2.3 the date upon which the account was sent;

5.3.3 be accompanied by a copy of the unpaid account; and

5.3.4 be sent no later than 15 months after the end of the payment period for that account.

5.4 A Licensed Trainer who submits an unjustified or frivolous report shall be taken to have contravened a requirement imposed on him by these Rules.

### ***Consequences of non-payment***

6. Schedule (E)4 makes provision for the Authority to notify an owner that a report has been made under Paragraph 5 and, if it does so, the owner is under a duty to make any payment due in accordance with the procedures set out in that Paragraph.

## **PART 2**

### **Trainers' code of conduct in dealings with owners**

7.1 The Authority has issued the following Code of Conduct for Licensed Trainers.

7.2 The Code is intended to set out some of the minimum standards the Authority expects to prevail in these areas and to help avoid misunderstanding and resulting dissatisfaction.

7.3 In particular, dissatisfaction can arise from commissions or other financial interests or benefits which may arise in consequence of the purchase or sale of horses. By setting out these minimum standards the Code of Conduct will also serve to safeguard the interests of Licensed Trainers.

### ***The Code of Conduct***

8.1 The Licensed Trainer must regularly report on the general well being of the horse and promptly inform the owner of any injury to the horse which is likely to require a prolonged period of box rest. The Licensed Trainer must immediately notify the owner if one of his horses ceases to be under the direct charge of the trainer to the degree it is the subject of a separate livery charge by a third party.

8.2 When a Licensed Trainer acting as vendor or part-vendor sells any horse to an owner or intended owner, he must disclose by means of an invoice the full percentage of his ownership in that horse and thereby the financial benefit derived by him from that transaction.

8.3 When a Licensed Trainer acts as an agent or adviser for one of his existing owners or intended owners concerning the purchase or sale of a horse he must, whenever possible, give prior notice to the intended owner if he is aware that he will benefit financially from any third party from such a transaction. Should the transaction take place, he is required to quantify any financial benefit that in fact arises.

8.4 When a Licensed Trainer acts in any capacity as described in Paragraph 8.2 or 8.3 of this Code he must not also act simultaneously for the vendor or purchaser as the case may be in any capacity related to such transaction without disclosing that fact beforehand to the owner or intended owner.

8.5 When a Licensed Trainer acts in relation to the sale of a horse trained or likely to be trained by him to an existing or intended owner in his yard then, irrespective of the capacity in which the trainer so acts, he must:

8.5.1 advise the buyer that the horse may be examined before purchase by a veterinary surgeon appointed by the buyer; and

8.5.2 disclose to the buyer, to the extent that it may be applicable to the horse in question, that the horse has been seen to weave, box-walk, windsuck or crib bite and/or any veterinary condition known to the Licensed Trainer which might affect performance and/or any surgery that the horse has undergone to the Licensed Trainer's knowledge.

8.6 When a horse is entered in a selling or claiming race the owner must be notified of that fact before the time of declaration to run. A Licensed Trainer must also inform and consult with the owner whenever he is responsible for the owner's horse being offered for sale at public auction. In both cases exceptions to this disclosure are acceptable where the Licensed Trainer has rightfully exercised an express lien or where the owner has waived the requirement of notification either by means of a training agreement or otherwise in writing.

8.6 For the avoidance of doubt, this Code does not prevent Licensed Trainers from retaining benefits derived from purchases or sales but they are required to inform owners of the true position as stipulated above.

#### **Note:**

A. In all cases it is the responsibility of the owner on complaint of failure to comply with this Code of Conduct to provide to the Authority the evidence which the Authority considers is necessary to support an allegation of a breach of the Code.

B. A training agreement shall not waive the requirements of this Code other than as referred to in Paragraph 8.5. Any other waiver or purported waiver will be treated as invalid for the purpose of determining whether a breach of this Code has taken place unless it relates to Paragraph 8.5.

C. Licensed Trainers are strongly advised to ensure that when Paragraph 8.2 applies the disclosure of any financial benefit that has arisen is evidenced in writing.

D. In the case of the various forms of multiple-ownerships registered under these Rules, the duty to disclose or notify under this Code to an owner or intended owner will be fulfilled if

- one party in the multiple-ownership is duly informed or notified by the Licensed Trainer, and
- that party is either an owner in the multiple-ownership as defined in the Horse and Owner Manual (E) or has been appointed in writing as an owner's representative of the multiple-ownership.

## **Schedule 5 - Stalls tests**

### ***Stalls test certificates***

1.1 The Starter will inform the Racing Calendar Office once a horse has satisfactorily passed a stalls test. The location and conduct of the stalls test must be approved by the BHA.

1.2 If the Trainer wishes to conduct the stalls test at a race meeting, the Trainer must advise the Clerk of the Course by noon on the day before that on which the horse is to be tested.

1.3 Stalls tests at a race meeting will be conducted 30 minutes before the first race and will take place at the stalls position for the start of that race.

1.4 Where a Trainer or his representative presents a horse to be tested, he must

1.4.1 report to the Starter 15 minutes before the stalls test is conducted,

1.4.2 present the horse's passport to the Starter for inspection before the horse is put into the stalls, and

1.4.3 ensure that either he or a responsible member of his staff is present (in addition to the Person riding the horse) when the horse is passed through the stalls.

1.5 A horse will not be passed if it is only in the care of one or more inexperienced stable employees.

1.6 A horse shall be regarded as having passed satisfactorily through stalls only if

1.6.1 it is capable of being led in by one handler, with assistance from no more than four handlers at the rear, or

1.6.2 for a horse which is seeking to be certified as suitable to be loaded with the front gate open or reversed into the stalls, loads to the satisfaction of the starter,

and in either set of circumstances

1.6.3 it remains in the stall for a minimum of one minute without becoming unruly.

1.7 At the discretion of the Starter a horse may be blindfolded while the test is carried out.

### ***Sampling of horses taking starting stalls tests***

2.1 This Schedule applies where a horse is presented for a starting stalls test

2.1.1 following a Starter's report under Rule (B)41.2;

2.1.2 under Paragraph 4 (Debutant Tests); or

2.1.3 under Paragraph 5 (Pre-Race Assessments).

2.2 Where a horse is presented for a stalls test, it may be required to provide a sample.

2.3 On arrival the BHA Official on duty will identify the horse and inform the Trainer, or his representative, if the horse is to be sampled.

2.4 A stalls test will not be passed in any case where:

2.4.1 the horse cannot be identified from its passport;

2.4.2 a Sample is required from the horse but has not been obtained satisfactorily by the relevant BHA Official; or

2.4.3 the horse is brought to the racecourse for a Pre-Race Assessment.

2.5 If a Sample is required from the horse but has not been obtained, the horse may not be re-submitted for a further stalls test until such time as the Authority may direct.

### ***Penalties for failing starting stalls tests***

3.1 This Schedule applies where

3.1.1 in order to comply with Rule (B)44 (effect of Starter's report), a horse which is the subject of a Starter's report takes a stalls test, and

3.1.2 the horse fails one or more stalls tests in any 12 month period.

3.2 The Authority will impose a financial penalty on the Trainer of the horse in accordance with Paragraphs 3.3 and 3.4.

### 3.3 If the horse fails a stalls test following its first Starter's report

3.3.1 a financial penalty of £650 will be imposed if the test takes place within 7 days of the Starter's report;

3.3.2 a financial penalty of £290 will be imposed if the test takes place at any time between 8 and 14 days (inclusive) of the report;

3.3.3 no financial penalty will be imposed if the test takes place 15 days or more from the report.

### 3.4 If the horse fails a stalls test following its second Starter's report

3.4.1 a financial penalty of £1,300 will be imposed if the test takes place within 14 days of the second Starter's report;

3.4.2 a financial penalty of £290 will be imposed if test takes place at any time between 15 days and 28 days (inclusive) of the second report;

3.4.3 no financial penalty will be imposed if test takes place 29 days or more from the second report.

3.5 Subject to Paragraph 3.8, the third time the horse is reported by the Starter, the horse will be prevented from having a stalls test for 6 months.

3.6 The horse may not be re-submitted for a further stalls test within 14 days of any failure.

3.7 Subject to Paragraph 3.8, if a horse fails two consecutive stalls tests it will be prevented from having a further stalls test for 6 months.

3.8 If a horse which is prevented from having a stalls test for 6 months runs outside Great Britain in the interim on two occasions without causing problems at the start, the Trainer may submit an application to the Authority requesting that the remainder of the 6 month restriction be lifted.

### ***Additional disciplinary action***

#### 4.1 In this Paragraph

Defined Percentage means the percentage referred to in Paragraph 4.3 or 4.4;

Notified Period is the period that

4.1.1 starts on the date specified in a written notice given to a Trainer by the Authority under this Paragraph, and

4.1.2 ends on the next following 31 December.

Debutante Test is the stalls test referred to in Paragraph 4.4.

4.2 Subject to a discretionary review carried out by the Authority at the end of any notified period, the restrictions in Paragraphs 4.3 and 4.4 apply where, in any notified period, either or both of the following conditions are met in connection with all horses under the care of a Trainer

4.2.1 a defined percentage (or more) of the horses are withdrawn by the Starter or are the subject of a Starter's report under Part (B)3 (reports to the Stewards);

4.2.2 a defined percentage (or more) of the horses are the subject of a warning (criteria failure) under Rule (B)43 (power to issue warnings to trainers).

4.3 Subject to Paragraph 4.5, where the defined percentage of the trainer's horses is 10% or more, the Trainer will not be permitted to present any horse under his care or control for a stalls test for at least 14 days after it has been referred for the test.

4.4 Where the defined percentage of the trainer's horses is 15% or more, the Trainer will not be permitted to run in a flat race any horse which has not previously run in a flat race run under these Rules or the rules of another Recognised Racing Authority until the horse has successfully passed a stalls test.

4.5 The 14 day restriction does not apply to a horse that is entered in

4.5.1 a Pattern race,

4.5.2 a Listed race,

4.5.3 a Heritage Handicap, or

4.5.4 a race that closes more than 6 days before running,

before it has been referred for a stalls test.



## ***Pre-Race Assessments***

5.1 In this paragraph

Pre-Race Assessment means an assessment by a Starter on a horse through stalls on a raceday

5.2 An unraced horse may be presented by a Trainer on a raceday to the Starter for a Pre-Race Assessment.

5.3 A horse that has raced and has shown a significant behavioural issue may also be presented by a Trainer on a raceday to the Starter for a Pre-Race Assessment provided that approval has been obtained from either the BHA Manager (Scales, Starters, Judges) or Team Principal (Starters).

5.4 A Trainer wishing to have a Pre-Race Assessment for an unraced horse, or a horse for which approval has been obtained, must follow the same procedure for a stalls test set out in Paragraphs 1.2, 1.3 and 1.4.

5.5 A horse may not run in a race from stalls on the day on which the Pre-Race Assessment takes place.

5.6 On the first occasion that an unraced horse races following a satisfactory Pre-Race Assessment, the Trainer may request a late load without incurring a criteria failure (see Schedule (B)5 Paragraph 4.5).

## Schedule 6 - Deleted

## Schedule 7 - Deleted

## **Schedule 8 - Suspending horses from running**

### ***General***

1. The Authority may suspend a horse from running in specified races, or races of a specified description, if the horse's previous performance(s) suggest that it may be a risk to itself, other horses or Riders during the course of a race.

2.1 In any case where the Authority proposes to suspend a horse, its Disciplinary Department will

2.1.1 notify the Trainer, and

2.1.2 invite him to explain any mitigating circumstances there may be for the Authority not to suspend the horse.

2.2 Any explanation by the Trainer must be in writing and submitted to the Authority within two working days of the date of the notification under Paragraph 2.1.1.

2.3 After taking account of any explanation, the Authority must notify the Trainer in writing of its decision and, if the Authority decides to suspend the horse, specify

2.3.1 the time when the suspension is to commence,

2.3.2 the descriptions of races to which it is to apply, and

2.3.3 the steps that could be taken to lift the suspension.

2.4 Any horse that has been suspended as a result of concerns over its jumping ability will be required to satisfactorily pass an assessment under this Schedule before it can race again.

2.5 The suspension will continue until two clear days have elapsed after the horse satisfactorily passes an assessment.

### ***Assessment procedure***

3.1 When a horse is required to have its jumping assessed before it can race, the assessment

3.1.1 will be conducted by two assessors approved by the Authority, and

3.1.2 will, unless otherwise directed by the Authority, take place at the Trainer's premises or at the place where the Trainer normally schools his horses, and

3.1.3 may also include a veterinary assessment.

3.2 After the test the Trainer or his representative will be informed whether or not the horse has satisfactorily passed the assessment.

3.3 The fee payable in respect of each assessment

3.3.1 is specified in Schedule (A)1, and

3.3.2 must be paid by the owner of the horse at the time the test is conducted.

3.4 The Trainer must notify the owner of this charge.

### ***Failing an assessment***

4.1 Where a horse fails an assessment, it may not be submitted for re-assessment before the end of the period of four weeks starting with the day after the date of the failure.

4.2 If a horse fails two consecutive assessments no further assessment may be made for a period of six months after the date of the most recent failure.

### ***Further assessments***

5.1 Where a horse, having passed an assessment, is subsequently referred under this Schedule it will be automatically suspended without the procedures in paragraphs 2.1 - 2.3 needing to be followed.

5.2 The assessment required under Paragraph 2.4 will take place no sooner than six months after the referral.

5.3 Any suspension under this Paragraph will continue until two clear days have elapsed after the horse satisfactorily passes an assessment in accordance with Paragraph 3.

6.1 If a horse is referred under this Schedule on a third occasion, it shall be suspended from running in specified races, or races of a specified description, indefinitely.

## **Schedule 9 - Communicable Diseases**

List of diseases covered by statute of Code of Practice (Rules 30.1.1, 30.1.2 and 30.1.3)

African Horse Sickness (30.1.2)

Alpha and Flaviviruses (not louping ill) (30.1.3)

Anthrax (30.1.3)

Borna Disease (30.1.3)

Contagious Equine Metritis (30.1.1, 30.1.2 and 30.1.3)

Dourine (30.1.2 and 30.1.3)

Eastern Equine Encephalitis (30.1.3)

Epizootic Lymphangitis (30.1.2 and 30.1.3)

Equine Herpesvirus I "paralytic form" (30.1.1)

Equine Viral Arteritis (30.1.1 and 30.1.2)

Equine Viral Encephalomyelitis (30.1.2 and 30.1.3)

Equine Infectious Anaemia (30.1.1, 30.1.2 and 30.1.3)

Glanders (30.1.2 and 30.1.3) and Farcy (30.1.2)

Hendra Disease (30.1.3)

Japanese Equine Encephalitis (30.1.3)

Venerally transmitted bacterial diseases caused by *Klebsiella pneumoniae* (30.1.1)

Venerally transmitted bacterial diseases caused by *Pseudomonas aeruginosa* (30.1.1)

Rabies (30.1.2)

Strangles (30.1.1)

Warble fly (30.1.2)

Venezuelan Equine Encephalitis (30.1.3)

West Nile Virus (30.1.2 and 30.1.3)

Western Equine Encephalitis (30.1.3)

## Schedule 10 - Deleted

## Index of defined expressions

1. This index provides a guide to words or expressions which are defined generally and so liable to be met in provisions which do not themselves contain the definition.
2. Where a term is used only in one Rule (or in a series of closely connected Rules), the definition will be set out in that Rule. Always check the Rule itself before looking at this index.
3. Where a term is used in more than one place, it will start with a capital letter. The second column of this index tells you where you can find the substantive definition.
4. This index is not part of these Rules.

<b><i>Defined term</i></b>	<b><i>Where term is defined (references are to Rules unless other specified)</i></b>
Approved Speed Sensing Device	43.7
Authorised Agent	74
Amateur Rider	73
Apprentice Jockey	72
the Authority	74
the Authority's Office	74
Betting Organisation	74
Conditional Jockey	72
Defined Percentage	Schedule 5, Para 4.1
Disciplinary Action	74
Disqualified Person	74
Forfeit List	74
Horse of Ambiguous Sex	17A
Hunters' Steeple Chase	74
Jockey	72
Licensed Trainer	70
Manipulative Therapy	33
National Hunt Flat Race	74
Notified Period	Schedule 5, Para 4.1
Overseas Rider	73
Permitted Trainer	70
Person	74
Pre-Race Assessment	Schedule 5, Para 5.1
Prescribed	74
Professional Rider	73
Racecourse Managing Executive	74
Racecourse Property	74
Racing Administration Internet Site	74
The Racing Calendar Office	74
Recognised Company	74
Recognised Racing Authority	74

Register of Stable Employee Names	74
Registered Agent	74
Rider	71
these Rules	74
Stable Security Officer	74
the Standard Terms and Conditions	10.5
Trainer (Parts 3 to 5)	70
Treatment	13
VAT	74
Veterinary Officer	74
Veterinary Surgeon	74



## **PART 1 - INTRODUCTORY**

### **1. Introductory**

#### **1. Introductory**

1.1 Part (A)3 prohibits any Person from riding in a race under these Rules unless

1.1.1 he has attained the age of 16 years,

1.1.2 he

1.1.2.1 holds a Jockey's Licence or an Amateur Rider's permit granted by the Authority, or

1.1.2.2 is authorised by a Recognised Racing Authority to ride under the rules of that Recognised Racing Authority (whether by grant of a licence, permit or otherwise), and

1.1.3 he is not disqualified or suspended from riding under these Rules or under the rules of any Recognised Racing Authority.

1.2 Part (A)3 also prohibits any Person from acting as

1.2.1 a valet to a master Jockey (master valet),

1.2.2 an assistant to a Master Valet, or

1.2.3 a rider's agent,

unless he holds the appropriate licence or permit granted by the Authority.

1.3 A Person is liable to Disciplinary Action if

1.3.1 he contravenes a requirement imposed on him by or under these Rules,

1.3.2 any provision of these Rules states that he is taken to have contravened any such requirement, or

1.3.3 any provision of these Rules states that he is liable to Disciplinary Action.

1.4 Disciplinary action may also be taken against a Person in any of the circumstances specified in Rules (A)63 to (A)70.

### **2. Scheme**

2.1 As regards riders

2.1.1 Parts 2 and 3 have effect in connection with licences for Jockeys and permits for amateur riders which may be granted by the Authority and those Parts also set out specific requirements that apply only to the holders of such licences or permits,

2.1.2 Part 4 sets out requirements that a Person (Overseas Rider) who is authorised to ride by a Recognised Racing Authority must meet in order to ride in races under these Rules, and

2.1.3 Parts 5, 6 and 8 contain provisions that apply to Jockeys, amateur riders who hold a permit granted by the Authority and Overseas Riders.

2.2 As regards Master Valets, Assistant Valets and rider's agents (relevant persons)

2.2.1 Part 7 has effect in connection with licences and permits which may be granted by the Authority and sets out specific requirements that apply only to the holders of such licences or permit, and

2.2.2 Part 8 contains provisions that also apply to the holders of such licences or permits.

## **PART 2 - JOCKEY LICENCES FROM THE AUTHORITY**

### **CHAPTER 1 - OBTAINING A LICENCE**

#### ***General***

#### **3. Licences to ride granted by the Authority**

3.1 A licence to ride may be granted by the Authority, subject to such restrictions or conditions as the Authority considers appropriate.

3.2 Such a licence is referred to in this Manual as a Jockey's Licence.

3.3 The types of Jockey's Licences that may be granted are

3.3.1 a licence to allow the holder to ride in flat races;

3.3.2 a licence to allow the holder to ride in steeple chases, hurdle races or National Hunt Flat Races.

3.4 In this Manual, any Jockey's Licence which the Authority grants to a Person whom the Authority considers to be inexperienced in racing is referred to as

3.4.1 an Apprentice Jockey's Licence, where the licence allows him to ride in flat races, and

3.4.2 a Conditional Jockey's Licence, where the licence allows him to ride in steeple chases, hurdle races or National Hunt Flat Races,

and the holder of the licence is referred to as an Apprentice Jockey or a Conditional Jockey.

#### **4. Fees for grant and renewal of licence**

4.1 An application under this Part for the grant or renewal of a Jockey's Licence must be accompanied by the appropriate fee and any VAT payable.

4.2 The fees payable in respect of each licence

4.2.1 are specified in Schedule (A)1, and

4.2.2 if the applicant for the licence is an Apprentice Jockey or a Conditional Jockey, must be paid by the Trainer by whom he is employed.

4.3 A sum of such amount as the Authority considers appropriate shall be taken from each fee it receives for a licence and shall be allocated by the Authority to such racing charities as it considers appropriate.

#### ***Grant, refusal or withdrawal: Jockeys***

#### **5. Initial application for a jockey's licence**

5.1 Subject to Paragraph 5.3, a Person who applies for a Jockey's Licence must use the Prescribed form.

5.2 Procedures for the consideration and determination of applications are set out in Schedule (A)9.

5.3 This Rule and Rules 6 and 7 do not apply to an Apprentice Jockey's Licence or Conditional Jockey's Licence and any application in connection with the licence (including renewal) must instead be made in accordance with Rules 8 to 11.

5.4 The initial application must be received at the Authority's Office at least 3 weeks before the date on which the licence will be required.

5.5 No licence may be granted unless the applicant meets the criteria and other requirements as may be established by the Authority from time to time.

5.6 At any time after receiving an initial application under this Rule and before determining it, the Authority may require an applicant to

5.6.1 be assessed at the British Racing School or the Northern Racing College,

5.6.2 attain a National Vocational Qualification (NVQ),

5.6.3 attend a training course or seminar,

5.6.4 undergo a medical examination,

5.6.5 be tested in accordance with the Authority's Assessment of Concussion protocol, and

5.6.6 attend a personal interview.

## **6. Expiry and renewal of a jockey's licence**

6.1 A Jockey's Licence expires at the end of the period stated on the licence.

6.2 The holder of the licence may apply for it to be renewed using the Prescribed form.

6.3 Procedures for the consideration and determination of applications are set out in Schedule (A)9.

6.4 The renewal application must be received at the Authority's Office at least 2 weeks before the date on which the licence or permit will be required.

6.5 A licence may be renewed subject to such restrictions or conditions as the Authority considers appropriate (including a requirement for the holder of the licence to undertake such training as the Authority may direct) and the restrictions or conditions may differ from any restrictions or conditions previously imposed.

## **7. Circumstances in which a jockey's licence ceases to be valid**

7.1 This Rule applies to a Jockey's Licence granted under Rule 5 or renewed under Rule 6.

7.2 A Person shall be taken to have contravened a requirement imposed on him by these Rules if he rides in any race under these Rules after his licence has ceased to be valid.

7.3 A licence shall immediately cease to be valid if

7.3.1 the licence

7.3.1.1 expires and is not renewed,

7.3.1.2 is withdrawn by the Authority, or

7.3.1.3 is suspended by the Authority; or

7.3.2 the holder of the licence

7.3.2.1 relinquishes it, or

7.3.2.2 is declared to be a Disqualified Person.

7.4 A licence that is suspended for a specified period shall resume on the expiry of the period.

### ***Grant, refusal or withdrawal: Apprentice Jockeys or Conditional Jockeys***

## **8. Initial application for an apprentice jockey's licence**

8.1 A Person who applies for an Apprentice Jockey's Licence must use the Prescribed form.

8.2 The application must be received at the Authority's Office at least 3 weeks before the date on which the licence will be required.

8.3 No licence may be granted unless the applicant meets

8.3.1 the conditions specified in Paragraph 8.4 and the conditions specified in Paragraph 8.5, and

8.3.2 such other requirements as the Authority may from time to time determine.

8.4 In order to meet the conditions in this Paragraph, a Person must

8.4.1 be aged over 16 but under 26 years,

8.4.2 be in the full-time, paid employment of a Trainer who holds a licence granted by the Authority to train horses for flat races,

8.4.3 have signed, of his own free will, an Apprentice Jockey's Agreement with the Trainer, and

8.4.4 make the application jointly with the Trainer,

and if the applicant is under 18 years, he must before signing the Apprentice Jockey's Agreement also obtain the consent of a Person who has Parental Responsibility for him.

8.5 In order to meet the conditions in this Paragraph, a Person must be aged under 26 years and

8.5.1 be entitled to claim a weight allowance under Rule (F)140 (which makes provision for weight allowances for riders in flat races), or

8.5.2 have been entitled to claim such an allowance within the past 6 months.

8.6 At any time after receiving an initial application under this Rule and before determining it, the Authority may require an applicant to

- 8.6.1 be assessed at the British Racing School or the Northern Racing College,
- 8.6.2 attain a National Vocational Qualification (NVQ),
- 8.6.3 attend a training course or seminar,
- 8.6.4 undergo a medical examination,
- 8.6.5 be tested in accordance with the Authority's Assessment of Concussion protocol, and
- 8.6.6 attend a personal interview.

8.7 In this Rule apprentice jockey's agreement means a riding agreement for Apprentice Jockeys on the standard form approved by the Authority.

## **9. Initial application for a conditional jockey's licence**

9.1 A Person who applies for a Conditional Jockey's Licence must use the Prescribed form.

9.2 The application must be received at the Authority's Office at least 3 weeks before the date on which the licence will be required.

9.3 No licence may be granted unless the applicant meets

- 9.3.1 the conditions specified in Paragraph 9.4 or the conditions specified in Paragraph 9.5, and
- 9.3.2 such other requirements as the Authority may from time to time determine.

9.4 In order to meet the conditions in this Paragraph, a Person must

- 9.4.1 be aged over 16 but under 26 years,
- 9.4.2 be in the full-time, paid employment of a Trainer who holds a licence or permit granted by the Authority to train horses for steeple chases, hurdle races or National Hunt Flat Races,
- 9.4.3 have signed, of his own free will, a Conditional Jockey's Agreement with the Trainer, and
- 9.4.4 make the application jointly with the Trainer,

and if the applicant is under 18 years, he must before signing the Conditional Jockey's Agreement also obtain the consent of a Person who has Parental Responsibility for him.

9.5 In order to meet the conditions in this Paragraph, a Person must be aged under 26 years and

- 9.5.1 be entitled to claim a weight allowance under Rule (F)141 (which makes provision for weight allowances for riders in steeple chases, hurdle races and national hunt flat races open to professional riders), or
- 9.5.2 have been entitled to claim such an allowance within the past 6 months.

9.6 At any time after receiving an initial application under this Rule and before determining it, the Authority may require an applicant to

- 9.6.1 be assessed at the British Racing School or the Northern Racing College;
- 9.6.2 attain a National Vocational Qualification (NVQ),
- 9.6.3 attend a training course or seminar,
- 9.6.4 undergo a medical examination,
- 9.6.5 be tested in accordance with the Authority's Assessment of Concussion protocol, and
- 9.6.6 attend a personal interview.

9.7 Without prejudice to Rule 3.1, a Conditional Jockey's Licence may be granted on terms that exclude the holder of the licence from riding in novice steeple chases.

9.8 In this Rule conditional jockey's agreement means a riding agreement for Conditional Jockeys on the standard form approved by the Authority.

## **10. Expiry and renewal of licences: apprentice jockey or conditional jockey**

10.1 This Rule applies to

10.1.1 any Apprentice Jockey's Licence, and

10.1.2 any Conditional Jockey's Licence.

10.2 The licence expires at the end of the period stated on the licence.

10.3 The holder of the licence may apply for it to be renewed using the Prescribed form.

10.4 The renewal application must be received at the Authority's Office at least 2 weeks before the date on which the licence will be required.

10.5 A licence may be renewed subject to such restrictions or conditions as the Authority considers appropriate and

10.5.1 these may differ from the restrictions or conditions previously imposed, and

10.5.2 these may include a requirement for the holder of the licence to undertake such training as the Authority may direct.

## **11. Circumstances in which licence ceases to be valid: apprentice jockey or conditional jockey**

11.1 This Rule applies in relation to

11.1.1 an Apprentice Jockey's Licence, and

11.1.2 a Conditional Jockey's Licence.

11.2 A Person shall be taken to have contravened a requirement imposed on him by these Rules if he rides in any race under these Rules after his licence has ceased to be valid.

11.3 A licence shall immediately cease to be valid if

11.3.1 the licence

11.3.1.1 expires and is not renewed,

11.3.1.2 is withdrawn by the Authority, or

11.3.1.3 is suspended by the Authority;

11.3.2 the holder of the licence

11.3.2.1 relinquishes it, or

11.3.2.2 is declared to be a Disqualified Person;

11.3.3 the holder of the licence reaches the age of 26 years;

11.3.4 in respect of a licence holder to whom the conditions in Rule 8.4 or 9.4 apply

11.3.4.1 he leaves the employment referred to in Rule 8.4 or 9.4 (with or without the trainer's consent),

11.3.4.2 the Trainer's licence ceases to be valid under Part (C)2, or

11.3.4.3 the agreement referred to in Rule 8.4 or Rule 9.4 terminates by consent or for any other reason; or

11.3.5 except as stated in Paragraph 11.4, the licence holder ceases to be entitled to a weight allowance under Rule (F)140 or (F)141.

11.4 A licence shall continue in force in the circumstances described in Paragraph 11.3.5 until the earliest of the following

11.4.1 the end of the 6 month period starting with the effective date on which licence holder ceased to be entitled to the weight allowance,

11.4.2 the licence holder reaches the age of 26 years, or

11.4.3 the agreement referred to in Rule 8.4 or Rule 9.4 terminates for any reason.

11.5 A licence that is suspended for a specified period shall resume on the expiry of the period.

11.6 Where the Trainer referred to in Rule 8.4 or Rule 9.4 dies

11.6.1 the licence held by the Apprentice or Conditional Jockey shall remain in force for a period of 7 days from the date of death,

11.6.2 during that period the Apprentice or Conditional Jockey shall be answerable to the Authority in the same way as he would otherwise have been answerable to the Trainer, and

11.6.3 at the end of the 7 day period the licence shall immediately cease to be valid.

## **CHAPTER 2 - JOCKEYS: FURTHER PROVISIONS**

### **12. Jockeys to be suitable Persons**

12. The Authority may

12.1 refuse to grant or renew a Jockey's Licence, or

12.2 suspend or withdraw a licence,

if the Authority considers that an applicant or a licence holder is not a suitable Person to hold a licence.

### **13. Reporting any injury or illness**

13.1 Where a Jockey sustains a reportable injury since last riding under these Rules

13.1.1 he must inform the Chief Medical Adviser at the earliest opportunity, and

13.1.2 he must not weigh out or attempt to weigh out until he is passed fit to ride by the Chief Medical Adviser or by a Racecourse Medical Officer on a raceday on the instruction of the Chief Medical Adviser.

13.2 A reportable injury is

13.2.1 a head injury or concussion,

13.2.2 a severe back injury,

13.2.3 a fracture or dislocation involving a limb bone or joints,

13.2.4 a fracture of the pelvis or spine, or

13.2.5 any other significant injury or significant illness.

13.3 Where a Jockey sustains any injury riding under the rules of any Recognised Racing Authority he must inform the Chief Medical Adviser within 48 hours of his return to Great Britain.

### **14. Prohibition on owning racehorses**

14.1 A Jockey may not be the owner or part-owner of

14.1.1 any horse which is entered or run under these Rules, or

14.1.2 any horse which is entered or run under the rules of any Recognised Racing Authority.

14.2 Paragraph 14.1 does not apply where the horse runs in Hunters' Steeple Chases only.

14.3 The reference to a Person owning or part-owning a horse includes holding a beneficial or equitable interest in the horse.

### **15. Riding outside Great Britain**

15.1 This Rule applies where a Jockey is proposing to travel to another country with a view to riding in a race run under the rules of that country's Racing Authority.

15.2 The Jockey may request from the Authority a certificate of clearance to ride in that country where

15.2.1 the country is not listed in Schedule 1, or

15.2.2 although the country is listed, it is outside Europe and the Jockey has reason to believe that a certificate may be required.

15.3 In making a request under Paragraph 15.2.2 the Jockey must confirm to the Authority that he has contacted the Racing Authority to enquire whether local rules require a clearance certificate.

## **PART 3 - AMATEUR RIDER'S PERMITS FROM THE AUTHORITY**

### **CHAPTER 1 - OBTAINING A PERMIT**

#### ***General***

#### **16. Permits to ride granted by the Authority for amateur riders**

16.1 A permit to ride as an amateur may be granted by the Authority, subject to such restrictions or conditions as the Authority considers appropriate.

16.2 Such a permit is referred to in these Rules as an amateur rider's permit.

16.3 The types of permits that may be granted are

16.3.1 a Category A permit to allow the holder to ride in flat races, steeple chases or hurdle races which are confined to amateur riders;

16.3.2 a Category B permit to allow the holder to ride in

16.3.2.1 flat races confined to amateur riders,

16.3.2.2 steeple chases or hurdle races which are not confined to Professional Riders,  
and

16.3.2.3 National Hunt Flat Races.

#### **17. Fees etc for grant and renewal of permit**

17.1 An application under this Part for the grant or renewal of an Amateur Rider's Permit must be accompanied by the appropriate fee and any VAT payable.

17.2 The fees payable in respect of each permit are specified in Schedule (A)1.

17.3 A sum of such amount as the Authority considers appropriate shall be taken from each fee it receives for a permit and shall be allocated by the Authority to such racing charities as it considers appropriate.

17.4 A Person who holds a permit must contribute such amount as the Authority may specify to an insurance scheme for amateur riders which has been approved by the Authority.

#### ***Grant, refusal or withdrawal***

#### **18. Initial application for an amateur rider's permit**

18.1 A Person who applies for an Amateur Rider's Permit must use the Prescribed form.

18.2 The application must be received at the Authority's Office at least 3 weeks before the date on which the permit will be required.

18.3 No permit may be granted unless the applicant meets such requirements as the Authority may from time to time determine.

18.4 At any time after receiving an initial application under this Rule and before determining it, the Authority may require an applicant to

18.4.1 attend a training course or seminar,

18.4.2 undergo a medical examination,

18.4.3 be tested in accordance with the Authority's Assessment of Concussion protocol, and

18.4.4 attend a personal interview.

18.5 No permit may be granted to a Person who is ineligible under Rule 19.

#### **19. Persons ineligible for an amateur rider's permit**

19.1 Subject to Paragraphs 19.2 and 19.3, a Person is ineligible for an Amateur Rider's Permit if he has been paid directly or indirectly for riding in a race, whether payment to him is made directly or indirectly.

19.2 A Person who was paid for riding in a race whilst authorised to ride by a Recognised Racing Authority is not ineligible by virtue of Paragraph 19.1 if the following conditions are met in relation to him

19.2.1 the first condition is that his authorisation by the Authority or a Recognised Racing Authority corresponds to



19.2.1.1 an Apprentice Jockey's Licence,  
19.2.1.2 a Conditional Jockey's Licence, or  
19.2.1.3 a steeple chase and hurdle race licence issued before July 1978 under the Rules of Racing then in force;

19.2.2 the second condition is that he did not ride more than 25 winners under the rules of any Recognised Racing Authority whilst holding such licences.

19.3 The following shall be disregarded for the purposes of Paragraph 19.1

19.3.1 any trophy that was advertised in the conditions of the race,

19.3.2 any expenses apportioned by F.E.G.E.N.T.R.I. for their Championship races under these Rules,

19.3.3 any reasonable expenses for Overseas Riders which are

19.3.3.1 offered by sponsors of an amateur or club race,

19.3.3.2 included in the conditions of the race, and

19.3.3.3 approved by the Authority,

19.3.4 any assisted or free travel and accommodation which is

19.3.4.1 offered to amateur riders when taking part in invitation races abroad, and

19.3.4.2 approved by the Racing Authority for the racecourse concerned, and

19.3.5 any other expenses or benefits approved by the Authority.

## **20. Expiry and renewal of an amateur rider's permit**

20.1 An Amateur Rider's Permit expires at the end of the period stated on the permit.

20.2 The holder of the permit may apply for it to be renewed using the Prescribed form.

20.3 The renewal application must be received at the Authority's Office at least 2 weeks before the date on which the permit will be required.

20.4 A permit may be renewed subject to such restrictions or conditions as the Authority considers appropriate (including a requirement for the holder of the licence to undertake such training as the Authority may direct) and the restrictions or conditions may differ from any restrictions or conditions previously imposed.

## **21. Circumstances in which an amateur rider's permit ceases to be valid**

21.1 A Person shall be taken to have contravened a requirement imposed on him by these Rules if he rides in a race under these Rules after his Amateur Rider's Permit has ceased to be valid.

21.2 The permit shall immediately cease to be valid if

21.2.1 the permit

21.2.1.1 expires and is not renewed,

21.2.1.2 is withdrawn by the Authority, or

21.2.1.3 is suspended by the Authority;

21.2.2 the holder of the permit

21.2.2.1 relinquishes it, or

21.2.2.2 is declared to be a Disqualified Person.

21.3 A permit that is suspended for a specified period shall resume on the expiry of the period.

## **CHAPTER 2 - AMATEUR RIDERS: FURTHER PROVISIONS**

### **22. Amateur riders to be suitable Persons**

22. The Authority may

- 22.1 refuse to grant or renew an Amateur Rider's Permit, or
- 22.2 suspend or withdraw a permit,

if the Authority considers that an applicant or a permit holder is not a suitable Person to hold a permit.

### **23. Obtaining a medical record book**

23.1 An amateur rider who holds an Amateur Rider's Permit must

- 23.1.1 before he takes part in any race under these Rules, obtain a Medical Record Book from the Authority,
- 23.1.2 comply with the instructions contained in it, and
- 23.1.3 return it to the Authority when requested to do so.

23.2 An amateur rider who fails to comply with Paragraph 23.1.1 shall not be permitted to take part in any race run under these Rules.

23.3 A fee in accordance with Schedule (A)1 is payable for the replacement of a lost Medical Record Book.

### **24. Producing the medical record book before race**

24.1 Before presenting himself to the Clerk of the Scales to be weighed for any race in which he is to ride, an amateur rider who holds an Amateur Rider's Permit must produce his Medical Record Book to the Declarations Clerk.

24.2 The Stewards may decide not to take Disciplinary Action against an amateur rider who fails to comply with Paragraph 24.1 if the amateur rider satisfies them that his failure was due to circumstances outside his reasonable control.

### **25. Reporting any injury or illness**

25.1 Where an amateur rider who holds an Amateur Rider's Permit sustains a reportable injury since last riding under these Rules

- 25.1.1 he must inform the Chief Medical Adviser at the earliest opportunity, and
- 25.1.2 he must not weigh out or attempt to weigh out until he is passed fit to ride by the Chief Medical Adviser or by a Racecourse Medical Officer on a raceday on the instruction of the Chief Medical Adviser.

25.2 Reportable injury has the meaning given in Rule 13.

### **26. Riding outside Great Britain**

26. Where an amateur rider who holds an Amateur Rider's Permit proposes to travel to another country with a view to riding in a race under the rules of that country's Racing Authority, the provisions of Rules 15.2 and 15.3 shall apply to him as they apply to a Jockey.

## **PART 4 - OVERSEAS RIDERS RIDING IN GREAT BRITAIN**

### **27. Overseas rider qualifying to ride in Great Britain: general provisions**

27.1 In this Part overseas rider

27.1.1 means any Person who is authorised by a Recognised Racing Authority to ride under the rules of that Recognised Racing Authority (whether by grant of a licence, permit or otherwise), but  
27.1.2 does not include any Person who also holds a Jockey's Licence or an Amateur Rider's Permit granted by the Authority.

27.2 An Overseas Rider qualifies to ride in any race run under these Rules if

27.2.1 his authorisation would qualify him to ride in the race if it were run under the rules of the Recognised Racing Authority which authorises him,  
27.2.2 he is not suspended or disqualified from riding (either under these Rules or the rules of any Recognised Racing Authority),  
27.2.3 he produces the documents and other evidence required by Paragraph 27.3 to the Clerk of the Scales at the racecourse,  
27.2.4 he meets any restriction or condition imposed on him by the Authority under Paragraph 27.4, and  
27.2.5 he is not prohibited from riding under Paragraph 27.5.

27.3 At any racecourse at which an Overseas Rider proposes to ride, he must on request

27.3.1 produce to the Clerk of the Scales

27.3.1.1 evidence that he is for the time being authorised to ride by a Recognised Racing Authority (such as a licence, permit or proof that he holds one), and  
27.3.1.2 if the Recognised Racing Authority is not from a country listed in Schedule 1, a clearance to ride issued by that Recognised Racing Authority, and

27.3.2 produce to the Declarations Clerk any Medical Record Book issued to him by that Recognised Racing Authority.

27.4 The Authority may at any time impose on an Overseas Rider such restrictions or conditions as it considers necessary.

27.5 The Authority may, in exercise of its powers under Rule (A)65, prohibit an Overseas Rider from taking part in any race or description of race

27.5.1 in any case where the Overseas Rider has been resident in Great Britain for more than 30 days, or  
27.5.2 if, upon request, he fails to provide the Authority with his medical records, or  
27.5.3 in such other circumstances as the Authority considers appropriate.

27.6 An Overseas Rider shall be taken to have contravened a requirement imposed on him by this Rule where

27.6.1 he rides in any race run under these Rules without complying with all the requirements imposed on him under Paragraphs 27.2, 27.3 and 27.4, or  
27.6.2 the Authority has notified him of any prohibition imposed on him under Paragraph 27.5 and he rides in a race to which the prohibition applies.

### **28. Overseas rider riding in races confined to apprentice or conditional jockeys**

28.1 This Rule applies in relation any race run under these Rules which is confined to

28.1.1 Apprentice Jockeys (and equivalent Overseas Riders), or  
28.1.2 Conditional Jockeys (and equivalent Overseas Riders).

28.2 An Overseas Rider who no longer qualifies for a weight allowance under Part (F)8 may continue to ride in any race specified in Paragraph 28.1 for the period of 6 months from the time he ceased to qualify.

28.3 An Overseas Rider who is aged 26 years or more does not qualify to run in any race specified in Paragraph 28.1 and, if he rides in the race, he shall be taken to have contravened a requirement imposed on him by this Rule.

## **29. Prohibition on overseas riders owning racehorses**

29.1 An Overseas Rider whose authorisation corresponds to a Jockey's Licence may not be the owner or part-owner of any horse which is trained in Great Britain or is entered or run under these Rules.

29.2 Paragraph 29.1 does not apply where the horse runs in Hunters' Steeple Chases only.

29.3 The reference to a Person owning, or part-owning, a horse includes holding a beneficial or equitable interest in the horse.

## **PART 5 - GENERAL DUTIES OF RIDERS**

### ***Introductory***

#### **30. Application of Part 5**

30.1 Except where the context otherwise requires, this Part applies to any Person who is

30.1.1 a Jockey,

30.1.2 a Person who holds an Amateur Rider's Permit granted by the Authority, and

30.1.3 an Overseas Rider who rides in a race under these Rules,

and who is not suspended from riding by the Authority or by any other Recognised Racing Authority.

30.2 Such Persons are referred to in this Part as riders.

### **Changes to riding schedule**

#### **31. Duty to notify changes to riding schedule**

31.1 Subject to Paragraph 31.2, where a Rider is unable to ride the horse for which he has been declared under Rule (F)92 he must notify the Clerk of the Course as soon as possible (normally by telephone) and with an explanation.

31.2 Where

31.2.1 a Rider is declared to ride at a meeting on a given day,

31.2.2 one of his declared rides is subsequently unable to run, and

31.2.3 the Rider is then engaged to take a ride at another meeting for which he has not previously been declared,

the Rider must inform The Racing Calendar Office at the earliest opportunity of all his declared rides which he will not be riding on that day.

### ***The restricted period***

#### **32. Duty to remain on racecourse property during restricted period**

32.1 This Rule applies to all Riders

32.1.1 at any race meeting at which they are present in their capacity as such, and

32.1.2 for the period that starts half an hour before the advertised time of the first race and ends when the last race has started.

32.2 The period specified in Paragraph 32.1.2 is referred to in this Manual as the Restricted Period.

32.3 No Rider may leave and return to Racecourse Property at any time during the Restricted Period without first obtaining the permission of the Clerk of the Scales or a Stipendiary Steward.

32.4 The Stewards may decide not to take Disciplinary Action against a Rider for failure to comply with Paragraph 32.3 if the Rider satisfies the Stewards that the failure was due to circumstances which they consider acceptable.

#### **33. General restriction on mobile telephone use during restricted period**

33.1 No Rider may during the Restricted Period

33.1.1 use a Mobile Telephone in the riders' changing rooms or elsewhere on Racecourse Property,  
or

33.1.2 cause one to be so used,

except to the extent permitted by the following provisions of this Rule.

33.2 Paragraph 33.1 prohibits the use of a Mobile Telephone for

33.2.1 sending any out-going text message, or

33.2.2 receiving any incoming call apart from when

33.2.2.1 the Trainer of a horse the Rider is engaged to ride is not present on the course, and

33.2.2.2 the Trainer's representative hands his Mobile Telephone to the Rider in the phone zone for the Trainer to speak directly to the Rider.

33.3 But Paragraph 33.1 does not prohibit use of a Mobile Telephone

33.3.1 in the circumstances specified by Rules 34 and 35, or

33.3.2 where the use is authorised by an official of the Authority under Paragraph 33.4 or

33.3.3 where a Rider is not riding at the meeting and has not entered the Riders' Changing rooms.

33.4 An official of the Authority may, on request, authorise a Person to leave his Mobile Telephone switched on if the official is satisfied that the Person has personal concerns (such as a family illness) which make it important for him to be contacted easily.

33.5 Except when being used in circumstances permitted by Paragraphs 33.2, 33.3 or 33.4, a Mobile Telephone shall be regarded as being in use if it is switched on.

33.6 In this Rule and Rules 34 and 35

#### **Mobile Telephone**

33.6.1 includes any other appliance, apparatus, instrument or equipment capable of receiving or transmitting information, but

33.6.2 does not include equipment whose only function is to receive public broadcast services;

**Phone Zone** means the area in the Weighing Room which is designated for the use of Mobile Telephones.

### **34. Permitted use of registered mobile telephones: jockeys**

34.1 A Jockey may make an outgoing call from his Mobile Telephone during the Restricted Period but only if

34.1.1 the number of the Mobile Telephone has been registered, and

34.1.2 the call is made in the phone zone.

34.2 A Jockey who has registered a Mobile Telephone number under this Rule may check the Mobile Telephone for incoming messages (including incoming text messages) in the phone zone.

34.3 The Jockey must, on request, provide to the Authority fully itemised telephone billing accounts for the Restricted Period, which must include the last entry on those accounts before the commencement of the Restricted Period and the first entry on those accounts after the end of the Restricted Period.

34.4 The Authority may refuse to register the Mobile Telephone number unless the Authority is satisfied that the applicant is able to obtain from the service provider for the Mobile Telephone full details of all outgoing calls and text messages.

34.5 Where the number is registered

34.5.1 a Jockey who changes his number must register the new number and service provider by notifying

34.5.1.1 an official of the Authority at the first meeting at which he is due to ride following the change, or

34.5.1.2 the Authority's Integrity, Legal and Risk Department or the Professional Jockeys Association within 7 days, whichever is the earlier, and

34.5.2 an official of the Authority may check the Mobile Telephone at any time to ensure the number being used matches the registered number.

### **35. Permitted use of unregistered mobile telephones**

35.1 This Rule applies to any Person who is

35.1.1 a Person who holds an Amateur Rider's Permit granted by the Authority, and

35.1.2 an Overseas Rider.

35.2 A Person specified in Paragraph 35.1 may make an outgoing call from his Mobile Telephone during the Restricted Period but only if

35.2.1 he makes the call in the Phone Zone in the Weighing Room, and

35.2.2 he records it in the log book in the Phone Zone which is provided by the Authority.

35.3 Each log book entry for an outgoing call must state

35.3.1 the caller's name;

35.3.2 the time at which the call was made; and

35.3.3 the name or number of the Person to whom the call is made.

35.4 A Person specified in Paragraph 35.1 may check his Mobile Telephone for messages (including incoming text messages) in the Phone Zone.

### ***Equipment***

## **36. Safety vests, skull caps and saddles**

36.1 At any time when a Rider is mounted on a horse on Racecourse Property or in any other place where the horse is in the care or control of a Trainer acting in his capacity as such, the Rider

36.1.1 must wear a skull cap and a safety vest, and

36.1.2 must ensure that any skull cap or safety vest worn by him is in a serviceable condition (in particular, a skull cap that has been subjected to a severe impact, or has been worn by a Rider suffering concussion, shall not be regarded as being in a serviceable condition). (See Rule (C)25.1 if an Apprentice Jockey or Conditional Jockey)

36.2 A Rider must not bring a modified safety vest onto Racecourse Property.

36.3 A Rider's skull cap and a safety vest must be of such design and fitted in such a way as to meet the requirements specified in Part 1 of Schedule 2.

36.4 A Rider must ensure the fit condition of any saddle used by him. (See Rule (C)44.1 if an Apprentice Jockey or Conditional Jockey)

For this purpose, the saddle comprises the saddle itself, the girth, the surcingle, the stirrup irons, and the leathers or webs.

## **37. Whips used for racing**

37.1 No Rider may ride in any race unless he is carrying a whip approved by the Authority that complies with the specifications contained in Part 2 of Schedule 2.

37.2 Other than adjustments to the handle/grip, an approved whip must not be modified in any way (for example, by the addition of tape to the flap or shaft).

37.3 No substitute for a whip may be carried in any race.

37.4 A whip approved for racing in steeple chases or hurdle races may be carried in such races or in flat races, but a whip approved for flat racing may be carried in flat races only.

## **38. Other requirements as to equipment etc for racing**

38.1 No Rider shall ride in a race wearing spurs

38.2 No Rider may ride in a race whilst he is wearing spectacles.

38.3 A Rider who wears contact lenses must use soft contact lenses.

38.4 Where there is a failure of his equipment between leaving the Parade Ring and the start of the race, a Rider must

38.4.1 undertake any repairs that may be possible with the assistance of such spare tack as may be available at the start, and

38.4.2 inspect the spare tack and judge for himself the safety of any repair,

and, if he is in doubt as to the safety of any repair, he must not start.

38.5 A Rider must ensure that the girths are correctly adjusted.

38.6 An Apprentice Jockey or Conditional Jockey (or an equivalent Overseas Rider) must have his girths checked at the start.

38.7 A Rider must ensure that all blindfolds have been removed from the horse before the start of the race.

38.8 Where a horse runs with ear plugs of any type, the plugs must not be removed during the race.

38.9 A Rider must not wear any device or equipment in a race unless such device or equipment has been approved by the Authority.

### **39. Approval of advertising on clothing or equipment**

39.1 No Rider may carry any form of advertising material on any part of his clothing or equipment on the racecourse except to the extent approved by the Authority.

39.2 The Authority may, on an application made to it and in accordance with the Code of Conduct, approve a Rider's sponsorship agreement in such circumstances as it considers appropriate.

39.3 A Rider may apply for the Authority's approval by sending a copy of the sponsorship agreement to The Racing Calendar Office, together with the appropriate application fee specified in Schedule (A)1.

39.4 A sponsorship agreement may be approved subject to such restrictions or conditions as the Authority considers appropriate and, if the agreement is approved, it will be entered on the register of sponsorship agreements maintained by the Authority.

39.5 Registration under Paragraph 39.4 shall become effective 7 days following publication of the entry on the Racing Administration Internet Site.

### ***The race***

### **40. Requirements before leaving the Weighing Room**

40.1 A Rider must consult the plan of the racecourse in the Weighing Room and acquaint himself in advance with the correct course over which he is to ride in a race.

40.2 Where the Rider is riding in a flat race, he must ascertain the place allotted to him by the draw before leaving the Weighing Room.

### **41. Duty of declared rider to weigh out**

41.1 A Rider who has been declared to ride under Rule (F)92 must weigh out for each race in which he is due to ride.

41.2 The Stewards may decide not to take Disciplinary Action against a Rider for failure to comply with this Rule if the Rider satisfies the Stewards that the failure was due to any of the circumstances specified in Rule (B)25.3 (late change of rider).

### **42. Weighing out**

42.1 This Rule applies to a Rider when weighing out.

42.2 The Rider must present to the Clerk of the Scales

42.2.1 his safety vest,

42.2.2 his silk cap, and

42.2.3 any blinkers, hood, visor, eyeshield, eyecover or number cloth which he is to carry in the race but which are excluded from the scale (by virtue of Paragraphs 42.4.6 to 42.4.10 and 42.4.17).

42.3 Where a Rider

42.3.1 intends to carry over-weight, he must declare the amount, and

42.3.2 is in doubt as to his proper weight, he may declare the weight he intends to carry.

42.4 The Rider must put into the scale and include in his weight everything that the horse is to carry in the race, apart from

42.4.1 skull cap,

42.4.2 whip,

42.4.3 bridle,

42.4.4 rings,



- 42.4.5 plates,
- 42.4.6 blinkers,
- 42.4.7 hood,
- 42.4.8 visor,
- 42.4.9 eyeshield,
- 42.4.10 eyecover,
- 42.4.11 anything worn on the horse's legs,
- 42.4.12 breast plate,
- 42.4.13 breast girth,
- 42.4.14 martingale,
- 42.4.15 muzzle,
- 42.4.16 neck strap,
- 42.4.17 number cloth,
- 42.4.18 sheepskin cheek pieces, and
- 42.4.19 tongue strap.
- 42.4.20 ear plugs, and
- 42.4.21 silk cap.

42.5 Subject to Rule (F)143, no Rider may weigh out if he will be carrying 4lbs or more overweight.

42.6 No Rider shall weigh out or attempt to weigh out for a race when not wearing an approved safety vest.

### **43. Duties following weighing out**

43.1 After weighing out for a race, a Rider

- 43.1.1 may not change equipment or clothing unless he presents himself to the Clerk of the Scales to be re-weighed, and

- 43.1.2 must ensure that his saddle

- 43.1.2.1 is not left unattended,

- 43.1.2.2 is not taken back into the riders' changing room, and

- 43.1.2.3 is handed over as soon as possible to the Trainer (or his representative) of the horse he is to ride.

43.2 A Rider will be reported to the Stewards if he fails to comply with any of the requirements specified in Paragraph 43.1.

43.3 Where a Rider has been weighed out for a particular horse, he must ride that horse in the race.

43.4 The Stewards may decide not to take Disciplinary Action against a Rider for failure to comply with Paragraph 43.3 if the Rider satisfies the Stewards that the failure was due to

- 43.4.1 accident,

- 43.4.2 illness,

- 43.4.3 withdrawal of the horse by the Starter in any case other than where the Rider refuses to ride, or

- 43.4.4 any other circumstances which the Stewards consider to be acceptable.

### **44. General conduct at the start**

44.1 On arrival at the start, a Rider must immediately place himself under the control of the Starter and must obey any order given by the Starter or the Assistant Starter.

44.2 Unless the Starter orders otherwise, a Rider in a flat race must go into and start from the place allotted to him by the draw.

44.3 Where the race starts from starting stalls, the Rider may not request at the start a late load for a horse.

44.4 The Rider must not engage in any misconduct at the start.

44.5 Examples of misconduct by a Rider include

- 44.5.1 attempting to line up or taking a position for the start before signalled by the Starter to do so;

- 44.5.2 causing or allowing a horse in a race started from a starting gate to go beyond the marker

poles prior to the start being effected;

44.5.3 failing to comply with the procedures set out in Schedule (B)5 Part 3.

44.6 A failure to comply with Paragraph 44.4 may result in the Rider being reported to the Stewards by the Starter.

44.7 No report will be made in respect of conduct falling within Paragraph 44.5.2 in any case where the Starter considers that the circumstances of the conduct were outside the reasonable control of the Rider.

## **45. Riding to achieve the best possible placing**

45.1 A Rider must

45.1.1 ride his horse throughout the race in such a way that he can be seen to have made a genuine attempt to obtain from his horse timely, real and substantial efforts to achieve the best possible placing, and

45.1.2 take and be seen to take all other reasonable and permissible measures throughout the race, however it develops, to ensure the horse is given a full opportunity to achieve the best possible placing.

45.2 For the purposes of Paragraph 45.1, whilst it is not necessary for the Rider to use the whip, the Rider must give his horse at least a hands and heels ride.

45.3 But the Rider must pull up the horse where

45.3.1 it is lame or injured, or

45.3.2 it would be contrary to the horse's welfare to continue riding out because the horse

45.3.2.1 has no more to give or is 'tailed off' through fatigue, or

45.3.2.2 has a problem which is materially affecting its performance.

45.4 Where the horse is lame or injured, the Rider must dismount immediately and must not ride to a finish.

### ***After the race***

## **46. Pulling up and dismounting after the race**

46.1 Subject to Paragraph 46.4, the Rider must not dismount before reaching the place specified in Paragraph 46.2 or 46.3.

46.2 The Rider of a horse placed first, second or third in a race must ride the horse to the place appointed for unsaddling.

46.3 The Rider of any other horse may dismount within a reasonable distance of the place appointed for unsaddling.

46.4 Where the Judge has not announced his decision before the Riders return to weigh in, the Riders may dismount either inside the place appointed for unsaddling the winner or within a reasonable distance of it.

46.5 The Rider

46.5.1 must remove his own saddle unless Paragraph 46.6 applies, and

46.5.2 must not accept anything from any Person, or discard anything that the horse has carried in the race, which may affect the weight upon weighing-in.

46.6 The Trainer (or his representative) may remove the saddle if the Rider is prevented from doing so by illness, accident or other extraordinary circumstances but, where the Rider is able to present himself to be weighed-in, the saddle must be handed to the Rider intact before weighing-in takes place.

46.7 A Rider who has failed to complete the course must report the reason to the Clerk of the Scales.

46.8 The Stewards may decide not to take Disciplinary Action against a Rider for failure to comply with this Rule if the Rider satisfies the Stewards that the failure was justified by the circumstances.

## **47. Weighing-in**

47.1 Each Rider who has ridden in the race must, without delay after the race

47.1.1 present himself with his saddle to the Clerk of the Scales for weighing-in, and

47.1.2 make any report required by Rule 48 or 49.

47.2 Where a Rider is prevented from riding back to weigh in by reason of an accident or illness by which he or his horse is disabled, he may walk or be carried to the scales.

47.3 Where a Rider is required to weigh in he must, subject to Paragraph 47.4, put into the scale and include in his weight everything that the horse has carried in the race.

47.4 For the purposes of Paragraph 47.3, the Rider must exclude all items listed in Rules 42.4.1 to 42.4.21 that were excluded from the scale for weighing out.

47.5 A Rider in a race must remain within the vicinity of the Weighing Room until five minutes have elapsed after the announcement of 'Weighed In' has been given for the race.

47.6 The Race Manual (B) makes provision for

47.6.1 a Rider's horse to be disqualified if the Rider does not weigh in (see Rule (B)14.2.3 (races already run: disqualification of horses)), and

47.6.2 the handling of any discrepancies there may be with the weight at which a Rider weighed out (see Rule (B)67 (procedure for weighing-in)).

## **48. Making a report of gurgling by horse during a race**

48.1 This Rule applies in respect of any race during which his horse was gurgling (such as by choking, choking up or swallowing its tongue).

48.2 The Rider must report the gurgling

48.2.1 to a Veterinary Officer prior to weighing in, or

48.2.2 if he is not available, to the Stipendiary Steward or the Clerk of the Scales on weighing in.

48.3 On dismounting, the Rider must inform the Trainer (or his representative) of the gurgling so that the Trainer may consider whether he is required to make a report under Rule (C)34 (post-race reports of matters materially affecting a horse's performance).

48.4 In this Rule **Veterinary Officer** means a registered veterinary surgeon engaged by the Authority.

## **49. Post-race reports to Stewards**

49.1 This Rule applies where anything (other than a matter falling within Rule 48) occurred during a race which a Rider considers may have materially affected the performance of the horse.

49.2 The following are examples of matters that must be reported under this Rule

49.2.1 interference leaving the stalls;

49.2.2 interference suffered in running;

49.2.3 horse hanging;

49.2.4 saddle slipped;

49.2.5 equipment failure;

49.2.6 bit slipped through mouth;

49.2.7 lost action;

49.2.8 not face blinkers/visor;

49.2.9 not face kickback (AWT);

49.2.10 never travelling;

49.2.11 in relation to flat races only, horse had no more to give;

49.2.12 in relation to flat races only, horse tailed off (giving the reason, if possible).

49.3 On dismounting, the Rider must inform the Trainer (or his representative) of his intention to report the matter to the Stewards and

49.3.1 if the Trainer indicates that he intends to report the matter himself, the Rider must inform the Stewards accordingly, or

49.3.2 otherwise, he must proceed with the report in accordance with Paragraphs 49.4 and 49.5.

49.4 If a report is to be made by a Person who

49.4.1 is an Apprentice Jockey, a Conditional Jockey (or an equivalent Overseas Rider) or an Amateur Rider, and  
49.4.2 has ridden fewer than 10 winners,

that Person must also obtain the agreement of the Trainer (or his representative) before making the report.

49.5 Any report by the Rider of the matter he considers affected the horse's performance must be made, in the first instance, to the Stipendiary Steward in the Weighing Room and, if he is not available, the Rider must

49.5.1 inform the Clerk of the Scales (or in his absence the Starter or Judge) that he wishes to make a report, and

49.5.2 if none of these is available, report to the Stewards' Room.

49.6 A Rider in a flat race must also make a report where he did not ride in such a way as to achieve the best possible placing (as required by Rule 45).

49.7 Each report will be considered by the Stewards, posted on racecourse notice boards and handed to the press and, where the report relates to a horse which was prominent in the betting market, it may be announced over the public address system.

## **50. Reporting accidents occurring in a race**

50. A Rider must report immediately to the Racecourse Medical Officer in all cases where he falls or meets with an accident whilst riding in a race run under these Rules.

## **51. Declaration of unfitness to ride**

51.1 If a Rider has been declared

51.1.1 unfit to ride by a Racecourse Medical Officer, or

51.1.2 unfit to ride in accordance with the Regulations for Point to Point Steeple Chases, or

51.1.3 unfit to ride in accordance with the Regulations for Arabian Horse Racing.

he may not weigh out or attempt to weigh out until he is passed fit to ride by the Chief Medical Adviser or a Racecourse Medical Officer.

51.2 Where the declaration of unfitness to ride specifies a minimum period before a Rider can resume riding, the Rider must not be passed fit to ride until that period has expired.

51.3 If a Rider has been declared unfit to ride by the Chief Medical Adviser he must not weigh out or attempt to weigh out until he is passed fit to ride by the Chief Medical Adviser.

## ***Miscellaneous***

## **52. Duty to report to Stewards' room**

52. A Rider who is requested, over the internal public address system or by a Stipendiary Steward, to report to the Stewards' Room must do so as quickly as possible.

## **53. Betting and betting contacts: professional riders**

53.1 This Rule applies to Professional Riders only.

53.2 A Professional Rider must not

53.2.1 bet or lay a horse to lose any race with a Betting Organisation,

53.2.2 instruct another Person to do so, or

53.2.3 receive the whole or part of any proceeds of such a bet or lay.

53.3 A Professional Rider must not

53.3.1 associate on Racecourse Property with a Betting Organisation (or its representative), or

53.3.2 communicate directly or indirectly from such property with such an organisation (or its representative).

53.4 Paragraph 53.3 does not apply to any association or communication by the Professional Rider with the organisation (or representative) which

- 53.4.1 is part of the normal running of a race meeting (such as prize-giving and meeting sponsors),
- 53.4.2 is made with the owner of a horse for whom the Professional Rider is declared to ride, or
- 53.4.3 is expressly contemplated by Schedule (A)5 (information regarded as in the public domain).

53.5 A Professional Rider must not be present in the betting ring during a race meeting unless he can satisfy the Authority or the Stewards that he had good reason to be there.

## **54. Betting: amateur riders**

54.1 This Rule applies to Amateur Riders only.

54.2 An Amateur Rider must not

- 54.2.1 bet or lay a horse to lose a race with a Betting Organisation in which the Amateur Rider is riding,
- 54.2.2 instruct another Person to do so, or
- 54.2.3 receive the whole or part of any proceeds of such a bet or lay.

## **55. Accepting rewards: professional riders**

55.1 This Rule applies to Professional Riders only.

55.2 A Professional Rider must not accept or agree to accept any Consideration whatsoever in connection with a race (wherever run) from a Person other than

- 55.2.1 the owner of any horse ridden by him in the race,
- 55.2.2 a representative of the owner, or
- 55.2.3 the Breeder of the horse.

55.3 Paragraph 55.2 does not apply

- 55.3.1 to any trophy advertised in the conditions of the race, or
- 55.3.2 to any sponsorship agreement approved by, and registered with, the Authority.

55.4 In this Rule

**consideration** includes any fee, expenses, reward, gift, favour or benefit in kind;

**breeder** means a Person or entity recorded as such by the Stud Book authority of the country of foaling.

## **56. Accepting rewards: amateur riders**

56.1 This Rule applies to Amateur Riders only.

56.2 An Amateur Rider must not solicit, accept or agree to accept any Consideration for riding in a race.

56.3 **consideration** includes any fee, expenses, reward, gift, favour or benefit in kind but does not include any item listed in Rule 19.3.

## **57. Requirements in other Manuals applying to all riders**

57.1 A Rider must, in particular, make himself familiar with and comply with all other requirements of these Rules that apply to him directly.

57.2 For example

- 57.2.1 Part (A)4 imposes duties and prohibitions that apply to all Persons subject to these Rules;
- 57.2.2 in the Race Manual (B)

- 57.2.2.1 Part (B)2 makes provision as to weighing out procedures, late changes of Rider and procedures after weighing out,
- 57.2.2.2 Part (B)3 contains provisions about the start of a race,
- 57.2.2.3 Part (B)4 contains provisions about the race,
- 57.2.2.4 Part (B)6 deals with weighing-in procedure, and
- 57.2.2.5 Part (B)8 imposes a general duty to comply with instructions given by Stewards at a race meeting;

57.2.3 in the Race Administration Manual (F)

- 57.2.3.1 Rule (F)94 imposes restrictions as to the number of meetings that a Rider is

permitted to ride in at any seven day period, and

57.2.3.2 Part (F)8 specifies circumstances in which a Rider is entitled to claim weight allowances.

57.3 This Rule is without prejudice to the general provisions as to compliance with, and deemed knowledge of, these Rules, as specified in Rule (A)2 (persons subject to these Rules).

## PART 6 - BANNED SUBSTANCES AND NOTIFIABLE MEDICATIONS

### *Introductory*

#### **58. Application and interpretation of Part 6**

58.1 This Part applies to any Person who is

58.1.1 a Jockey,

58.1.2 a Person who holds an Amateur Rider's Permit granted by the Authority, and

58.1.3 an Overseas Rider who is to ride, or who rides, in a race under these Rules,

and who is not suspended from riding by the Authority or by any other Recognised Racing Authority.

58.2 Such Persons are referred to in this Part as **Riders**.

58.3 In this Part

**analysis of a sample** means an analysis carried out by any laboratory which is accredited by the United Kingdom Accreditation Service and which is for the time being approved by the Authority for the testing of Samples taken from Riders;

**banned substance**

58.3.1 means a substance listed in Part 1 of Schedule 3, and

58.3.2 includes any isomer or diagnostic metabolite of the substance;

**notifiable medication** means any substance listed in Part 2 of Schedule 3;

**the Protocol** means the Protocol referred to in Rule 60.2;

**sample**, in relation to a Rider, means urine, breath, blood, hair, sweat or saliva.

#### **59. Testing positive for banned substance or notifiable medication**

59.1 For the purposes of this Part, any reference to a Sample testing positive for a Banned Substance or Notifiable Medication is to where a laboratory report of the result of an analysis of the Sample shows

59.1.1 in the case of a Banned Substance for which a threshold level is specified in Schedule 3, that the concentration of the substance present in the Sample exceeds the level specified;

59.1.2 otherwise, that the Banned Substance or Notifiable Medication is present in the Sample at the limit of detection using appropriate hybrid analytical techniques (for example, gas chromatography/mass spectrometry).

59.2 The result of the analysis of a Sample taken from a Rider shall be invalidated only if the Rider satisfies the Authority that

59.2.1 there has been a departure from procedures set out in the Protocol, and

59.2.2 this departure casts reasonable doubt on the reliability of any finding derived from the operation of these procedures.

59.3 In connection with Paragraph 59.2.2, the Rider will, for example, have to establish that the departure from the procedures

59.3.1 casts reasonable doubt on the reliability of the result of the analysis of any Sample taken from him; or

59.3.2 casts reasonable doubt on the identity of the Person who provided the Sample.

### *Sampling procedures*

#### **60. Procedures for sampling under this Part**

60.1 The Authority may from time to time approve procedures for the testing of Banned Substances and Notifiable Medications for the purposes of this Part .

60.2 The current procedures are set out in The Protocol for the Testing of Riders for Banned Substances and Procedures for Notifiable Medications.

60.3 The Protocol for the time being in force is set out in Schedule 4 .

## **61. Duties as to medical examination and compliance with the Protocol for sampling procedures**

61.1 A Rider must comply with the procedures established in the Protocol.

61.2 In particular, a Rider must when required to do so

61.2.1 submit to a medical examination,

61.2.2 undertake a breath test, and

61.2.3 supply or allow other Samples to be taken from him.

61.3 Sampling (including breath testing) may be carried out at any time on a racecourse in accordance with the Protocol.

61.4 Sampling (including breath testing) may also be carried out off-course in accordance with the Protocol.

61.5 In relation to any finding that a Rider has failed or refused to provide a Sample, a departure from the Protocol shall invalidate the finding only if the Rider satisfies the Authority that

61.5.1 there has been a departure from the Protocol, and

61.5.2 it materially contributed to the Rider's failure or refusal to provide the Sample.

## **62. Other medical examinations ordered by Stewards**

62.1 A Rider must submit to any other medical examination which may be ordered by the Stewards under Part (B)1.

62.2 In particular, a Rider must when required to do so supply or allow to be taken from him such Samples as the Racecourse Medical Officer may require in the course of the examination.

62.3 The Authority may decide not to take Disciplinary Action against a Rider for his failure to comply with this Rule if the Rider satisfies the Authority that he had reasonable cause.

62.4 In this Rule

**Sample** means blood, urine, sweat, saliva or any other body fluid.

### ***Consequences of positive test for Notifiable Medications***

## **63. Duty to notify a Notifiable medication and restriction on riding**

63.1 Where a medical practitioner prescribes a Notifiable Medication for a Rider, or a Rider otherwise intends to take a Notifiable Medication, the Rider

63.1.1 must immediately inform the Chief Medical Adviser, and

63.1.2 whilst he is taking the medication, may not ride in any race run under these Rules or under the rules of any Recognised Racing Authority unless he has first obtained the Chief Medical Adviser's written consent under Paragraph 63.2.

63.2 The Chief Medical Adviser may give his consent to a Rider continuing to ride whilst taking a Notifiable Medication if Chief Medical Adviser considers that the Rider will be fit to do so.

63.3 For the purpose of enabling the Chief Medical Adviser to make an assessment, the Rider must provide him with

63.3.1 written confirmation that he has been prescribed the Notifiable Medication,

63.3.2 a report from his medical practitioner stating the diagnosed condition, the anticipated period of treatment and the current diagnosis for recovery, and

63.3.3 permission for the Chief Medical Adviser to contact the Rider's medical practitioner or specialist and to obtain from them such further medical reports and history as the Chief Medical Adviser may reasonably require.

63.4 If the Chief Medical Adviser requires him to do so, the Rider must also



63.4.1 produce a copy of the prescription, and

63.4.2 submit to any medical examination to be carried out by the Chief Medical Adviser or by an independent medical practitioner nominated by him.

63.5 The Chief Medical Adviser may, if he considers it necessary to do so, recommend to the Authority that the Rider's licence be suspended

63.5.1 for such reasonable period as will allow the Chief Medical Adviser properly to assess the Rider's fitness to ride,

63.5.2 until the course of medication is completed, or

63.5.3 until the Rider's medical status no longer gives cause for concern.

## **64. Consequences of positive test for notifiable medication**

64.1 A Rider shall be taken to have contravened a requirement imposed on him by this Rule if a Sample taken from him in accordance with the procedures established under this Part tests positive for a Notifiable Medication and, by the date the Rider was selected for sampling, either

64.1.1 he had failed to inform the Chief Medical Adviser that the medication had been prescribed, or

64.1.2 the Chief Medical Adviser's consent under Rule 63.2 for the Rider continuing to ride whilst taking the medication has not been obtained.

64.2 For the purposes of any Disciplinary Action taken for a contravention of this Rule, the contravention shall be taken to have occurred on the date the Rider was selected for sampling.

### ***Consequences of positive test for banned substance***

## **65. Consequences of positive test for banned substance**

65.1 Subject to Rule 66, if a Sample from a Rider tests positive for a Banned Substance, the Rider shall be taken to have contravened a requirement imposed on him by this Rule.

65.2 Paragraph 65.1 does not apply where a Sample was taken off-course, the Banned Substance is alcohol and the Rider had no forthcoming professional riding engagements of any description on the day on which the Sample was taken.

65.3 The Authority will not take Disciplinary Action against a Rider if he satisfies the Authority that the presence of a Banned Substance is attributable to

63.3.1 the injection or consumption of medical compounds or proprietary medicines, in normal or recommended quantities, which is entirely for a recognised medical purpose other than the treatment of drug addiction or dependency, or

63.3.2 the ingestion of food or other nutritional substances in the ordinary course of dietary nourishment.

65.4 Where the medical compound or proprietary medicine referred to in Paragraph 65.3.1 is supplied only on prescription made out by a medical practitioner, it shall be presumed that the presence of the substance was not attributable to a recognised medical purpose unless the Rider provides to the Chief Medical Adviser or the Authority, on request

65.4.1 a copy of the prescription in the name of the Rider which was valid at the time of sampling,

65.4.2 a written confirmation of the prescription from a medical practitioner, or

65.4.3 an explanation acceptable to the Authority which accounts for the presence of the medical compound or proprietary medicine.

65.5 For the purposes of any Disciplinary Action taken for contravention of this Rule, the contravention shall be taken to have occurred on the date the Rider was selected for sampling.

## **66. Consequences where positive test is for alcohol**

66.1 This Rule applies where, in accordance with the Protocol

66.1.1 breath tests for alcohol are conducted at a race meeting, and

66.1.2 a Rider is required to take a second breath test on the ground that the first test was positive for alcohol.

66.2 If the second breath test is also positive, the Rider shall be taken to have contravened a requirement imposed on him by this Rule.

66.3 The Stewards

66.3.1 shall suspend the Rider from riding in any race on the day in question, and

66.3.2 may suspend him from riding or take any other action they have power to take under Part (B)1, as they consider appropriate.

## **67. Deleted**

# **PART 7 - MASTER VALETS, ASSISTANT VALETS AND AUTHORISED RIDERS' AGENTS**

## **CHAPTER 1 - OBTAINING A LICENCE OR PERMIT**

### ***General***

#### **68. Licences and permits for master valets, assistant valets and authorised riders' agents**

68.1 The following licences and permits may be granted by the Authority, subject to such restrictions or conditions it considers appropriate

- 68.1.1 a licence for a Person to act as Master Valet,
- 68.1.2 a permit for a Person to act as assistant to a Master Valet (Assistant Valet), and
- 68.1.3 a licence for a Person to act as an Authorised Rider's Agent.

68.2 No licence or permit may be granted unless the applicant meets the criteria and other requirements as may be established by the Authority from time to time.

68.3 Procedures for the consideration and determination of applications are set out in Schedule(A)9.

#### **69. Fees for grant and renewal of licence or permit**

69.1 An application for the grant or renewal of a licence or permit under this Part must be accompanied by the appropriate fee and any VAT payable.

69.2 The fees payable in respect of each licence or permit are specified in Schedule (A)1.

69.3 The Authority may waive any fee payable in respect of an application for a licence to act as the agent for a Rider, where the application is made by any Person who

- 69.3.1 is the Rider's spouse, civil partner, parent, son or daughter, and
- 69.3.2 is acting for that Rider only.

### ***Grant, refusal or withdrawal***

#### **70. Initial application for licence or permit**

70.1 A Person who applies for

- 70.1.1 a licence to act as Master Valet,
- 70.1.2 a permit to act as Assistant Valet, or
- 70.1.3 a licence to act as an Authorised Rider's Agent,

must use the Prescribed form.

70.2 A list of Persons to whom a licence or permit is granted under Paragraph 70.1.1 or 70.1.2 shall be published on the Racing Administration Internet Site.

#### **71. Expiry and renewal of licence or permit**

71.1 A licence or permit granted under Rule 70 expires at the end of the period stated on the licence or permit.

71.2 The holder of the licence or permit may apply for it to be renewed using the Prescribed form.

71.3 A licence or permit may be renewed subject to such restrictions or conditions as the Authority considers appropriate and the restrictions or conditions may differ from any restrictions or conditions previously imposed.

#### **72. Circumstances in which a licence or permit ceases to be valid**

72.1 A Person shall be taken to have contravened a requirement imposed on him by these Rules if he acts as a Master Valet, as an Assistant Valet or as a rider's agent after his licence or permit to do so has ceased to be valid.

72.2 The licence or permit shall immediately cease to be valid if

- 72.2.1 the licence or permit
  - 72.2.1.1 expires and is not renewed,

72.2.1.2 is withdrawn by the Authority, or  
72.2.1.3 is suspended by the Authority;  
72.2.2 the holder of the licence

72.2.2.1 relinquishes it, or  
72.2.2.2 is declared to be a Disqualified Person.

72.3 A licence or permit that is suspended for a specified period shall resume on the expiry of the period.

## **CHAPTER 2 - FUTURE PROVISIONS**

### ***General***

#### **73. Licence or permit holders to be suitable Persons**

73. The Authority may

73.1 refuse to grant or renew a licence or permit under this Part, or  
73.2 suspend or withdraw it,

if it considers that an applicant, or a holder of a licence or permit, is not a suitable Person to hold a licence or permit.

### **Master valets and Assistant Valets**

#### **74. Remaining on racecourse property and mobile telephone use during restricted period**

74.1 During the Restricted Period

74.1.1 the duty to remain on Racecourse Property in Rule 32, and  
74.1.2 the restrictions as to the use of mobile telephones in Rule 33,

shall apply to any Master Valet or Assistant Valet as those Rules apply to Jockeys.

74.2 For the purposes of Paragraph 74.1.2

74.2.1 a Master Valet or Assistant Valet may register his mobile telephone in accordance with Rule 34; and  
74.2.2 if he does not do so, Rules 35.2 to 35.4 shall apply to him;

and any reference in those Rules to a Jockey shall be read as if it was a reference to a Master Valet or Assistant Valet.

#### **75. Restrictions on betting and betting contacts**

75.1 A Master Valet or Assistant Valet must not

75.1.1 bet or lay any horse to lose a race with a Betting Organisation at any meeting which he attends in his capacity as such,  
75.1.2 instruct another Person to do so for him, or  
75.1.3 receive the whole or part of any proceeds of such a bet or lay.

75.2 A Master Valet or Assistant Valet must not

75.2.1 associate on Racecourse Property with a Betting Organisation (or its representative), or  
75.2.2 communicate directly or indirectly from such property with such an organisation (or its representative).

75.3 A Master Valet or Assistant Valet must not be present in the betting ring during a race meeting unless he

can satisfy the Authority or the Stewards that he had good reason to be there.

## **76. Requirements in other Manuals applying to master valets and assistant valets**

76.1 A Master Valet or Assistant Valet must, in particular, make himself familiar with and comply with all other requirements of these Rules which apply to him directly.

76.2 For example

76.2.1 Part (A)4 imposes duties and prohibitions that apply to all Persons subject to these Rules, and

76.2.2 Part (B)8 imposes a general duty to comply with instructions given by Stewards at a race meeting

.

76.3 This Rule is without prejudice to the general provisions as to compliance with, and deemed knowledge of, these Rules, as specified in Rule (A)2 (persons subject to the Rules).

### ***Rider's agents***

## **77. Authorisation to act as agent for a particular rider**

77.1 A Person who holds a licence to act an Authorised Rider's Agent may act on behalf of a particular Rider only if

77.1.1 he is appointed as an Authorised Rider's Agent by a document in the Prescribed form which is signed by the Rider,

77.1.2 that document is sent to The Racing Calendar Office,

77.1.3 the appointment is for the time being registered in the register of rider's agents, and

77.1.4 the appropriate fee is paid for

77.1.4.1 initial registration of the document, and

77.1.4.2 the renewal of the registration before the end of each 12 month period that starts on the anniversary date of the initial registration.

77.2 Where the Rider for whom the agent proposes to act is an Apprentice Jockey or a Conditional Jockey, no appointment may be made unless the Jockey's employer has consented in writing.

77.3 The fees payable under Paragraph 77.1.4 are specified in Schedule (A)1.

77.4 The Authority may waive any fee where the rider's agent

77.4.1 is the Rider's spouse, civil partner, parent, son or daughter, and

77.4.2 is acting for that Rider only.

77.5 A rider's agent's authorisation to act shall immediately cease to be valid if

77.5.1 his appointment is cancelled by the Rider,

77.5.2 the Authorised Rider's Agent resigns, or

77.5.3 the Authority cancels the registration referred to in Paragraph 77.1.3.

77.6 An Authorised Rider's Agent may appoint a sub-agent only if

77.6.1 he is appointed as a sub-agent by a document in the prescribed form which is signed by the rider's agent and the sub-agent, and,

77.6.2 the document is sent to the Racing Calendar Office and

77.6.3 the appropriate fee is paid for

77.6.3.1 initial registration of the document, and

77.6.3.2 the renewal of the registration before the end of each 12 month period that starts on the anniversary date of the initial registration.

77.7 Where a sub-agent is appointed by an Authorised Rider's Agent in accordance with this Rule, the sub-agent

may make jockey bookings under these Rules only if he has been allotted a security code by the Authority.

## **78. Restrictions on laying a horse to lose**

78.1 A Person who holds a licence to act as an Authorised Rider's Agent must not

78.1.1 lay a horse to lose a race with a Betting Organisation if the horse is ridden by a Rider for whom he acts as agent,

78.1.2 instruct another Person to do so on his behalf, or

78.1.3 receive the whole or part of any proceeds of such a lay.

78.2 Any reference to a Person laying a horse to lose includes any single instance of doing so, whether or not the single instance was, or was intended to be, one of a series of betting arrangements.

78.3 Nothing in this Rule prevents the laying of any horse owned by a Betting Organisation in the ordinary course of that Betting Organisation's business.

## **PART 8 - MISCELLANEOUS**

### **79. Payment for non-riding services**

79.1 Nothing in these Rules shall prohibit a Rider from accepting or agreeing to accept consideration for

- 79.1.1 the advertising or promotion of goods and/or services, or
- 79.1.2 the provision of views or information for general publication.

79.2 If a Rider enters into an arrangement with a Betting Organisation in connection with the advertising or promotion of goods and/or services, or the provision of views or information for general publication, he must notify the Authority of

- 79.2.1 the identity of the Betting Organisation,
- 79.2.2 the start date and end date of the arrangement,
- 79.2.3 a summary of the services provided by the Rider under such arrangement, and
- 79.2.4 all benefits received by the Rider under such arrangement.

as soon as reasonably practicable.

79.3 A Rider must notify the Authority of any amendment to, or the early termination of, an arrangement with a Betting Organisation in connection with the advertising or promotion of goods and/or services, or the provision of views or information for general publication as soon as reasonably practicable.

### **80. Fees for services of riders, master valets and assistant valets**

80.1 Schedule 6 specifies the fees payable in respect of a race for

- 80.1.1 a Jockey,
- 80.1.2 a Person who holds an Amateur Rider's Permit granted by the Authority, or
- 80.1.3 an Overseas Rider who rides in a race under these Rules.

80.2 Schedule 6 also specifies

- 80.2.1 certain other sums payable in respect of a race by the owner of the horse or by a Trainer employing an Apprentice Jockey or a Conditional Jockey,
- 80.2.2 certain other sums payable in respect of a race by a Professional Rider, and
- 80.2.3 the daily entitlement for attendance at a race meeting by a Master Valet or Assistant Valet.
- 80.2.4 the sum payable to a Professional Rider when a horse he has been declared to ride becomes a non-runner.

80.3 All such fees shall be payable by the Owner unless in any case Schedule 6 provides otherwise.

## PART 9 - SUPPLEMENTARY

### 81. Notices, directions and other documents

81. Unless the context otherwise requires, Rules (A)105 (the giving of notices etc), (A)106 (the giving of notices etc in electronic form) and (A)107 (deemed service of documents) have effect in relation to any notices, directions or documents which are authorised or required to be given or sent under the provisions .

### 82. Computation of time

82. Except where these Rules provide otherwise, when the specified period for doing any act at the Authority's Office ends on a day on which the office is closed, that act will be done in time if done by 5.00pm on the next day on which the Authority's Office is open.

### 83. Arrangement of Rules into Manuals

83.1 These Rules are made up of the following Manuals

The General Manual (A)

The Race Manual (B)

The Trainer Manual (C)

The Rider Manual (D)

The Horse and Owner Manual (E)

The Race Administration Manual (F)

83.2 Each Manual is of equal standing and the fact that these Rules are divided into Manuals does not affect the weight of any requirements specified in each Manual.

### 84. Meaning of rider

84. Unless the context otherwise requires, any reference in this Manual to **rider** (without more) is to

84.1 a Jockey,

84.2 a Person who holds an amateur rider's permit granted by the Authority, or

84.3 an Overseas Rider,

who is not suspended from riding by the Authority or by a Recognised Racing Authority.

### 85. References to jockeys

85.1 In this Manual, unless the context otherwise requires, **jockey**

85.1.1 means a Person who holds a Jockey's Licence granted by the Authority, and

85.1.2 includes an Apprentice Jockey or a Conditional Jockey.

85.2 For these purposes

**apprentice jockey** means a Person who holds an apprentice jockey's licence granted by the Authority (see Rule 3.4);

**conditional jockey** means a Person who holds a conditional jockey's licence granted by the Authority (see Rule 3.4).

85.3 **apprentice jockey's licence** and **conditional jockey's licence** have the meaning given by Rule 3.4.

### 86. References to other types of rider

86.1 In this Manual, unless the context otherwise requires, **overseas rider**

86.1.1 means a Person who is authorised by a Recognised Racing Authority to ride under the rules of that Racing Authority (whether by grant of a licence, permit or otherwise), but

86.1.2 does not include a Person who also holds a Jockey's Licence or an Amateur Rider's Permit granted by the Authority.

86.2 In Parts 5 to 8, unless the context otherwise requires

**amateur rider** means



86.2.1 a Person who holds an Amateur Rider's Permit granted by the Authority, or  
86.2.2 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to such a permit and who rides in a race under these Rules;

**professional rider** means

86.2.3 a Jockey, or  
86.2.4 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to a Jockey's Licence granted by the Authority and who rides in a race under these Rules.

## 87. Other definitions

87.1 Definitions of

87.1.1 terms used in only one Rule are set out in that Rule,  
87.1.2 terms used in only Part 6 are set out at the beginning of that Part, and  
87.1.3 terms used in more than one Part are set out in Rules 84 to 86 and in the following provisions of this Rule.

87.2 In this Manual, unless the context otherwise requires

**assistant valet** means a person who holds a permit to act as an assistant to a master valet, which is granted by the Authority under Part 7 ;

**Authorised Rider's Agent** means a Person who holds a licence to act as a rider's agent which is granted by the Authority under Part (D)7;

**the Authority** means the British Horseracing Authority;

**the Authority's office** means the office for the time being appointed by the Authority as the office of the British Horseracing Authority (the present address is 75 High Holborn, London, WC1V 6LS);

**betting organisation** means

87.2.1 any bookmaker,  
87.2.2 the Tote,  
87.2.3 any company offering spread betting on horseracing or person-to-person betting exchanges on horseracing, and  
87.2.4 the employees of any such organisation;

**chief medical adviser** means the Authority's Chief Medical Adviser;

**Clear Day** means, in determining the number of days:

87.2.4A The day on which the period begins; and  
87.2.4B If the end of the period is defined by reference to an event, the day on which that event occurs

are excluded.

**Clear Working Day** means, in determining the number of days:

87.2.4C The day on which the period begins; and  
87.2.4D If the end of the period is defined by reference to an event, the day on which that event occurs; and  
87.2.4E Saturday, Sunday, Bank Holiday, or day on which the Authority's office is not open for non-automated commercial business

are excluded.

**disciplinary action** means any action taken by the Authority under Part (A)6 or by the Stewards under Part (B)1;

**disqualified person** means a person who is for the time being a disqualified person pursuant to

87.2.5 these Rules,

87.2.6 any Rules of Racing previously in force,  
87.2.7 the Regulations for Point-to-Point Steeple Chases, or  
87.2.8 the Regulations for Arabian Horse Racing;

**hunters' steeple chase** means a weight-for-age steeple chase which is confined to amateur riders and to horses certified by a Master of Hounds to have been hunted;

**master valet** means a person who holds a licence to act as a master valet which is granted by the Authority under Part 7 ;

**medical record book** means a document issued by the Authority or a Recognised Racing Authority to a rider for the purpose of setting out his medical and injury history;

**national hunt flat race** means a flat race for horses which at starting have not run under any recognised Rules of Racing except in national hunt flat races held under these Rules or in Irish national hunt flat races or in French AQPS races (and, by virtue of race conditions, no horse aged more than 7 years old will be eligible to start in a national hunt flat race.);

**parental responsibility** has the same meaning as in the Children Act 1989;

**person** includes a body corporate;

**prescribed** means prescribed by the Authority;

**racecourse managing executive** means the person who holds a racecourse licence granted by the Authority under Part (F)2;

**racecourse medical officer** means any registered medical practitioner who is engaged by the racecourse managing executive to provide medical cover for riders at a race meeting held at the racecourse;

**racecourse property** means any property owned, used or controlled by the racecourse managing executive;

**Racing Administration Internet Site** means the internet based administration service provided by the Authority, which can be accessed at [www.racingadmin.co.uk](http://www.racingadmin.co.uk);

**The Racing Calendar Office** means the office for the time being appointed by the Authority as The Racing Calendar Office (the present Racing Calendar Office is at Weatherbys, Sanders Road, Wellingborough, Northamptonshire, NN8 4BX);

**recognised racing authority** means a racing authority of a country which is for the time being recognised by the Authority under Part (A)8 (specific functions of the Authority);

**restricted period** has the meaning given in Rule 32;

**these Rules** means all the Rules of Racing, including provisions which are contained in any other Manual;  
**trainer**

87.2.11 means any person who holds a licence or permit to train which is granted by the Authority or whose authorisation by a Recognised Racing Authority corresponds to such a licence or permit;  
and

87.2.12 includes any person who is treated as a trainer in accordance with Rule (C)1.2 (horse trained solely for hunters' steeple chases, the Grand Military Gold Cup or the Royal Artillery Gold Cup);

**VAT** means value added tax for the time being in force.

87.3 Words importing the masculine gender include the feminine.

87.4 The singular includes the plural (and vice versa).

## SCHEDULES

### Schedule 1 - Reciprocal clearance agreement when riding overseas

1.1 The reciprocal clearance agreement means the agreement between certain Racing Authorities which includes provision dispensing with the need for a rider to produce evidence of clearance to ride by his Racing Authority each time he proposes to ride under the Rules of another Racing Authority.

1.2 Racing Authority means a Racing Authority which is a signatory to the reciprocal agreement.

2. The countries of which the Racing Authorities are signatories to the reciprocal clearance agreement are listed in table 1.

Algeria	Germany	Morocco	Switzerland
Argentina	Greece	Netherlands	Tunisia
Australia	Hong Kong	New Zealand	Turkey
Austria	India	Norway	U.A.E
Bahrain	Ireland	Peru	Uruguay
Belgium	Isle of Man	Poland	Venezuela
Brazil	Israel	Qatar	Yugoslavia
Canada	Italy	Romania	
Chad	Japan	Russia	
Channel Islands	Korea	Saudi Arabia	
Chile	Lebanon	Slovakia	
Cyprus	Macau	Slovenia	
Czech Republic	Malaysia/Singapore	South Africa	
Denmark	Mauritius	Spain	
France	Mexico	Sweden	

### Schedule 2 - Equipment

#### PART 1

Skull caps and safety vests

##### ***Design of skull cap***

1. A skull cap is approved by the Authority if it meets PAS 015: 2011, SNELL E2001, SNELL E2016, VG1 01.040 2014-12, or UTAC/CRITT 04/2015.

2. The skull cap must not have a chin cup, cradle or draw lace.

3. The chin strap must pass under the jaw and be attached to the harness by a quick release buckle.

4. The skull cap must not have metal hooks.

##### ***Fitting of skull cap***

5.1 The skull cap must be of the correct size for the Rider and must be correctly fitted and fastened.

5.2 The face harness must be correctly adjusted and the chin strap fastened at all times when the Rider is mounted on a horse.

##### ***Design of safety vests***

6. A safety vest must conform to (BS) EN 13158: 2009 or 2018.

7. The minimum acceptable standard for a safety vest is Level 2.8. A safety vest must not be

8.1 modified in any way, or

8.2 attached to the horse or any equipment carried by the horse.

#### PART 2

## **Whips**

8. As regards a whip carried in a flat race

8.1 the maximum length (including flap) is 70 centimetres, and

8.2 there must be no binding within 17 centimetres of the end of the flap.

9. As regards a whip carried in a steeple chase or hurdle race

9.1 the maximum length (including flap) is 68 centimetres, and

9.2 there must be no binding within 23 centimetres of the end of the flap.

10. The minimum diameter for a whip is 1 centimetre.

11. The overall weight must not exceed 160 grams.

12. The contact area of the shaft must be smooth, with no protrusion or raised surface, and covered by shock absorbing material throughout its circumference such that it gives a compression factor of at least 6 millimetres.

13.1 The only additional feature that may be attached to a whip is a flap.

13.2 If a flap is attached, it must comply with the following requirements

13.2.1 the maximum length of the flap from the end of the shaft is 10 centimetres;

13.2.2 the maximum width of the flap is 4 centimetres, with a minimum width of 2 centimetres;

13.2.3 the flap from the end of the shaft must not contain any reinforcements or additions;

13.2.4 the flap must have similar shock absorbing characteristics to that of the contact area

## **Schedule 3 - Banned substances and notifiable medications**

### **PART 1**

This list is not intended to be exhaustive. The use, deliberate or otherwise, of any substance that may convey an advantage to the rider or impair his capability, judgement, coordination or alertness is banned.

### **CATEGORIES OF BANNED SUBSTANCES**

1. Alcohol - at a threshold in the A sample at or above 54 milligrams per 100 millilitres in urine or 17 micrograms per 100 millilitres in breath (as measured using BHA approved, evidential breath testing equipment).

2. Barbiturates, Thiobarbiturates and related compounds.

3. Cannabinoids (or Cannabis metabolites) - at or above a screening threshold in the A sample of 50 nanograms per millilitre as immunoreactive cannabinoids by immuno-assay and confirmed at or over a threshold of 15 nanograms per millilitre 11-nor-delta-9-tetrahydrocannabinol-9-carboxylic acid by gas chromatography/mass spectrometry.

Both measurements must be at or above the stipulated thresholds.

3.1 Any synthetic, semi synthetic or naturally occurring compound that has been shown to have agonist or partial agonist activity at the CB1 or CB2 receptors in the central nervous system

3.2 Rimonabant or any other Cannabinoid receptor antagonist whether used as an appetite suppressant or for any other purpose

4. Gamma-hydroxybutyrate (GHB) and pro-drugs of GHB (1,4-Butanediol, Gammabutyrolactone) at or above a threshold of 10 micrograms per milliliter.

5. Dissociative Anaesthetics and related substances. Substances in this group include, but are not exclusively restricted to Ketamine, Phencyclidine, Tiletamine and related compounds.

6. Lysergic Acid Diethylamide (LSD).

7. Sibutramine and related compounds.

8. Stimulants - excluding Caffeine, Phenylpropanolamine and Pseudoephedrine (For Ephedrine see paragraph 10 below).

Substances in this group include, but are not exclusively restricted to, Amphetamines, Cocaine, and the "Ecstasy" group **e.g. Methylenedioxyamphetamine (MDA), Methylenedioxyethylamphetamine (MDEA), and Methylenedioxymethylamphetamine (MDMA)**. N.B. L-methamphetamine (levo-metamphetamine) is excluded. Cocaine metabolites to be screened at 300 nanograms per millilitre and confirmed at 150 nanograms per milliliter.

N.B. Salbutamol, Salmeterol, Formoterol and Terbutaline may be taken by inhaler only.

9. Other prohibited stimulants - Clenbuterol, Benzylpiperazine and its derivatives, Ketoamphetamines, Cathinone and its derivatives, whether naturally occurring, synthetic or semi-synthetic.
10. Ephedrine at or above a threshold in the A sample of 10 micrograms per millilitre in urine.
11. Diuretics - substances in this group include but are not exclusively restricted to Furosemide, Glycerol, Acetazolamide, Spironolactone, Thiazides, Amiloride, Triamterine, Canrenone, Diclofenamide, Chlorthalidone, Bumetanide, Etacrynic acid and Piretanide.
12. Methylphenidate.
13. Modafinil, Armodafinil and related compounds.
14. Opiates and Opioids - excluding Codeine, Dextromethorphan, Ethylmorphine, Loperamide and Pholcodine. Substances in this group include, but are not exclusively restricted to, Heroin, Methadone, Morphine, Oxycodone, Fentanyl, Tramadol, Tapentadol, Buprenorphine, Dihydrocodeine and Pethidine. Morphine to be screened at a threshold of 2 micrograms per milliliter in urine.

## **PART 2**

This list is not intended to be exhaustive. The use, deliberate or otherwise, of any substance that may convey an advantage to the rider or impair his capability, judgement, coordination or alertness is banned.

### **NOTIFIABLE MEDICATIONS**

15. Anti-depressants, including but not exclusively restricted to

- 15.1 Monoamine Oxidase inhibitors (MAOIs) including Selegiline
- 15.2 Tetracyclic Anti-depressants
- 15.3 Tricyclic Anti-depressants
- 15.4 5HT reuptake inhibitors and other neurotransmitter re-uptake inhibitors such as Venlafaxine
- 15.5 Lithium Salts.

16. Benzodiazepines (e.g. Diazepam, Lorazepam, Nitrazepam, Oxazepam, Temazepam) and substances with similar structure or pharmacological activity (e.g. Benzodiazepine receptor agonists, Zaleplon, Zolpidem, Zopiclone).
17. Sedative medications including the H1 receptor antagonists (e.g. Diphenhydramine, Promethazine and Trimeprazine) as well as medications such as Chloral Hydrate and Meprobromate.
18. Anti-Psychotic drugs including Chlorpromazine, Clozaril, Haloperidol, Olanzapine, Phenothiazines, Atypical anti-psychotic drugs, Melatonin agonists (e.g. Ramelteon) and related substances.

## **Schedule 4 - The protocol for the testing of riders for banned substances and procedures for notifiable medications**

### **PART 1**

#### **GENERAL PRINCIPLES**

- 1.1 This Protocol sets out the measures for the testing of Riders for banned substances and procedures for notifiable medications. The Rules applying to the use of banned substances and notifiable medications are contained in Part 6.
- 1.2 Terms used in this Protocol have the meaning given in this Manual.
- 1.3 The lists of banned substances and notifiable medications may be changed by the Authority from time to time.
- 2.1 The use of Banned Substances (including marijuana, cocaine, amphetamines and alcohol) in contravention of the Rules is forbidden. This policy is designed to prevent dangers associated with using these substances both to the individuals themselves and to others participating in the sport of horseracing.
- 2.2 Banned substances are those listed in Part 1 of Schedule 3.
- 3.1 In addition, there are other substances (referred to as Notifiable Medications) where usage in conjunction with race-riding may present an unacceptable danger. When these medications are being used it is therefore necessary for the Authority's Chief Medical Adviser (CMA) to give his consent enabling the Rider to race-ride.
- 3.2 Notifiable medications are those listed in Part 2 of Schedule 3.

#### **Guidelines for disciplinary action**

4. Disciplinary action may be taken against a person who is found to have used a banned substance or notifiable medication in contravention of a Rule. Guidelines for such action may be found in the Guide to Procedures and Penalties available from the Authority.

#### **Other substances adversely affecting health or performance**

5. The Authority may require a UKAS (United Kingdom Accreditation Service) accredited laboratory (see Paragraph 14) to report the finding of substances other than banned substances or notifiable medications which may adversely affect a Rider's health and performance. These findings will be presented so as to protect the identity of the individuals concerned.

### **Sampling**

6.1 The procedure for collecting samples for analysis is termed sampling and may be carried out at any time on a racecourse or off-course in certain circumstances. The chosen biological matrix for sampling will be urine, sweat, saliva, blood, breath, or hair (for the purposes of enhanced controls pursuant to Part 7 below only). There are separate arrangements described later for testing for alcohol. The Rider must submit to sampling if requested by a Sampling Officer unless exemption has been granted (see Paragraph 20). A Sampling Officer (or SO) means a person authorised directly by the Authority or by an agent approved by the Authority to collect samples from Riders under Part 6 in accordance with the sample collection procedures laid down in this Protocol.

6.2 Sample collection procedures will conform generally to the procedures adopted by the Authority contained within this Protocol.

### **Procedure following positive analysis of a sample**

6.3 When there is a positive analysis of the 'A' sample the procedures laid down in Part 6 of this Protocol will apply. The phrase positive analysis when used in this Protocol is a reference to an analysis the result of which could form the basis of a finding of a contravention of any provision of Part 6.

7. Subject to Paragraphs 8 and 9, the Rider will not be suspended or subjected to other disciplinary penalty under these Rules unless a disciplinary hearing finds that the Rider is in contravention of any provision of Part 6. However the CMA may consider the Rider as unfit to ride if the 'A' sample shows the presence of a notifiable medication (Rule 64) or when the Rider has informed the CMA that he has been prescribed a notifiable medication or if a Rider records a further positive analysis for any banned substance before any disciplinary hearing (except when the substance is alcohol and the Rider had no riding engagements on the day of the test (see Rule 65)). In all such cases the CMA's recommendation to suspend the Rider must be considered by the Licensing Committee which will make the decision on whether or not to suspend and on what terms and conditions. (See also Parts 7 and 10 of this Protocol).

8. A Rider will be suspended from riding on a race day if two breath samples indicate the presence of alcohol at or above the limit specified in Schedule 3 (see also Paragraph 48).

9. At the point of notification in Paragraph 56, in the case of a positive result arising from analysis of the 'A' sample (in respect of banned substances and notifiable medications other than alcohol and diuretics only), the Licensing Committee may suspend the Rider's licence or permit with immediate effect pending a disciplinary hearing. Any decision to impose such a suspension will not be subject to an appeal, however the Rider will be entitled to a disciplinary hearing on an expedited basis. Save in exceptional circumstances, any period of provisional suspension served will be credited against any penalty imposed by the Disciplinary Panel. The Rider may submit an explanation for the positive result within 3 working days of the notification in Paragraph 56. If the CMA considers this to be adequate (who in assessing such explanation may seek any expert opinion he deems appropriate) he shall notify the Licensing Committee who will lift the suspension immediately and the Rider will be notified. If the Rider requests that a 'B' sample analysis takes place and such an analysis does not confirm the result of analysis of the 'A' sample, the suspension will come to an end at the point of notification of the result of any such 'B' sample analysis to the rider.

10. Failure by a Rider to comply with the measures in this Protocol in relation to banned substances or notifiable medications shall be regarded as a contravention of Rule 61 unless this Protocol expressly provides otherwise.

10A. Upon receipt of a report from the SO or a Steward that a Rider has failed to comply with the sampling procedures contained in Rule (D)61, the Licensing Committee may provisionally suspend the Rider's licence or permit with immediate effect. Any decision to impose such a suspension will not be subject to an appeal, however the Rider will be entitled to a disciplinary hearing on an expedited basis. Save in exceptional circumstances, any period of provisional suspension served will be credited against any penalty that may be imposed by the Disciplinary Panel. The Rider may submit an explanation as to his reasons for refusing or failing to cooperate with the sampling procedure within 3 working days of notification of the provisional suspension. The Licensing Committee, in conjunction with the CMA where appropriate, will consider that explanation. If the explanation is deemed adequate by the Licensing Committee, the provisional suspension will come to an end immediately and the Rider will be notified.

11. Any reference to the CMA in this Protocol includes his Deputy duly approved by the Authority.

## **PART 2**

## **GENERAL TESTING PROCEDURES FOR BANNED SUBSTANCES**

12. Sampling will be carried out by SOs at, wherever possible, a sampling station based at the racecourse. The sampling station may consist of a mobile van or a suitable alternative location adapted for the purposes necessary for carrying out sampling.

13. The SOs will identify themselves to the Clerk of the Scales on arrival at the racecourse. The Clerk of the Scales will notify the Clerk of the Course of this arrival and confirm parking arrangements for the sampling station when it is a mobile van.

14. Analyses of urine samples will only take place at a UKAS accredited laboratory approved by the Authority. In all cases the laboratory carrying out the 'B' sample analysis will have access to the complete results/ documentation of the 'A' sample analysis.

15. Breath testing for alcohol shall take place using equipment approved for that purpose by the Authority.

### **PART 3**

#### **SELECTION AND NOTIFICATION OF RIDERS AT RACECOURSES - URINE SAMPLES**

16. It is the Authority's intention that testing shall be weighted as between different classes of Riders with the aim that Riders with a full licence will be more likely to be selected for testing. Accordingly, the CMA may instruct SOs as to how many tests are to take place in relation to different categories of Rider, viz: full licence, conditional licence or apprentice licence or amateur permit at any particular meeting at which urine sampling is to take place.

17. The Clerk of the Scales will provide the SOs with a complete list of all Riders declared for racing on that day by category from each of which category a number will be selected at random for urine sampling. Under normal circumstances random sampling will involve the selection of at least 10 Riders for urine sampling, or such other number as the CMA may have directed.

18. The selection procedure requires each Rider to be allocated a unique number. Sequentially numbered discs (one for each Rider) or suitable alternatives shall be placed into a bag and the quota determined by the CMA shall be taken out unseen by the Clerk of the Scales in the presence of the SO and another BHA Official but the results will be kept confidential. Only the selected Riders will be informed and only about their own selection. A Rider is selected if his allocated number matches a drawn number. Riders subject to enhanced testing who are engaged to ride at the meeting will be added to the list of Riders to be tested, along with any other Riders subject to targeted testing at the discretion of the Authority (with the prior specific authorisation of at least one Executive Director of the Authority).

19. The Riders selected for urine sampling shall be so notified by the Clerk of the Scales or other BHA Official on his behalf as soon as practically convenient after arriving at the racecourse. Riders will be required to sign to indicate their acknowledgement of the notification. A Rider so notified must not leave the racecourse at any time before he has provided a complete sample (see Paragraph 29) unless exemption is obtained from the Stewards of the Meeting.

20. Each selected Rider must report to the sampling station and produce his Privilege Access Swipe System (PASS) Card to establish his identity. If the Rider does not have his PASS card, his identity must be established to the reasonable satisfaction of the Clerk of the Scales or other BHA Official, or racecourse member of staff, on his behalf. Each Rider must provide a urine sample for analysis and sign the Chain of Custody Form (CoCF) in the presence of the SO prior to leaving the racecourse unless exemption is obtained from the Stewards. Such exemptions will be made only in very limited circumstances where the Stewards consider it appropriate to do so, for example, where a Rider is engaged to ride at a further meeting taking place that day, or, the Rider is unable to get to the meeting, although these examples are not exhaustive. In any case where exemption has been granted by the Stewards, the Stewards will notify the Clerk of the Scales who will sign the CoCF as confirmation of the exemption. Riders who obtain exemption may be required to undergo off course testing (see Part 8 of this Protocol) at the discretion of the CMA.

Without an exemption being granted by the Stewards as above

20.1 leaving the racecourse before providing a complete urine sample (see Paragraph 29) shall be deemed to be a refusal to provide a sample and therefore a contravention of Rule 61 unless the Rider can establish that it was necessary to leave the racecourse (or some other similarly good reason why he should not be found in contravention of Rule 61).

20.2 failure by the Rider to report to the sampling station within 30 minutes of the finishing time of the last race of the meeting shall be deemed to be a refusal to provide a sample and therefore in contravention of Rule 61 unless the Rider can establish that it was impossible to report to the sampling station or to provide a complete urine sample (or some other similarly good reason why he should not be found in contravention of Rule 61).

21. It is recommended that a selected Rider reports to the sampling station and provides a urine sample as soon as reasonably practicable and, as emphasised above, must so report no later than 30 minutes after the finishing time of the last race of the meeting.

22. The Clerk of the Scales will provide a copy of this Protocol to any selected Rider upon notification of his selection if so requested.

#### **PART 4**

##### **URINE SAMPLING PROCEDURES**

23. The following procedures will operate.

24. The time of arrival of the Rider at the sampling station will be noted on the CoCF.

25. The identity of the Rider and any accompanying person will be confirmed and noted on the CoCF.

26. Sample collection procedures will be explained to the Rider.

27. When ready to provide a sample of urine the Rider will select a plastic collecting vessel in a sealed wrapper. The collecting vessel will be disposed of after use and new collecting vessels will be used to obtain partial samples.

28. The Rider will accompany the SO to the room where the sample is to be given.

29. The Rider will urinate into the collecting vessel under the supervision of the SO. A minimum of 30 ml of urine will be required for the sample to constitute a complete sample. Where a selected Rider has attended the sampling station but has provided no sample or only a partial urine sample, the Rider must return to the sampling station, within 30 minutes of the finishing time of the last race of the meeting in order to provide a complete sample and in any event must not leave the racecourse before providing his completed sample. Should a Rider fail to comply with these requirements any partial sample (that is less than 30 ml) will not proceed to analysis, and will be destroyed.

30. To ensure authenticity of the sample, the SO may require such disrobing as is necessary to confirm the urine has been correctly produced by the Rider. This means exposure of the body from the middle of the back to below the knees. If the SO has reason to believe that the sample given is not a true sample, a further sample will be required and both samples will be sent to the laboratory in accordance with the procedures in the following provisions of this Protocol.

31. The Rider shall return to the administration area of the sampling station and shall choose a pair ('A' and 'B') of empty bottles from a standard sampling control kit. These kits will have been delivered to the sampling station by one of the SOs and will remain unopened until the bottles are required for use. The bottles will bear unique identification.

32. Either the Rider (or, if requested, the SO) shall divide between the 'A' and 'B' bottles approximately 15ml or half the urine sample into the 'A' bottle and approximately 15ml or the other half of the sample into the 'B' bottle. This procedure shall take place in the presence of the SO, the Rider and any accompanying person as applicable.

33. The bottles shall be tightly sealed and tested by the Rider or the SO by inverting the bottles in the presence of the Rider and any accompanying person.

34. The bottles shall be placed into their corresponding containers and sealed and their unique identification will be noted on the CoCF. The Rider and the SO shall check the container seal and the unique identification against that recorded on the CoCF. Any accompanying person shall be invited to do likewise.

35. The Rider will be asked to identify and declare (to the best of his ability) any drugs or medications taken within the last seven days. The names of such medications and/or treatments and the approximate dosage(s) shall be noted on the CoCF.

36. The Rider and the SO must sign the CoCF and any accompanying person shall be invited to do likewise. Any irregularities in the sample collection procedure identified by the Rider or any accompanying person shall be indicated on the CoCF before signature otherwise the signature will certify that the Rider is satisfied with the



sample collection procedure.

37. The CoCF consists of one original (white) and two copies (coloured yellow and blue). The original (white) shall be sent to the approved laboratory, the (yellow) copy shall be sent to the CMA and the (blue) copy shall be handed to the Rider.

38. If the Rider provides insufficient urine, the partial sample shall be stored until 30 minutes after the finishing time of the last race in a temporary bottle and sealed in the corresponding container. The temporary bottle and container will also bear unique identification which shall be confirmed by the Rider and noted on the CoCF. When the Rider is ready to provide more urine, a further collecting vessel shall be selected by the Rider and the sample provided under observation. The Rider shall return to the administration area and check the seal on the temporary container before the SO breaks it and pours the additional urine from the collecting bottle into the temporary bottle. If the sample is still insufficient, the sealing and recording procedures are repeated. However, when sufficient urine has been provided (30 ml), the procedure will continue as from Paragraph 32.

39. A Rider who has attended the sampling station to provide a urine sample but has not provided a sample and who needs to leave the sampling station before having produced a complete sample (eg to ride in a race at the meeting or to attend an enquiry) will be required to sign to indicate his acknowledgement that he must return as in Paragraph 29. During the Rider's absence, any partial urine sample in the sealed temporary bottle and container will be handled as if it were a complete urine sample and the Rider's absence noted on the CoCF.

40. A refusal or failure to provide a sample or to comply with any requirement of this Protocol is a contravention of Rule 61. If a Rider fails or refuses to give a complete sample or otherwise fails or refuses to comply with any requirement of this Protocol, that fact shall be noted by the SO on the CoCF. The form shall be signed by the Rider if he is present and the SO and any accompanying person shall be invited to do likewise and the form then distributed in accordance with Paragraph 43. A refusal by the Rider to sign the CoCF following a request to do so shall itself be a contravention of Rule 61.

41. The sealed containers carrying the 'A' and 'B' samples will be placed in an outer transport bag together with a sealed envelope containing the laboratory copy of the CoCF. The envelope shall be labelled 'Confidential' and contain details of the number of 'A' and 'B' samples enclosed. Seal numbers for the return journey to the laboratory will be documented.

42. The CMA's copy (yellow) of the CoCF shall be placed in the stamped addressed envelope provided, sealed and labelled 'Confidential' and sent immediately. The number of 'A' and 'B' samples collected will be recorded on the CoCF.

43. The SO shall complete an SO report form indicating the number of 'A' and 'B' samples collected, the selection procedure, and details of any matters which might need to be brought to the attention of the CMA and the approved collecting agent relating to facilities, unusual circumstances or any other relevant matter. The racecard and/or Rider list should be appended to this form. The SO report form shall be forwarded to the approved collecting agent.

44. The samples shall be returned to the laboratory by the SO as soon as possible after collection, utilising a secure chain of custody arranged by the Authority or the approved collecting agent.

45. After all Riders selected for sampling have produced a complete sample or 30 minutes after the finishing time for the last race of the meeting has passed, whichever is earlier, the SO will contact the Clerk of the Scales to inform him whether or not all selected Riders have been accounted for.

## **PART 5**

### **BREATH TESTING FOR ALCOHOL SAMPLING PROCEDURES AND OTHER SAMPLING PROCEDURES**

46. Breath testing for alcohol shall take place on a non-selective basis, which is to say that an SO will conduct breath testing at such meetings as the CMA may require them to attend for that purpose and every Rider present at the meeting and engaged to ride will be required to provide a breath sample. Each Rider will be required to produce his PASS card to establish his identity. If the Rider does not have his PASS card, his identity must be established to the reasonable satisfaction of the Clerk of the Scales or other BHA Official, or racecourse member of staff, on his behalf.

47. Where an SO is present at a meeting to administer breath tests, a Rider will not be permitted by the Clerk of the Scales to weigh out for his first riding engagement of the meeting until he completes the procedures for breath testing, including where this Protocol so requires, giving a second sample.

48. When a Rider is required to report to the sampling station in order to give a breath sample for alcohol the procedures will be explained to him. A failure to provide a breath sample immediately when required shall be deemed to be a refusal to provide a sample and therefore a contravention of Rule 61 unless the Rider can establish that it was impossible to provide a breath sample (or other reasonable grounds why he should not be found in contravention of Rule 61). Exemption from testing will not normally be granted by the Stewards in

respect of breath sampling. In the first instance, a screening sample will be tested, the result of which will indicate whether an immediate breath test to obtain a quantitative reading is necessary. A breath sample which, after being subjected to such a quantitative test, indicates the presence of alcohol at or above the limit specified in Schedule 3 will result in a further breath sample being taken within 15 minutes of the first. If the second breath sample confirms the result of the first breath sample (a failed breath test) the Rider will be suspended from riding for that day forthwith and the Stewards will refer the matter to the Authority.

49. The results of these two tests will be recorded and the Rider will be informed of the results. The lower of the two readings shall be used to determine the level of seriousness of the Rule contravention which may have been committed (see Guide to Procedures and Penalties).

50. When the lower of the two readings is between 17 and 50 micrograms per 100 millilitres in breath, the Rider may elect to provide a urine sample of not less than 30 ml. If the Rider fails to provide such a urine sample within 30 minutes of the second breath test, disciplinary action will proceed on the basis of the lower of the readings given by the breath testing equipment.

51. The taking of a urine sample will follow as closely as the circumstances reasonably allow the urine sampling procedure set out in this Protocol, save for the requirement in Paragraph 50 of this Protocol that the required volume of the sample must be provided within 30 minutes of the second breath test. If a Rider is unable to provide such a sample within the prescribed period, such sample, if any, as he is able to provide will be destroyed. Where a urine sample has been provided in the required amount within the prescribed time, any disciplinary action will proceed on the basis of the result of the urine sample without reference to the result of the breath test unless there is cause to doubt the validity of the analysis of the urine sample or its identification, in which event the lower of the two breath tests may be relied upon.

52. The CMA will notify the rider of the result of an analysis of any urine sample. In cases not involving a urine sample steps to convene an enquiry before a Disciplinary Panel into a possible contravention of the Rules will be taken promptly following the result of a failed breath test. In cases where a urine sample is involved, steps to convene an enquiry will be taken shortly after the Rider is notified of the result of the sample analysis.

53. A list of equipment approved by the Authority for determining alcohol levels by analysis of exhaled air will be available on request from the Authority. Sampling procedures will conform generally with the procedures prescribed by the manufacturer of the equipment in question.

54. When a Rider is required to provide sweat or saliva samples the procedures for taking swabs (which shall have been approved by the Authority and available on request from the Authority) will be explained to him.

## **PART 6**

### **NOTIFICATION OF RESULTS**

55. The results of the analyses of all samples shall be passed directly to the CMA, the Senior Medical Administrator and the Head of Integrity (Operations), and shall not be disclosed to a third party other than the Rider as in Paragraph 56 and such other persons that are required to receive them in accordance with the terms of this Protocol.

56. These results will, wherever possible, be notified to the relevant Rider within 72 hours of receipt by the CMA in such a way as may reasonably be expected to protect the Rider from identification.

57. If analysis of the 'A' sample shows a positive result the Rider may provide an explanation for the positive result to the CMA and require within 3 working days of the notification in Paragraph 56 analysis of the 'B' sample. Wherever possible, the 'B' sample will be analysed within 10 working days of the requirement and at the original laboratory. However, the Rider may also require within 3 working days of the notification in Paragraph 56, that the 'B' sample is analysed at another UKAS accredited laboratory approved by the Authority. A Rider will forego the opportunity to have the 'B' sample analysed or to choose an alternative laboratory for such analysis if he fails to take the necessary action within the aforesaid time periods. Where the Rider requires analysis of the 'B' sample, the Disciplinary Panel may order the Rider to pay the costs of the analysis of the 'B' sample (up to a maximum of £1000) if it is satisfied that the Rider should have accepted the result of the analysis of the 'A' sample having regard to the knowledge of and the information which was available to the Rider at the time.

58. The Rider concerned, and/or a representative is entitled to be present during analysis of the 'B' sample at the laboratory on production of appropriate identification. The Rider will be consulted over the fixing of the appointment for the analysis of the 'B' sample and the Authority will use reasonable endeavours to accommodate the Rider and his chosen representative. The Rider shall be entitled to not less than 3 working days' notice of the date of the analysis but his presence is not essential to the process and he shall have no complaint if the appointment is inconvenient for him or his representative even to the extent of making their presence impossible.

59. The result of 'B' sample analysis will, wherever possible, be notified to the Rider within 72 hours of receipt by the CMA.

60. If the Rider does not request analysis of the 'B' sample within the stipulated period or analysis of the 'B' sample confirms a positive result the matter will be referred to the Compliance Department for preparation of disciplinary charges and arrangement of a Disciplinary Panel enquiry. In this Protocol positive result means the result of an analysis of a sample which shows the presence of any banned substance or notifiable medication as defined and provided for in Rule 58. When analysis of a 'B' sample takes place and it does not confirm a positive result the Rider will not be in contravention of Rule 64 or 65.

## **PART 7**

### **ENHANCED CONTROLS**

61. Riders penalised for a contravention of any provision of Part 6 may, at the discretion of the Authority, be obliged to submit to an enhanced sampling programme on and off-course as a condition of reinstatement and to undergo additional sampling during the period of suspension, off-course. In addition, a Rider who is the subject of a positive 'A' sample may be obliged to submit to an enhanced sampling programme on and off-course until the time of the disciplinary hearing or until any 'B' sample fails to confirm the result, whichever is the earlier (see Parts 8 and 9 of this Protocol).

62. Riders penalised by a Recognised Racing Authority or convicted by a criminal court for an offence relating to drugs may, at the discretion of the Authority, also be required to submit to an enhanced on and off-course programme of sampling over a period of 60 months from the time when the penalty or conviction is imposed. Note: Riders found to have committed an offence relating to drugs and disqualified by a Recognised Racing Authority should note the provisions of Rule (A)68 (person disqualified by order of a Recognised Racing Authority).

63. Riders required to submit to an enhanced programme of sampling must be notified in writing of this requirement and shall not be selected for enhanced sampling before such notification has occurred. The contents of any such letter addressed to the Rider at the address most recently given to the Authority's office as his address, shall be regarded as having been notified to him 7 days after the date of posting.

64. Riders subject to enhanced testing will be identified by an official list supplied by the Authority given to the lead SO. The list will be time limited and regularly reviewed.

65. Following the random selection procedure, any Rider subject to enhanced testing who has not been selected by the random selection procedure may be required to undergo sampling in accordance with the sampling procedure specified in Part 4 of this Protocol.

## **PART 8**

### **SAMPLING TESTS CONDUCTED OFF-COURSE**

66. If a Rider is exempted from a sampling test at the racecourse or is subject to an enhanced sampling programme or is ordered by the Stewards under Rule (B)8 to submit himself to testing for the presence of a banned substance or notifiable medication, he may be required to undergo off-course testing and the procedure outlined below will operate unless Paragraph 73 or Part 9 of this Protocol applies.

Note: a Rider who is selected for random urine sampling and who fails to arrive at the racecourse will be required under Rule (B)8 to undergo off-course testing.

67. An SO will contact the Rider by telephone or in person, without prior notice, to notify the Rider of his selection for off-course testing. The SO will carry appropriate authorisation naming the individual, together with his SO identity card.

68. The SO will make a minimum of three attempts to contact the Rider over a period of 5 days. The SO shall not identify the purpose of the contact to anyone other than the Rider. If the Rider is unavailable or absent throughout this time from the address provided by the CMA, then the SO shall forward a report of non-availability to the approved agent.

69. When the SO contacts the Rider by telephone, a time and place for collection of the sample will be arranged as soon as possible and no later than within 8 hours of the contact. The Rider will be invited to propose a close and easily accessible meeting point and a reasonable time and suitable, private place for sampling. The Rider's suggestion will be the sampling place provided the SO agrees that such place is suitable for carrying out the sampling procedures. If the SO acting reasonably considers the suggested sampling place is unsuitable the Rider must propose an alternative(s) until the SO is able to agree one which is suitable. The SO will wait for one hour at the proposed meeting point beyond the time agreed. Thereafter the Rider shall be declared as absent from testing and a report made to the approved agent.

70. The Rider shall attend at the time and meeting point agreed. Any Rider who fails to suggest a reasonable time and sampling place and/or who fails without reasonable cause to attend the agreed meeting point at the agreed time and/or who having attended as agreed fails without reasonable grounds to provide the requisite sample or

samples shall be deemed to have refused a sample in contravention of Rule 61.

71. The Rider will be advised to bring means of identification and of his right to be accompanied by one other person during the sample collection procedure. Any accompanying person should also bring means of identification. Details of the means of identification will be recorded on the CoCF and SO report form.

72. If the SO notifies the Rider in person without prior notice, sample collection procedures may begin immediately.

73. Urine sampling will also be conducted off-course at the British Racing School and Northern Racing College when a Rider is attending riding courses run by either establishment. Any Rider attending such courses may be subject to sampling which will not be conducted on a random sampling basis. If analysis of a urine sample in such circumstances shows a positive result the procedures specified in this Protocol for such eventuality apply and the matter will be referred to the Integrity, Legal and Risk Department. The procedures specified in Paragraphs 67 to 72 do not apply to such sampling.

74. Sample collection procedures conducted off-course will as far as practicable follow those specified in Part 4 of this Protocol.

## **PART 9**

### **PROCEDURES TO BE FOLLOWED REGARDING REINSTATEMENT**

75. Following the withdrawal of a Rider's licence or permit for contravention of Rule 61, 63, 64 or 65, the Rider should contact the CMA halfway through the period of withdrawal in order to make arrangements for the completion of any reinstatement protocol in force from time to time prior to the end of the period of withdrawal. In any event, the Rider must give the CMA a minimum of 4 weeks' notice of his intention to apply for the reinstatement of the licence or permit.

76. During the said 4 week period the Rider must be available at all times in Great Britain (England, Scotland and Wales) for ready contact. A contact address and telephone number must be provided with the notice which will enable the SOs and/or counsellors appointed by the Authority to contact the Rider for testing without notice and counselling.

77. If the SOs and/or counsellors appointed by the Authority are unable to contact the Rider on two occasions an explanation will be required from the Rider and is likely to lead to the licence or permit application being delayed.

## **PART 10**

### **PROCEDURES FOR NOTIFIABLE MEDICATIONS**

78. When a Rider is prescribed by a medical practitioner any notifiable medication (as listed in Part 2 of Schedule 3) the Rider must inform the CMA of that fact immediately.

79. After the CMA has been informed that a Rider has been prescribed a notifiable medication he will consider whether the Rider is unfit to ride. In appropriately serious cases he may recommend forthwith to the Authority's Licensing Committee that the Rider's licence be suspended until such time as is necessary for the procedures specified in Paragraphs 80 and 81 to be completed. The Licensing Committee may make its decision without a hearing and without the Rider being given prior notice of the recommendation.

80. To enable the CMA to consider whether the Rider is or is not fit to ride, the Rider must confirm in writing that he has been prescribed a notifiable medication accompanied by a report from his medical practitioner stating the diagnosis and the prognosis for recovery. The Rider will provide, if so required by the CMA, the Rider's permission to contact the Rider's medical practitioner and/or specialist and to obtain such further medical report(s) and history as the CMA may reasonably deem necessary relevant to his assessment of the Rider's fitness to ride and will submit to any medical examination by the CMA and/or an independent medical practitioner as the CMA may require.

81. Upon completion of the process the CMA may either

81.1 authorise the Rider to continue to ride, or

81.2 recommend to the Licensing Committee that the Rider's licence or permit be suspended until such time as the course of medication is completed or the Rider's medical status is no longer a cause for concern. The Licensing Committee may make its decision without a hearing and without the Rider being given prior notice of the recommendation.

82. The Rider may invoke the Medical Review Procedure in relation to any suspension imposed by the Licensing Committee following a recommendation by the CMA.

83. Where it is established that a Rider has failed to obtain the written authorisation referred to in Paragraph 80 he will be in contravention of Rules 63 and 64.

## **Schedule 5 - Deleted**

## **Schedule 6 - Fees**

### ***Flat races***

- 1.1 Paragraph 1 applies to any Professional Rider (including an Overseas Rider) riding in a flat race run under these Rules.
- 1.2 Subject to Paragraph 5.2, the fee payable to the Professional Rider for a race is £127.14.
- 1.3 If VAT is payable, it must be paid in addition to the fee unless the Professional Rider is an Apprentice Jockey (in which case the fee paid shall be inclusive of VAT where applicable).
2. Where a fee under Paragraph 1 is payable to an Apprentice Jockey, the Apprentice Jockey and his employer must each pay a sum of 5.0% of their share of the fee to the Authority for industry training.

### ***Steeple chases, hurdle races or National Hunt Flat Races***

- 3.1 Paragraph 3 applies to any Rider (including an Overseas Rider) riding in a steeple chase, hurdle race or National Hunt Flat Race run under these Rules.
- 3.2 Subject to Paragraph 5.2, the fee payable to the Professional Rider for a race is £173.59.
- 3.3 If VAT is payable, it must be paid in addition to the fee unless the Professional Rider is a Conditional Jockey (in which case the fee shall be inclusive of VAT where applicable).
- 3.4 In the case of an Amateur Rider no fee is payable except where he
- 3.4.1 rides in a race that is not confined to Amateur Riders, and
  - 3.4.2 has had more than 75 rides in Great Britain in races open to Professional Riders,

when a sum equal to the fee payable under Paragraph 3.2 must be paid to the Authority unless the horse is the sole property of one or more of the Persons listed in Paragraph 3.5.

3.5 The listed persons are

- 3.5.1 the Amateur Rider,
- 3.5.2 his spouse or civil partner,
- 3.5.3 any of his parents, grandparents, sons, daughters, grandchildren, brothers or sisters, or
- 3.5.4 the executors or administrators any of the above.

4.1 Where a fee under Paragraph 3 is payable to a Conditional Jockey

- 4.1.1 subject to Paragraph 4.2, the sum of 3.75% of their share of the fee must be paid to the Authority by both the Conditional Jockey and his employer where the Conditional Jockey is eligible to claim a 7lb weight allowance under Rule (F)141, or
- 4.1.2 the sum of 7.5% must be paid by the Conditional Jockey to the Authority if the Conditional Jockey is no longer eligible to claim the 7lb allowance.

4.2 The sum is not payable by the employer if the employer is a Trainer who holds a permit granted by the Authority.

4.3 All sums payable are for industry training.

### ***Fees becoming due***

5.1 Subject to Paragraph 5.2, a fee under Paragraph 1 or 3 becomes payable

- 5.1.1 in a case where the Stewards have given permission for a horse to proceed to the start before the signal to mount is given, once the Rider has mounted, and
- 5.1.2 otherwise, once the signal to mount is given.

5.2 A Rider shall not be entitled to any fee, and the Owner shall not be payable for any fee, in respect of a race where the Rider is found to have contravened any of the following Rules

- 5.2.1 Rule (B)53 (dangerous riding), or
- 5.2.2 Rule (D)47 (failure to present himself to be weighed in).

6. Where a fee is payable under Paragraph 1 or 3, the Owner of the horse must pay an additional sum equivalent to 13% of the fee to the Trustees of the Professional Riders Insurance Scheme for application under the trusts of the Scheme.

7. Subject to Paragraph 5, an additional fee shall be payable where the Stewards authorise the substitution of a Rider following weighing out in exercise of their powers under Rule (B)25.2.2 (late change of rider after weighing out).

#### ***Fees payable-on-course physical therapy***

8. Where a fee is payable under Paragraph 1, 3 or 7 to a Professional Rider, the Rider shall pay the sum of

8.1.1 0.5% in respect of a flat race

8.1.2 0.65% in respect of a steeple chase, hurdle race or a National Hunt Flat Race

to the Authority for the provision of on-course physical therapy services.

#### ***Fees for Master Valets and Assistant Valets***

9.1 A Master Valet or an Assistant Valet shall be paid a daily attendance entitlement in relation to each occasion that he attends and provides services at a race meeting.

9.2 The payment shall be made from the Jockey's Valets' Attendance Fund and the rate shall be such as the Authority may from time to time decide.

9.3 Jockey's valets' attendance fund means such organisation as the Authority may from time to time specify as being the organisation which it considers best represents the interests of jockey's valets.

#### ***Fees for Professional Rider when horse is a non-runner***

10.1 Any Professional Rider who has been declared to ride a horse under Rule (F)92 or substituted to ride a horse under Rule (B)25 but whose horse is subsequently made a non-runner at or after 9.00a.m. on the day of the race will receive a fee of £50.86(Flat) and £69.44(Jump).

10.2 If VAT is payable, it must be paid in addition to the fee unless the Professional Rider is an Apprentice or Conditional Jockey (in which case the fee paid shall be inclusive of VAT where applicable).

10.3 No fee is payable where the meeting or race is abandoned.

10.4 No additional payments or deductions are applicable to either fee.

#### **Index of defined expressions**

1. This index provides a guide to words or expressions which are defined generally and so liable to be met in provisions which do not themselves contain the definition.

2. Where a term is used only in one Rule (or in a series of closely connected Rules), the definition will be set out in that Rule. Always check the Rule itself before looking at this index.

3. Where a term is used in more than one place, it will start with a capital letter. The second column of this index tells you where you can find the substantive definition.

4. This index is not part of these Rules.

<b><i>Defined term</i></b>	<b><i>Where term is defined (references are to Rules unless other specified)</i></b>
Amateur Rider (Parts 5 to 8)	86
Amateur Rider's Permit	16.2
Analysis of Samples (Part 6)	58
Apprentice Jockey	85
Apprentice Jockey's Agreement	8.7
Apprentice Jockey's Licence	3.4
Assistant rider's agent	87
Assistant Valet	87
the Authority	87
the Authority's Office	87

Banned Substance (Part 6)	58
Breeder	55.4
Betting Organisation	87
Chief Medical Adviser	87
Conditional Jockey	85
Conditional Jockey's Agreement	9.8
Conditional Jockey's Licence	3.4
Consideration	55.4, 56.3
Disciplinary Action	87
Disqualified Person	87
Hunters' Steeple Chase	87
Integrity Code of Conduct	87
Jockey	85
Jockey's Licence	3.2
Jockey's Valet's Attendance Fund	Schedule 6 (Para 9.3)
Master Valet	87
Medical Record Book	87
Mobile Telephone	33.6
National Hunt Flat Race	87
Notifiable Medication (Part 6)	58
Overseas Rider	86
Parental Responsibility	87
Person	87
Phone Zone	33.6
Positive Test for Banned Substance (Part 6)	59
Prescribed	87
Professional Rider (Parts 5 to 8)	86
the Protocol (Part 6)	58
Racecourse Managing Executive	87
Racecourse Medical Officer	87
Racecourse Property	87
Racing Administration Internet Site	87
The Racing Calendar Office	87
Recognised Racing Authority	87
Reportable Injury	13.2
Restricted Period	32.2
Rider	84
these Rules	87
Sample (Part 6)	58

Trainer	87
VAT	87
Veterinary Officer	48.5



## **PART 1 - SCOPE OF MANUAL**

### **1. Introduction**

1.1. Part (A)3 provides that a horse trained in Great Britain is not qualified to be entered for or start in any race under these Rules unless

1.1.1 the name of the horse is entered on the register of horse names maintained by the Authority,  
and

1.1.2 the name of the owner is entered in the register of owners maintained by the Authority.

1.2 In this Manual

1.2.1 Part 2 provides for the registration of horse names and imposes specific requirements applying to any horse trained in Great Britain, and

1.2.2 Part 3 provides for the registration of the names of the owner of any horse trained in Great Britain, registration of an owner's racing colours and certain other requirements applying to owners.

1.3 A Person is liable to Disciplinary Action if

1.3.1 he contravenes a requirement imposed on him by or under these Rules,

1.3.2 any provision of these Rules states that he is taken to have contravened any such requirement, or

1.3.3 any provision of these Rules states that he is liable to Disciplinary Action.

1.4 Disciplinary Action may also be taken against a Person in any of the circumstances specified in Rules (A)63 to (A)70.

## PART 2 - HORSES

### CHAPTER 1 INTERPRETATION

#### 2. Interpretation of Part 2

2.1 In Part 2, unless the context otherwise requires

**Export Certificate**, in relation to a horse foaled outside Great Britain, Ireland or the Channel Islands, means a certificate of pedigree for the horse which

2.1.1 states the name, pedigree, age, sex, colour and markings of the horse, and

2.1.2 is issued and endorsed by a Recognised Stud Book Authority or, in the absence of such an Authority, the Recognised Racing Authority of the country in which the horse was foaled, and

2.1.3. is endorsed by the Stud Book Authority or Racing Authority of any other country which the horse has visited before importation into Great Britain

**Horse** includes mare, gelding, colt, and filly and for the purposes of Rule 18 includes a pony, mule, ass or hinny;

**Microchip** means a microchip approved by the Stud Book Authority of Great Britain and Ireland;

**Non-Thoroughbred Register** means the work authorised to be published under that name by the Authority;

**Racecourse Managing Executive** means the person who holds a racecourse licence granted by the Authority under Part (F)2;

**Racecourse Property** means any property owned, used or controlled by the racecourse managing executive;

**Register of Stable Employee Names** means the register of the names of employees of a trainer which is maintained by the Authority under Part (A)3 (licences, permits and registration);

**Stud Book** means the register of the breeding of thoroughbred horses in their country of origin;

**Veterinary Officer** means a registered veterinary surgeon engaged by the Authority;

**Veterinary Surgeon** means any qualified veterinary practitioner appropriately registered to practice.

### CHAPTER 2 - REGISTRATION OF NAMES OF HORSES TRAINED IN GREAT BRITAIN

#### *Applying to register the name of a horse*

#### 3. The register of names of horses trained in Great Britain

3.1 Where the Authority receives an application in respect of a horse trained in Great Britain which is made in accordance with Rules 4 to 7, the Authority may approve the application and enter the name of the horse in the register of horse names.

3.2 A name which is registered in respect of a horse shall be the horse's name for the purposes of these Rules.

3.3 Each application to register a name must be accompanied by the appropriate fee specified in Schedule (A)1.

#### 4. Making an application to register a horse name

4.1 An application to register the name of a horse must be made using the Prescribed form.

4.2 The application must

4.2.1 contain such information as the form may require,

4.2.2 be accompanied by the appropriate supporting documents in accordance with Rule 5 or 6, and

4.2.3 be signed by or on behalf of the Owner or Trainer.

4.3 In determining whether to approve an application, the Authority may have regard to such matters as it may consider appropriate.

#### 5. Supporting documents: horse foaled in Great Britain, Ireland or Channel Islands

5.1 This Rule applies to an application to register the name of a horse in any case where the horse was foaled in Great Britain, Ireland or the Channel Islands.

5.2 The application to register the horse's name must be accompanied by

5.2.1 its passport (except where the horse happens to be outside Great Britain, Ireland or the Channel Islands at the time the application is made), and

5.2.2 such other documents as may be required under Paragraph 5.3 or 5.4.

5.3 In any case where the horse's passport does not already contain evidence from a Veterinary Surgeon that a Microchip has been implanted, the application must also be accompanied by a statement from a Veterinary Surgeon that the horse has been implanted with an identifying Microchip.

5.4 In any case where the Person who signs the application is unable to confirm the markings of the horse shown in the passport, the application must also be accompanied by an age and markings certificate that complies with Rule 7.1.

5.5 In this Rule references to a horse's passport are to the approved diagrammatic document of identity for the horse which is issued

5.5.1 by the Stud Book Authority of Great Britain and Ireland in accordance with such directions as may be given by the Authority, or

5.5.2 in such other manner as the Authority may specify.

## **6. Supporting documents: horse foaled elsewhere**

6.1 This Rule applies to an application to register the name of a horse in any case where the horse was foaled in a country other than Great Britain, Ireland or the Channel Islands.

6.2 The application must be accompanied by

6.2.1 the passport (if any) issued for that horse, and

6.2.2 an age and markings certificate that complies with Rule 7.1.

6.3 The application must also be accompanied by a statement from a Veterinary Surgeon that the horse has been implanted with an identifying Microchip in any case where the horse is trained in Great Britain and

6.3.1 the horse's passport does not already contain evidence from a Veterinary Surgeon that such a Microchip has been implanted, or

6.3.2 the horse has no passport.

6.4 In this Rule references to a horse's passport are to the approved diagrammatic document of identity for the horse which was issued on the authority of a Recognised Racing Authority.

## **7. Age and markings certificates**

7.1 An age and markings certificate in respect of a horse is a certificate signed by a Veterinary Surgeon which

7.1.1 specifies the markings of the horse, and

7.1.2 states the age of the horse.

7.2 The Veterinary Surgeon must satisfy the following conditions:

7.2.1 The Veterinary Surgeon must not be

7.2.1.1 the Owner of the horse or any person related to the Owner of the horse;

7.2.1.2 the Trainer of the horse or any person related to the Trainer of the horse; or

7.2.1.3 a Person shown in the Register of Stable Employee Names as being employed by the Trainer; and

7.2.2. The Veterinary Surgeon must be independent of the Owner and Trainer of the horse.

7.2.3 Where the Authority is not satisfied that the Veterinary Surgeon is independent of the Owner and the Trainer of the horse, it may reject any age and markings certificate. This Paragraph applies whether or not the Authority subsequently commences an enquiry to consider possible Disciplinary Action.

7.3 Where an age and markings certificate is required in support of an application to register the name of a horse, the Authority must compare the certificate with

7.3.1 if the horse was foaled in Great Britain, Ireland or the Channel Islands, the markings first recorded for the horse in the Stud Book maintained by the Stud Book Authority of Great Britain and

Ireland;

7.3.2 if the horse was foaled elsewhere, the markings contained in its Export Certificate.

7.4 The Authority must not approve the application if

7.4.1 it considers that there is a discrepancy between the age and markings certificate and the document specified in Paragraph 7.3.1 or 7.3.2, and

7.4.2 the horse's identity cannot be verified by a blood or a DNA test.

7.5 If the delivery of the Export Certificate for a horse has been delayed, the Authority may provisionally approve an application subject to subsequent verification of the horse's identity.

7.6 The appropriate fee specified in Schedule (A)1 is payable by an applicant for the carrying out of

7.6.1 a comparison required by Paragraph 7.3.2, or

7.6.2 a test for the purposes of Paragraph 7.4.2,

whether or not the identity of the horse is verified as a result.

## 8. Requirements for an application to be approved

8.1 Unless the Authority direct otherwise an application for registration will only be accepted if

8.1.1 it has received all the documents required by Rules 4 to 7, and

8.1.2 it is satisfied that each of the following conditions is met in respect of the application.

8.2 The first condition is that

8.2.1 the horse's identity has been properly verified, and

8.2.2 the horse has been implanted with an identifying Microchip.

8.3 The second condition is that the horse has been accepted for inclusion in

8.3.1 the Stud Book maintained by the Stud Book Authority of Great Britain and Ireland,

8.3.2 a Stud Book approved by the International Stud Book Committee (see Paragraph 8.6),

8.3.3 the Non-Thoroughbred Register, or

8.3.4 the Autre Que Pur Sang (AQPS Register).

8.4 The third condition is that the name of the horse

8.4.1 has been determined in accordance with Schedule 1, and

8.4.2 has not been reserved under Rule 11.

8.5 The fourth condition is that the horse, and its sire and dam, are each the produce of a natural service or covering and that, in the course of breeding the horse

8.5.1 a natural gestation took place in the body of the mare in which the foal was conceived, and

8.5.2 the foal was delivered from the mare's body.

8.6 Schedule 2 lists the countries in respect of which Stud Books have been approved by the International Stud Book Committee.

8.7 In Paragraph 8.5, **Natural Service or Covering** means the physical mounting of a mare by a stallion and which can include the immediate re-inforcement of the stallion's service or cover by a portion of the ejaculate produced by that stallion during that service or cover of that same mare.

## 9. Registration of the name

9.1 Where the Authority approves an application it shall register the name of the horse.

9.2 Deleted.

9.3 Deleted.

9.4 In respect of a horse which was foaled outside Great Britain or the Channel Islands

9.4.1 a letter code shall be added to the register to denote the country of foaling, and

9.4.2 this shall form part of the registered name.

## 9.5 The registration of a name is void if

9.5.1 after registration, it appears to the Authority that any of the conditions specified in Rule 8 were not satisfied at the time of registration, and

9.5.2 the Authority directs that the registration shall be void.

## 9.6 The registration of a name is suspended if

9.6.1 after registration, it is found that that the horse's breeder made an inaccurate, misleading or fraudulent declaration at the time of registration with the Stud Book of Great Britain and Northern Ireland, and

9.6.2 the Authority directs that the registration shall be suspended.

### ***Further provisions as to names***

## **10. Changing a name**

10.1 A name that is registered for a horse may be changed but only in the following circumstances

10.1.1 the Authority decides to correct an incorrect name which has been published in error, or

10.1.2 an application to register a new name is made to, and approved by, the Authority under this Rule.

10.2 The Authority may approve an application to register a new name for the horse if the Authority has received all the documents required by Rules 4 to 7 and is satisfied that

10.2.1 each of the conditions for approval specified in Rule 8 are met in respect of the application, and

10.2.2 Paragraph 10.3 does not prevent it from giving its approval.

10.3 No approval may be given if

10.3.1 the horse has run under these Rules, the rules of a Recognised Racing Authority or in a Point to Point Steeple Chase run in Great Britain or Ireland, or

10.3.2 the name of the horse is also registered by a Recognised Racing Authority and that Racing Authority has not given its permission to the name change, or

10.3.3 the horse has been registered either as a broodmare or as a stallion in

10.3.3.1 the Stud Book maintained by the Stud Book Authority of Great Britain and Ireland,

10.3.3.2 the Non-Thoroughbred Register, or

10.3.3.3 any other Stud Book or non-thoroughbred register which is authorised to be published by a Recognised Racing Authority.

## **11. Reserving a name**

11.1 Subject to Paragraph 11.6, a Person may apply to The Racing Calendar Office for the name of a horse to be reserved.

11.2 If the application is approved, the name may be reserved for a period not exceeding one year.

11.3 The reservation of a name may, on further application, be renewed once and for a period not exceeding one year.

11.4 No application under this Rule may be approved unless the Authority is satisfied that the name has been determined in accordance with Schedule 1.

11.5 Any name which is reserved for a horse under this Rule shall not have the effect of identifying the horse for the purposes of these Rules until the name has been fully registered in accordance with Rule 9.

11.6 No application will be accepted if made by telephone.

## **12. Fees for an application under Rule 10 or 11**

12.1 An application under Rule 10 or 11 must be accompanied by the appropriate fee specified in Schedule (A)1.

12.2 A fee paid on an application to reserve a name may be remitted where

12.2.1 the reserved name is subsequently rejected on an application to register the name,

12.2.2 a reservation for a period not exceeding 90 days is renewed, or

12.2.3 a name which was reserved for a period not exceeding 90 days is subsequently registered under this Manual.

12.3 No fee may be remitted in any other circumstances.

## **CHAPTER 3 - IDENTITY AND VACCINATION OF HORSES**

### ***Issue of passports by a Stud Book Authority***

#### **13. Requirement for a horse trained in Great Britain to have a passport**

13.1 Each horse trained in Great Britain must have a passport issued by a Stud Book Authority.

13.2 The purpose of that passport is to ensure that the horse can be identified at all times and, accordingly, the passport must always accompany the horse and be available for inspection

13.3 In the event of failure to comply with Paragraph 13.2 in respect of a horse which is on Racecourse Property, the Trainer or the Owner of the horse are liable to Disciplinary Action.

13.4 Any passport is returnable on demand and is issued subject to the condition that all the requirements of these Rules relating to passports must be complied with.

#### **14. Issue and replacement of a passport**

14.1 Where the Authority registers the name of a horse under this Part, the Stud Book Authority shall revise and re-issue any passport for the horse that it received under Rule 5 or 6.

14.2 The Stud Book Authority may issue a passport for a horse in such other circumstances as it may consider appropriate.

14.3 A passport is invalidated if the seal (spine) is damaged or broken.

14.4 The appropriate fee specified in Schedule (A)1 is payable for

14.4.1 the initial issue of a passport under this Rule,

14.4.2 its revision or reissue, or

14.4.3 the replacement of a lost passport.

### ***Checking the identity of a horse***

#### **15. Identity checks for horses trained in Great Britain**

15.1 An identity check must be carried out on any horse which is trained in Great Britain in any case where the horse has been declared to run in a race under Rule (F)89 and

15.1.1 the race is the horse's first in Great Britain,

15.1.2 the race is the horse's first since changing Trainer, or

15.1.3 the horse is required at the request of a Veterinary Officer for a routine vaccination or health check.

15.2 When the declaration sheet for the horse is verified in accordance with Rule (B)23 (verifying the declaration sheet), the horse and its passport must be available for inspection by a Veterinary Officer not less than three quarters of an hour before the advertised time for the race.

15.3 If the horse's passport is not available in accordance with Paragraph 15.2, the Trainer and the Owner of the horse are liable to Disciplinary Action and

15.3.1 in the circumstances specified in Paragraph 15.1.1 or 15.1.2, the horse is not permitted to run in any race under these Rules (see Paragraph 5 of Schedule (B)3);

15.3.2 in the circumstances specified in Paragraph 15.1.3, the horse may run if the Trainer confirms in writing that he holds the passport.

15.4 Where the requirements of Paragraph 15.2 are not complied with on the first occasion when they apply, they shall continue to apply until they are complied with.

15.5 Failure to present the correct horse to the Veterinary Officer as required by Paragraph 15.2 may result in Disciplinary Action being taken against the Trainer.

## **16. Identity check for horse trained outside Great Britain**

16.1 This Rule applies each time a horse is to run in a race under these Rules where

16.1.1 the horse is trained in a country other than Great Britain, and

16.1.2 the declaration sheet for the horse is verified in accordance with Rule (B)23 (verifying the declaration sheet).

16.2 An identity check must be carried out in accordance with Paragraph 16.3 or 16.4 and, unless the requirements of those Paragraphs are complied with

16.2.1 the Trainer and the Owner of the horse are liable to Disciplinary Action, and

16.2.2 the horse will not be permitted to run in any race under these Rules (see Paragraph 19 of Schedule (B)3).

16.3 If the horse has been issued with a passport by a Recognised Racing Authority

16.3.1 the horse and its passport must be available for inspection by a Veterinary Officer not less than three quarters of an hour before the advertised time for the race, and

16.3.2 if the horse is from a country other than Ireland, the Trainer must ensure that the requirements of Rule 24 are also met in relation to the horse.

16.4 If the horse has no passport

16.4.1 the horse must be presented to a Veterinary Officer, not less than three quarters of an hour before the advertised time for the race, and

16.4.2 the following documents must be lodged at The Racing Calendar Office

16.4.2.1 an Export Certificate, and

16.4.2.2 an age and markings certificate for the horse which is signed in Great Britain or Ireland or the Channel Islands by a Veterinary Surgeon, and

16.4.3 if the horse is from a country other than Ireland, the Trainer must ensure that the requirements of Rule 24 are also met in relation to the horse.

16.5 The age and markings certificate must be completed by a Veterinary Surgeon who is unrelated to and independent of the Owner of the horse, the Trainer of the horse and any Person shown in the Register of Stable Employee Names as being employed by the Trainer.

## **17. Horses from outside Great Britain or Ireland: export certificates and passports**

17.1 Where a horse is imported into Great Britain to be trained in Great Britain, the Export Certificate for the horse must be received at the Stud Book Authority of Great Britain and Ireland before the horse may be declared to run in any race under these Rules, and within 90 days of arrival in Great Britain.

17.2 A horse which is trained outside Great Britain or Ireland may not run for a period exceeding 90 days on the production of its passport alone.

17.3 For the purposes of Paragraph 17.2, the period of 90 days commences with the date when the passport is endorsed by the Recognised Racing Authority where the horse is trained and is valid for one journey only.

17.4 The requirements of Paragraph 17.1 does not apply to horses imported from Ireland.

17.5 Where a horse is imported into Great Britain to be trained in Great Britain, before the horse may be declared to run in any race under these Rules, unless otherwise approved by the Authority, the Authority must be in receipt of a certificate of analysis issued by a BHA-approved Laboratory reporting no evidence of the presence or use of a prohibited substance or prohibited method prohibited at all times in a sample collected from the Horse in accordance with Schedule (G)2 Paragraph 4. All sample collection and analysis costs shall be borne by the applicant.

17.6 The Authority may from time to time exempt horses imported into Great Britain from certain Recognised Racing Authorities from being subject to the requirement in Rule 17.5.

### ***Vaccinations against equine influenza***

## **18. Vaccinations against equine influenza**

18.1 This Rule applies in respect of any horse which enters Racecourse Property apart from

18.1.1 any foal less than 6 months old whose dam was vaccinated in accordance with this Rule before foaling, or

18.1.2 horses crossing land which is common ground or is subject to statutory rights for public access for air and exercise.

18.2 The horse must have been vaccinated against equine influenza by a veterinary surgeon in accordance with Paragraphs 18.3 to 18.6.

18.3 The vaccines administered must either appear on the list of equine influenza vaccinations which is maintained by the Authority or be acceptable to a Veterinary Officer.

18.4 The horse must have received two primary vaccinations which are given not less than 21 days and not more than 92 days apart.

18.5 If sufficient time has elapsed, the horse must also have received

18.5.1 a booster vaccination which is given not less than 150 days and not more than 215 days after the second component of the primary vaccination, and

18.5.2 further booster vaccinations at intervals of not more than a year apart (or such lesser time as the Authority may, in an emergency, decide).

18.6 None of the vaccinations must have been given on the day of a race in which the horse is declared to run or on any of the 6 days before the race.

18.7 In the event of failure to comply with any of the requirements of this Rule in respect of a horse which is on Racecourse Property

18.7.1 unless the Stewards have given their permission the horse will not be permitted to run in any race; and

18.7.2 the Trainer or the Owner of the horse is liable to Disciplinary Action.

18.8 The Trainer or the Owner of the horse shall not be liable under Rule 18.7 when

18.8.1 the failure to comply with the requirements of this Rule occurred prior to the horse coming into the Trainer or Owner's care or control, and

18.8.2 a Veterinary Officer has subsequently inspected the non-compliant passport and incorrectly stamped it as satisfactory, and

18.8.3 the Trainer or the Owner has not previously been notified of the error.

## **19. Vaccination checks**

19.1 For the purposes of determining whether the requirements of Rule 18 have been met, the following documents must be available for inspection in respect of a horse which is on Racecourse Property

19.1.1 any passport issued for the horse, or

19.1.2 the vaccination records for the horse.

19.2 Where the horse has a passport, the vaccination section of the horse's passport must have been completed by a Veterinary Surgeon or a Recognised Racing Authority.

19.3 Vaccination records for a horse which meet the conditions specified in Paragraph 19.4 may be relied on where

19.3.1 the horse is trained in a country that does not issue passports, or

19.3.2 no passport has been issued for a horse which is brought to the meeting as a companion animal.

19.4 The conditions are that the vaccination records include a combined identification and vaccination certificate signed by a Veterinary Surgeon which identifies the horse, states that it has received vaccinations against equine influenza and gives the dates of each vaccination.

19.5 The conditions in Paragraph 19.2 shall be regarded as not having been met if any entry in a passport of



details of vaccination against equine influenza has been altered in any way other than where

19.5.1 an incorrect entry has been completely deleted, and

19.5.2 a new entry has been made and signed

19.5.2.1 by the Veterinary Surgeon who gave the vaccination, or

19.5.2.2 if that Veterinary Surgeon (or his representative) provided details of the vaccination to another Veterinary Surgeon, by that other Veterinary Surgeon.

19.6 Any passport or vaccination record must be completed by a Veterinary Surgeon who satisfies the following conditions:

19.6.1 The Veterinary Surgeon must not be:

19.6.1.1 the Owner of the horse or any person related to the Owner of the horse;

19.6.1.2 the Trainer of the horse or any person related to the Trainer of the horse; or

19.6.1.3 a Person shown in the Register of Stable Employee Names as being employed by the Trainer; and

19.6.2. The Veterinary Surgeon must be independent of the Owner and Trainer of the horse.

19.6.3 Where the Authority is not satisfied that the Veterinary Surgeon is independent of the Owner and the Trainer of the horse, it may reject any passport or vaccination record. This Paragraph applies whether or not the Authority subsequently commences an enquiry to consider possible Disciplinary Action.

## **CHAPTER 4 - RACING OUTSIDE COUNTRY OF TRAINING**

### ***Horse trained in Great Britain and Ireland: racing elsewhere***

## **20. Requirements for racing outside Great Britain and Ireland**

20.1 No horse which is trained in Great Britain may race outside Great Britain and Ireland unless either

20.1.1 a racing clearance notification in respect of the race has been issued for the horse under Rule 21, or

20.1.2 any passport issued for the horse by a Recognised Racing Authority has been endorsed under Rule 22.

## **21. Racing clearance notifications**

21.1 In this Rule, a racing clearance notification is a notification from The Racing Calendar Office to a Recognised Racing Authority

21.1.1 stating that the Trainer holds a licence or permit to train granted by the Authority, and

21.1.2 stating that the name of the Owner of the horse is registered and does not appear on the Forfeit List, and

21.1.3 indicating whether the horse is free from restrictions that prevents it from racing.

21.2 Where a racing clearance notification is required for a horse in respect of a race, the request must be made to The Racing Calendar Office no later than the day prior to the deadline for the pre-race day declaration for the race.

21.3 Where a notification is issued, it is valid only for the race or for the period stated on the notification.

21.4 If the notification is for a stated period

21.4.1 the period may not exceed 90 days,

21.4.2 a new notification must be requested if, during the period, there is any change to the Trainer or Owner of the horse, and

21.4.3 the horse may not remain outside Great Britain and Ireland after the end of the period without first obtaining permission to do so from The Racing Calendar Office and requesting a new racing clearance notification.

21.5 Any request for a notification which is made under Paragraph 21.2 or 21.4.3 must be accompanied by the appropriate fee specified in Schedule (A)1.

21.6 Where a notification is issued for a horse to run in more than one race in the same country, the notification ceases to be valid when the horse leaves that country.

21.7 Where the horse is to race in more than one country

21.7.1 a notification may be issued by The Racing Calendar Office only in respect of races in the first country to be visited, and

21.7.2 in respect of any race in each subsequent country, a racing clearance notification must be requested from The Recognised Racing Authority of the country last visited by the horse which immediately precedes that in which the race is to be held.

21.8 A racing clearance notification referred to in Paragraph 21.7.2 will indicate only whether any new restrictions have been imposed on the horse to prevent it from racing and, if such restrictions are imposed, it will specify the details of the restrictions (with such details also being forwarded to The Racing Calendar Office).

## **22. Deleted**

## **23. Deleted**

### ***Horse trained elsewhere: racing in Great Britain***

## **24. Requirements for racing in Great Britain**

24.1 No horse which is trained in a country other than Great Britain or Ireland may race under these Rules unless

24.1.1 The Racing Calendar Office has received a racing clearance notification in respect of the race from a Recognised Racing Authority by the close of business the day prior to the day the horse is declared to run under Rule (F)89, or

24.1.2 the horse's passport has been endorsed by or on behalf of the Recognised Racing Authority of the country where the horse is trained; and

24.1.3 the horse has been present in Great Britain for a minimum of ten business days before the race; and

24.1.4 the horse has provided a sample in that period which discloses no evidence of the presence or use of a prohibited substance or a prohibited method listed as prohibited in Schedule (G)1.

The sample must have been collected by the Authority and analysed by a BHA-approved Laboratory.

24.2 For the purposes of Paragraph 24.1.1, a racing clearance notification is a notification

24.2.1 stating that the Trainer is duly qualified in the country of that Recognised Racing Authority,

24.2.2 stating that all requirements of the rules of the Recognised Racing Authority that apply to the owner of the horse are met, and

24.2.3 indicating whether the horse is free from any restriction that prevents it from racing.

24.3 A racing clearance notification or endorsement of a horse's passport must be valid and must be dated not more than 90 days before the race.

24.4 Failure to comply with any of the requirements of this Rule may result in Disciplinary Action being taken against the Trainer of the horse unless the Trainer satisfies the Authority or the Stewards that the failure was due to circumstances which they consider acceptable.

24.5 The Authority may from time to time exempt horses from certain Recognised Racing Authorities from being subject to the requirements in Paragraphs 24.1.3 and 24.1.4.

## **MISCELLANEOUS**

## **25. Reckoning the age of a horse**

25. The age of any horse shall be reckoned as beginning on January 1st in the year in which it is foaled.

## **26. Registration of non-racing agreements**

26.1 In this Rule, a Non-Racing Agreement is an agreement under which a horse which has been retired from racing by its Owner is transferred to another Person, but subject to a condition that the horse will not race again.

26.2 The Authority may register a Non-Racing Agreement only if a Form NRA1 is

26.2.1 in the Prescribed form,

26.2.2 signed by the Person transferring the horse and by the transferee, and

26.2.3 submitted to The Racing Calendar Office.

26.3 The Form NRA1 must be accompanied by the horse's passport.

26.4 Where a Non-Racing Agreement is registered, it shall be recorded by The Racing Calendar Office and the horse's passport endorsed accordingly.

26.5 Where a Non-Racing Agreement is registered, the Authority will notify the Person who transferred the horse of any occasion on which the horse is reported as being in training or an attempt is made to enter it to run in a race under these Rules, whichever is the earlier, and will prevent the horse from being entered to run in any such race.

26.6 The Authority may cancel the registration of a Non-Racing Agreement

26.6.1 where it receives a written, and signed, notice of cancellation in the Prescribed Form NRA2, from all Persons who signed the Form NRA1, or

26.6.2 in such other circumstances as it considers appropriate.

26.7 The Authority will uphold requests from Recognised Turf Authorities to reciprocate an equivalent agreement, and will prevent any such horse from being entered or run in a race under these Rules.

## **26A. Notification of neurectomy operations**

26A.1 In this Rule, a **Neurectomy** is defined as a procedure which permanently interferes with a specific and anatomically recognised nerve using surgery, cryosurgery, chemical interference or any other means resulting in desensitisation of any part of the limb.

26A.2 When a horse that is under the care or control of a Licensed Trainer or Permitted Trainer undergoes a Neurectomy, that Trainer must notify the Racing Calendar Office no later than 7 days after the horse has undergone the Neurectomy, and ensure that the surgeon endorses the horses' passport.

26A.3 Where a horse that is not under the care or control of a Licensed Trainer or Permitted Trainer undergoes a Neurectomy

26A.3.1 the Owner must notify the Racing Calendar Office no later than 7 days after the horse has undergone the Neurectomy, and ensure that the surgeon endorses the horses' passport, and

26A.3.2 in the event that the horse subsequently comes under the care or control of a Licensed Trainer or Permitted Trainer, that Trainer must notify the Racing Calendar Office no later than 7 days after the horse has come under his care or control.

26A.4 To establish a contravention of Paragraph 26A.3.2 it is not necessary that knowledge of the Neurectomy on the part of the Licensed Trainer or Permitted Trainer be demonstrated, although the Authority may decide not to take Disciplinary Action in respect of a contravention of Paragraph 26A.3.2 if the Licensed Trainer or Permitted Trainer satisfies the Authority that he took all reasonable precautions and exercised all due diligence to ascertain whether or not the horse had previously undergone a Neurectomy.

26A.5 Notification of a Neurectomy to the Racing Calendar Office must be accompanied by the horse's passport.

26A.6 When a Neurectomy is notified in accordance with this Rule, the Neurectomy shall be recorded by the Racing Calendar Office and the horse's passport endorsed accordingly.

26A.7 A horse which has been subject to a Neurectomy shall be permanently ineligible to race.

## **26B. Retirement from racing under Rules**

26B.1 An Owner may notify the Authority of the permanent retirement of his horse from racing under the Rules of Racing through notification to the Racing Calendar Office using the Prescribed form as stipulated from time to time.

26B.2 Notification pursuant to Paragraph 26B.1 shall have the effect provided for in Manual (G).

26B.3 The horse will remain ineligible to race under the Rules of Racing unless and until the following

26B.3.1 the Racing Calendar Office has received notification that the horse is seeking re-eligibility. Such notification shall be by the Prescribed form as stipulated from time to time, and can be submitted by the Owner who retired the horse pursuant to Paragraph 26B.1 or another subsequent Owner; and

26B.3.2 the horse and the Responsible Person(s) have complied with any requirements imposed by the Authority pursuant to Schedule (G)2, providing for whereabouts information to be provided for the purposes of Out-of-Competition Testing; and

26B.3.3 any samples collected pursuant to Paragraph 26B.3.2 show no evidence of the presence or use of a prohibited substance or prohibited method listed as prohibited in Schedule (G)1.

## **26C. Deleted**

## **PART 3 - OWNERS**

### **CHAPTER 1 - GENERAL**

#### **27. Interpretation of Part 3**

27.1 For the purposes of Chapters 2 and 3

**Disqualified Person** means a person who is for the time being a disqualified person pursuant to

27.1.1 these Rules,

27.1.2 any Rules of Racing previously in force,

27.1.3 the Authority's Regulations for Point-to-Point Steeple Chases, or

27.1.4 the Authority's Regulations for Arabian Horse Racing;

**VAT** means value added tax for the time being in force.

27.2 In this Part, references to the ownership of a horse are to its legal ownership.

27.3 No entry may be made in the register under this Part in respect of any equitable interest in the ownership of a horse.

### **CHAPTER 2 - OWNER REGISTRATION: INDIVIDUALS, COMPANIES, PARTNERSHIPS AND CLUBS**

#### **28. Scope of Chapter 2**

28.1 This Chapter provides for the registration of the names of the following as owners of any horse trained in Great Britain

28.1.1 a Sole Owner, or

28.1.2 Deleted

28.1.3 a Company

28.1.4 Deleted

28.1.5 Deleted.

28.2 Deleted.

28.3 For the purposes of Paragraph 28.1.3

Company means a body incorporated with limited or unlimited liability under a statutory enactment and includes a body incorporated outside the United Kingdom;

Director, in relation to a body corporate whose affairs are managed by its members, means a member of the body corporate.

28.4 In this Part, references to a Person include a partnership or unincorporated association of persons.

#### ***General provisions: all applicants***

#### **29. Making an application to register under Chapter 2**

29.1 An application received by the Authority in respect of the ownership of a horse falling within the scope of Rule 28.1 shall be made in accordance with the provisions of this Chapter, and such of the following provisions as apply to the applicant in question:

29.1.1 Rule 30A applies to an application made by a Sole Owner, and

29.1.2 Rule 39 applies to an application made by a Company,

the Authority may approve the application if it considers it appropriate to do so.

29.2 An application for registration in the register of Owners under this Chapter

29.2.1 must be made using the Prescribed form, and

29.2.2 must be sent to The Racing Calendar Office, together with the appropriate fee specified in Schedule (A)1.

29.3 Procedures for the consideration and determination of applications are set out in Schedule (A)9.  
29.4 Different forms may be Prescribed for applications for registration of different categories of owner.  
29. In determining whether to approve an application, the Authority may have regard to such matters as it considers appropriate, including (but not limited to) those specified in relation to each description of applicant.  
29.6 Where the Authority approves an application

29.6.1 it shall enter the Owner's name in the register, and

29.6.2 the entry becomes effective from the beginning of the day following the day of approval unless directed otherwise by the Authority.

29.7 In approving an application, the Authority may impose such restrictions or conditions as it considers appropriate for or in connection with the approval (for example, by requiring the provision of guarantees or other security by any director or other officer of a body corporate).

### **30. Requirement to put in place appropriate financial arrangements**

30. The Authority may

30.1 refuse to approve an application for registration, or

30.2 direct that a person's registration shall cease to be valid,

if the Authority considers that appropriate financial arrangements are not in place for the purposes of securing payment of all fees and the receipt of all payments which are due from the owner of a horse in connection with racing.

#### **Provisions applying only to Sole Owners**

30A.1 A sole Owner is an individual who has an interest in all or part of a horse.

30A.2 The registration of a Sole Owner in the register of Owners must be made in accordance with Rules 30A to 33.

30A.3 An application for entry in the register of Owners as a Sole Owner

30A.3.1 must contain all information required by the Prescribed Form, and

30A.3.2 must be accompanied, if required by the Authority, by a copy of any document requested by the Authority.

30A.4 In relation to applications made in accordance with these provisions, the Authority

30A.4.1 must refuse to approve the application if the individual is a Disqualified Person, and

30A.4.2 may refuse to approve the application in such other circumstances as it considers appropriate.

30A.5 Where the Authority approves the application:

30A.5.1 it may register the Sole Owner subject to such restrictions or conditions as it considers appropriate, and

30A.5.2 the registration shall become effective from the beginning of the day following the day of approval, unless the Authority directs otherwise.

### **31. Name to be used when running a horse in ownership of a Sole Owner**

31.1 Any horse owned by a Sole Owner must be entered and run under the Sole Owner's name except where the Authority has registered a person's screen, stage or pen name on the grounds that the person is better known publicly by an assumed name than by his real name.

31.2 The personal representative of an individual who is deceased may run the horse solely under the following description unless he has been notified by the Authority that he is required to make an application under this Part to register his own name in the register of Owners

Executor(s) (or Administrator(s) or Personal Representative) of **insert name of the deceased Person**.

31.3 A horse which is entered or run in a race using a name that is otherwise than in accordance with this Rule is

liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

## **32. Deleted**

## **33. Cancellation of registration of individual registered as a Sole Owner**

33.1 This Rule applies to an individual whose name is entered in the register of Owners as a Sole Owner of a horse.

33.2 A Sole Owner's registration is void if, when his application for registration was approved by the Authority

33.2.1 he was a Disqualified Person, or

33.2.2 a bankruptcy order had been made against him.

33.3 A Sole Owner's registration shall immediately cease to be valid if, at any time after the approval of his application for registration

33.3.1 he is declared to be a Disqualified Person,

33.3.2 a bankruptcy order is made against him,

33.3.3 he does not have a horse returned as being in training under these Rules for 24 months, or

33.3.4 the Authority gives a direction under Paragraph 33.4.

33.4 The Authority may at any time direct that a Sole Owner's registration shall cease to be valid

33.4.1 in accordance with Rule 30.2, or

33.4.2 in such other circumstances as it considers appropriate.

33.5 Where a Sole Owner's registration is void or ceases to be valid under this Rule the Authority shall remove his name from the register.

33.6 If a Person's name is removed from the register on the ground that the Sole Owner was a Disqualified Person or was subject to a bankruptcy order, the Authority may not approve an application to restore his registration until

33.6.1 three months have elapsed from the date on which the Sole Owner ceased to be disqualified or bankrupt, unless

33.6.2 the Authority is satisfied that the circumstances of the disqualification or bankruptcy were outside his reasonable control.

## ***Provisions applying only to Stud Companies***

## **34. Registration of Stud Companies**

34.1 Deleted.

34.2 Deleted.

34.3 The Authority will not approve any new registrations under Rules 34 to 38. Stud Companies shall register as a Company in accordance with Rule 39.

## **35. Recognised Stud Company and Owner of horse**

35.1 A company which is for the time being registered under Rules 34 to 38 is referred to in these Rules as a Recognised Stud Company.

35.2 In relation to any horse in the ownership of a Recognised Stud Company, references to the horse's owner are to the Stud Company acting through a registered nominee who is appointed in accordance with Rule 36.

## **36. Recognised Stud Company to act through registered nominee**

36.1 For the purposes of these Rules, a Recognised Stud Company may not take any steps in respect of a horse in its ownership unless

36.1.1 the company has appointed one or more Persons as nominee to exercise the powers of owner on its behalf,

36.1.2 at least one nominee is approved by the Authority, and

36.1.3 the name of the nominee and the particulars of the horse are registered at The Racing Calendar Office.

## 36.2 In particular

36.2.1 any entry of a horse for a race must be made by the nominee who is registered for that horse or his Authorised Agent, and

36.2.2 a horse may not fulfil any engagement at any time when the Recognised Stud Company has no registered nominee.

## 36.3 The Authority may refuse to approve a nominee under Paragraph 36.1.2

36.3.1 if the Person appointed by the company is a Disqualified Person, or

36.3.2 in such other circumstances as it considers appropriate.

## 36.4 A registered nominee shall be treated for all purposes of these Rules as if he were the horse's owner and, if there is more than one nominee, each nominee

36.4.1 shall be treated as if he were the joint owner of the horse, and

36.4.2 shall be jointly and severally liable for any sums due from the owner under these Rules.

## **37. Name to be used when running a horse in ownership of a Recognised Stud Company**

37.1 Any horse in the ownership of a Recognised Stud Company must be entered and run in any race using the name of a registered nominee.

37.2 A horse which is entered or run using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

## **38. Cancellation of registration of Recognised Stud Company or nominee**

38.1 The Authority may at any time direct that the registration of a Recognised Stud Company shall immediately cease to be valid

38.1.1 in accordance with Rule 30.2, or

38.1.2 in such other circumstances as it considers appropriate.

38.2 The registration of a nominee for a Recognised Stud Company shall immediately cease to be valid if

38.2.1 the Authority gives a direction to that effect, or

38.2.2 Paragraph 38.3 applies.

38.3 A Recognised Stud Company may terminate the appointment of a registered nominee, but only if

38.3.1 the company still has at least one registered nominee or it appoints a new nominee in accordance with Rule 36, and

38.3.2 that nominee agrees to meet all liabilities

38.3.2.1 that were incurred in respect of the horse by the nominee whose appointment is being cancelled, and

38.3.2.2 that are outstanding at the time of the cancellation.

38.4 Where the registration of a Recognised Stud Company ceases to be valid in accordance with Rule 38 it will no longer be possible to re-register as a Recognised Stud Company, rather the registration must be made as a Company in accordance with Rule 39.

## ***Provisions applying to Companies***

## **39. Registration of Companies**

39.1 The registration of a Company in the register of Owners must be made in accordance with Rules 39 to 46.

39.2 A Company must be registered with the Authority if the horse owned by that Company is to be entered or run in a race under these Rules.

39.3 An application for entry in the register of Owners made by a Company must



39.3.1 contain all information required by the Prescribed form, and  
39.3.1.1 be accompanied by such other details as the Authority may require.

39.4 Where an application is made in accordance with Rule 29 and this Rule, the Authority

39.4.1 must refuse to approve the application if it appears to it that any of the directors or secretary (or joint secretary) of the company is a Disqualified Person, and

39.4.2 may refuse to approve the application in such other circumstances as it considers appropriate.

39.5 Where the Authority approves the registration application:

39.5.1 it may register the Company subject to such restrictions or conditions as it considers appropriate, and

39.5.2 the registration shall become effective from the beginning of the day following the day of approval, unless the Authority directs otherwise.

## **40. Recognised Company and Owner of horse**

40.1 A Company which is for the time being registered under Rule 39 is referred to in these Rules as a Recognised Company.

40.2 In relation to any horse in the ownership of a Recognised Company, references to the horse's owner are to the company acting through an agent who is appointed and registered in accordance with Rule 41.

## **41. Recognised company to act through registered agent**

41.1 For the purposes of these Rules, a Recognised Company may not take any steps in respect of a horse in its ownership unless

41.1.1 the Recognised Company has appointed one or more agents to exercise the powers of owner on its behalf (the Registered Agent),

41.1.2 at least one such agent has been approved by the Authority, and

41.1.3 the name of the agent and the particulars of the horse are registered at The Racing Calendar Office.

41.2 In particular

41.2.1 any entry of a horse must be made by a Registered Agent or by a sub-agent appointed in accordance with Rule 42, and

41.2.2 a horse may not fulfil any engagement at any time when the Recognised Company has no Registered Agent.

41.3 Where an agent is appointed for the purposes of Paragraph 41, the appointment must be made using the Prescribed form and executed on behalf of the Recognised Company, by a director of the company.

41.4 The Authority may refuse to approve an agent under Paragraph 41

41.4.1 if the agent's appointment has not been made in accordance with Paragraph 41.3,

41.4.2 if the agent is a Disqualified Person, or

41.4.3 in such other circumstances as the Authority considers appropriate.

41.5 No agent will be registered under Paragraph 41 unless the Authority has received the appropriate fee specified in Schedule (A)1.

41.6 Unless registration of an agent is renewed by the Authority on receipt of payment of the appropriate fee, the registration expires at the end of each 12 month period that starts on the anniversary of the initial registration.

## **42. Appointment of sub-agent**

42.1 A Registered Agent may appoint a Person to act as his sub-agent where authority to do so is provided by the document which appoints the Registered Agent.

42.2 A sub-agent who is appointed by a Registered Agent may act as the Authorised Agent of the company

42.2.1 only if he has been allotted a security code by the Authority, and

42.2.2 only to the extent permitted by the terms of his appointment and by these Rules.

### **43. Name to be used when running a horse in ownership of a Recognised Company**

43.1 Any horse in the ownership of a Recognised Company must be entered and run in any race using the name of the Recognised Company.

43.2 A horse which is entered or run using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

### **44. Duty to notify changes as to Company Directors or secretary**

44.1 A Recognised Company must ensure that The Racing Calendar Office is notified of

44.1.1 the name and contact details of any new Director of the Company,

44.1.2 any changes to the details of the other Directors, and

44.1.3 the appointment of a new secretary.

44.2 Notice under Paragraph 44.1.1 must be sent no later than 21 days after the appointment of the new Director.

44.3 Notice under Paragraph 44.1.2 or 44.1.3 must be sent as soon as reasonably possible after the occurrence of the event to which it relates.

### **45. Cancellation of registration of a Recognised Company**

45.1 The registration of a Recognised Company shall immediately cease to be valid if

45.1.1 a Director of the Company becomes a Disqualified Person,

45.1.2 an officer of the company fails to provide within a reasonable time any information required by the Authority or by The Racing Calendar Office, or

45.1.3 the Authority gives a direction under Paragraph 45.2.

45.2 The Authority may at any time direct that the registration of a Recognised Company shall cease to be valid

45.2.1 in accordance with Rule 30.2,

45.2.2 if a Registered Agent of the company is or becomes a Disqualified Person,

45.2.3 if the company makes any assignment for the benefit of creditors or makes any composition with creditors,

45.2.4 if any action or proceedings under insolvency or bankruptcy law is taken against the company,

45.2.5 if the company is the subject of a voluntary or compulsory liquidation (other than for the purpose of reconstruction or amalgamation),

45.2.6 if the company is made the subject of any administration order or of any proposal under Part 1 of the Insolvency Act 1986 for a composition in satisfaction of its debts, or

45.2.7 in such other circumstances as the Authority considers appropriate.

### **46. Cancellation of registration of a registered agent**

46.1 The registration of an agent appointed by the company shall immediately cease to be valid if

46.1.1 the registration of the company ceases to be valid under Rule 45.1,

46.1.2 the agent is or becomes a Disqualified Person,

46.1.3 the agent becomes subject to a bankruptcy order,

46.1.4 the payment of the annual fee required by Rule 41.6 is in arrears by more than 14 days, or

46.1.5 the Authority gives a direction under Paragraph 46.2.

46.2 The Authority may at any time direct that the registration of an agent shall cease to be valid

46.2.1 if it is requested to do so on behalf of the Recognised Company by a director of the company

46.2.2 in such other circumstances as it considers appropriate.

## ***Provisions applying only to Business Partnerships***

### **47. Registration of Business Partnerships**

#### **47.1 Business Partnership**

47.1.1 means a partnership within the meaning of section 1 of the Partnership Act 1890 and which

47.1.1.1 has a current VAT registration number, and

47.1.1.2 has not registered racing activities as a business for VAT purposes under Rule (A)100 (VAT registration scheme), and

47.1.2 includes a firm or entity of a similar character formed under the law of a country or territory outside Great Britain.

47.2 Deleted.

47.3 Deleted.

47.4 Deleted.

47.5 Deleted.

47.6 The Authority will not approve any new applications for registration under Rule 47 as a Business Partnership.

### **48. Recognised Business Partnership, Business Partners and Owner of horse**

48.1 A Business Partnership which is for the time being registered under this Chapter is referred to in these Rules as a Recognised Business Partnership.

48.2 Each Person who signed the application is referred to in these Rules as a Business Partner.

48.3 In relation to any horse in the ownership of a Recognised Business Partnership, references to the horse's Owner are to the Business Partners.

### **49. Recognised Business Partnership to act through Business Partners**

49.1 For the purposes of these Rules, a Recognised Business Partnership may not take any steps in respect of a horse in its ownership unless they are taken by one of the Business Partners.

49.2 In particular, any entry of a horse for a race must be made by one of the Business Partners or his Authorised Agent.

49.3 In respect of any horse in the ownership of a Recognised Business Partnership, each Business Partner

49.3.1 shall be treated as if he were the joint owner of the horse,

49.3.2 shall be jointly and severally liable for any sum due from the owner under these Rules, and

49.3.3 is subject to all other liabilities, duties and privileges of joint ownership.

49.4 But a Business Partner who has resigned shall not be liable for any sums which become due after notice of his resignation has been received at The Racing Calendar Office under Rule 51.1.1.

49.5 No privilege of ownership shall attach to any partner who is not a Business Partner, except for the privilege of running a horse under the name of the Business Partnership.

### **50. Name to be used when running a horse in ownership of a Business Partnership**

50.1 Any horse in the ownership of a Recognised Business Partnership must be entered and run in any race using the name specified for it in the application approved under the subsisting registration application.

50.2 A horse which is entered or run using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

### **51. Notification of information**

51.1 In respect of a Recognised Business Partnership, The Racing Calendar Office must be notified of

51.1.1 the resignation of any Business Partner, and

51.1.2 the particulars of any changes as to the horses in the ownership of the Recognised Business Partnership.

51.2 Notice under Paragraph 51.1.1 must be sent no later than 21 days after the resignation of the Business

Partner.

51.3 Notice under Paragraph 51.1.2 must be sent as soon as reasonably possible after the change occurs.

## **52. Cancellation of registration of Business Partnership**

52.1 The registration of a Recognised Business Partnership shall immediately cease to be valid if

52.1.1 it ceases to meet the conditions specified in Rule 47.1,

52.1.2 a Business Partner becomes a Disqualified Person,

52.1.3 it appears to the Authority that a Business Partner was already a Disqualified Person at the time the application was made for registration of the Business Partnership,

52.1.4 a Business Partner fails to provide within a reasonable time any information required by the Authority or The Racing Calendar Office,

52.1.5 there are fewer than two Business Partners at any time, or

52.1.6 the Authority gives a direction under Paragraph 52.2.

52.2 The Authority may at any time direct that the registration of a Business Partnership shall cease to be valid

52.2.1 in accordance with Rule 30.2,

52.2.2 if any action, proceedings or arrangement under any insolvency or bankruptcy law is taken by or against a Business Partner in respect of his affairs or those of the partnership, or

52.2.3 in such other circumstances as the Authority considers appropriate.

52.3 Where the registration of a Business Partnership ceases to be valid in accordance with Rule 52 it will no longer be possible to re-register as a Business Partnership, rather the registration must be made as a Partnership in accordance with Rule 67.

**53. Deleted.**

**54. Deleted.**

**55. Deleted.**

**56. Deleted.**

**57. Deleted.**

**58. Deleted.**

**59. Deleted.**

## **CHAPTER 3 - OWNER REGISTRATION: ARRANGEMENTS FOR MULTIPLE OWNERSHIP**

### **60. Scope of Chapter 3**

60.1 This Chapter provides for registration of the following arrangements as to the ownership and management of any horse trained in Great Britain

60.1.1 a Partnership,

60.1.2 a Syndicate,

60.1.3 a Racing Club,

60.1.4 a lease that applies to a horse for a single race, or

60.1.5 any other lease or shared arrangement for the running of a horse.

### **60A. Requirement to put in place appropriate financial arrangements**

60A.1 The Authority may

60A.1.1 refuse to approve an application for registration, or

60A.1.2 direct that a registration shall cease to be valid

if the Authority considers that appropriate financial arrangements are not in place for the purposes of securing

payment of all fees and the receipt of all payments which are due from the Owner of a horse in connection with racing.

**61. Deleted.**

**62. Deleted.**

**63. Deleted.**

**64. Deleted.**

**65. Deleted.**

**66. Deleted.**

## ***Partnerships***

### **67. Registration of a Partnership**

67.1 Deleted.

67.2 Deleted.

67.3 Deleted.

67.4 Deleted.

67.5 Deleted.

67.6 Deleted.

67.7 Where a horse has one or more legal owners the horse may be registered as a Partnership.

67.8 The Partnership will consist of a number of Partners who each shall be one or more of the following:

67.8.1 Sole Owner;

67.8.2 a nominee of a Recognised Stud Company,

67.8.3 a Recognised Company,

67.8.4 a Syndicate,

67.8.5 a Racing Club or

67.8.6 a Business Partner in a Recognised Business Partnership.

67.9 In relation to any horse in the ownership of a Partnership, references to the horse's Owner are to the Partners.

67.10 A Partnership must be registered with the Authority if the horse owned by that Partnership is to be entered or run in a race under these Rules.

### **68. Conditions for initial registration**

68.1 Deleted.

68.2 Deleted.

68.3 Deleted.

68.4 The registration of a Partnership in the register of Owners must be made in accordance with Rules 67 to 71A.

68.5 No Partnership may be registered unless:

68.5.1 the application is made using the Prescribed form and is sent to the Racing Calendar Office,

68.5.2 each of the Partners is registered in his own right in accordance with Rule 67.8,

68.5.3 the application specifies the Partnership name under which the horse is to run, and

68.5.4 the appropriate fee for initial registration specified in Schedule (A)<sup>1</sup> has been received by The Racing Calendar Office.

68.6 Where an application is made in accordance with Rules 67 and 68, the Authority

68.6.1 must refuse to approve the application if it appears to it that any of the Partners is a Disqualified Person, and

68.6.2 may refuse to approve the application in such other circumstances as it considers appropriate.

68.7 Where the Authority approves the registration application:

68.7.1 it may register the Partnership subject to such restrictions or conditions as it considers appropriate; and

68.7.2 the registration shall become effective from the beginning of the day following the day of approval, unless the Authority directs otherwise.

## **69. Name to be used when running a horse subject to a Partnership**

69.1 Deleted.

69.2 Deleted.

69.3 Deleted.

69.4 Any horse in the ownership of a Partnership must be entered and run in any race using the name of the Partnership that was specified for the horse in the application for registration under Rule 68.

69.5 A horse which is entered or run using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

69.6 The Partnership name may be changed only with the approval of the Authority on payment of the appropriate fee specified in Schedule (A)1.

## **70. Deleted.**

## **71. Owner of horse and obligations of Partners**

71.1 In relation to any horse subject to a Partnership, references to the horse's owner are to each Partner.

71.2 A Partner may assign his share in a horse (in whole or in part) subject to obtaining the consent of all other Partners and on payment of the appropriate fee specified in Schedule (A)1.

71.3 The Partners of a horse subject to the Partnership shall be jointly and severally liable for any sum due under these Rules as a result of any engagement for the horse that is made before a notice of termination is received by the Authority under Rule 73.1.1.

### **71A. Notification of Information**

71A.1 In respect of a Partnership, the Racing Calendar Office must be notified of:

71A.1.1 any changes to the composition of a Partnership;

71A.1.2 the relative proportions of each Partner's ownership interest in any horse subject to the Partnership; and

71A.1.3 such other details as the Authority may request.

71A.2 Information required by Rule 71A.1 must be provided to the Authority no later than 21 days after the change or request occurs.

## **72. Deleted.**

## **73. Cancellation of registration of a Partnership**

73.1 The registration of a Partnership shall immediately cease to be valid if

73.1.1 any Partner or his Authorised Agent gives notice to the Authority of the termination of the agreement for Partnership, or

73.1.2 the Authority gives a direction under Paragraph 73.2.

73.2 The Authority may at any time direct that the registration of a Partnership shall immediately cease to be valid

73.2.1 in accordance with Rule 60A.1.2, or

73.2.2 if any persons listed in Rule 67.8 ceases to be registered with the Authority, or

73.2.3 in such other circumstances as it considers appropriate.

## **Syndicates**

### **73A. Registration of Syndicates**

73A.1 Where a horse has two or more legal owners the horse may be registered under a Syndicate.

73A.2 The registration of a Syndicate in the register of Owners must be made in accordance with Rule 73A.

73A.3 A Syndicate must be registered with the Authority if the horse owned by that Syndicate is to be entered or run in a race under these Rules.

73A.4 Each Syndicate must appoint at least one Person to manage, administer or promote a Syndicate (the Syndicator).

73A.5 The Syndicator must be registered with the Authority.

73A.6 The registration application submitted by the Syndicate must be made to, and be approved by the Authority, and such application must:

73A.6.1 be submitted to the Racing Calendar Office, together with the appropriate fee as specified in Schedule A(1);

73A.6.2 be made using the Prescribed form; and

73A.6.3 provide such other details as the Authority may require.

73A.7 In respect of a Syndicate, the Racing Calendar Office must also be notified of:

73A.7.1 the resignation of a Syndicator;

73A.7.2 the appointment of a new Syndicator;

73A.7.3 any changes to the composition of the participants in the Syndicate;

73A.7.4 any change to the horses owned by the Syndicate;

73A.7.5 any change to the names and contact details of all participants in the Syndicate (to include a Person with any legal interest in the horse) as the Authority may require; and

73A.7.6 such other details as the Authority may request.

73A.8 Information required by Rule 73A.7 must be provided to the Authority no later than 21 days after the resignation, appointment, change or request occurs.

73A.9 The Authority may refuse to approve the registration application where:

73A.9.1 the Syndicator(s) does not hold an existing registration with the Authority pursuant to Rule 73A.5 above; or

73A.9.2 in such other circumstances as it considers appropriate.

73A.10 Where the Authority approves the registration application:

73A.10.1 it may register the Syndicate subject to any restrictions or conditions it considers necessary; and

73A.10.2 the registration shall become effective from the beginning of the day following the day of approval, unless the Authority directs otherwise.

### **73B. Syndicate to act through Syndicator**

73B.1 Each Syndicator shall be the Owner of the horse and shall, subject to Rule 73B.2:

73B.1.1 be jointly and severally liable for any sums due from the Owner under these Rules; and

73B.1.2 be subject to all other liabilities, duties and privileges of ownership.

73B.2 A Syndicator who has resigned in accordance with Rule 73A.7.1:

73B.2.1 shall be liable for any sums which accrued or became due before notice of his resignation has been received at The Racing Calendar Office;

73B.2.2 shall not be liable for any sums which become due after notice of his resignation has been

received at The Racing Calendar Office.

73B.3 No privilege of ownership shall attach to any participants in a Syndicate who is not a Syndicator, except for the privilege of running a horse under the name of a Syndicate.

73B.4 For the purposes of these Rules, a Syndicate may not take any steps in respect of a horse in its ownership unless they are taken by one or more Syndicator.

### **73C. Name to be used when running a horse subject to a Syndicate**

73C.1 A horse registered under a Syndicate must be entered and run in any race using the name of the Syndicate specified in the application for registration under Rule 73A.

73C.2 A horse which is entered or run using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

73C.3 The Syndicate name may be changed only with the approval of the Authority on payment of the appropriate fee specified in Schedule (A)1.

### **73D. Cancellation of registration of a Syndicate**

73D.1 The Authority may at any time direct that the registration of a Syndicate shall cease to be valid:

73D.1.1 where at any time there is fewer than one Syndicator;

73D.1.2 where any of the members in the Syndicate is or becomes a Disqualified Person;

73D.1.3 where a Syndicator fails to provide within a reasonable time any information required by the Authority or The Racing Calendar Office;

73D.1.4 if it appears to the Authority that any of the members in the Syndicate has ceased to maintain an interest in each horse in the ownership of the Syndicate;

73D.1.5 if any action, proceedings or arrangement under any insolvency or bankruptcy law is taken by or against any Syndicator;

73D.1.6 if the Authority considers that appropriate financial arrangements are not in place for the purposes of securing payment of all fees and the receipt of all payments which are due from the owner in connection with racing;

73D.1.7 where a Syndicator fails to adhere to the Code of Conduct (as defined in Rule 73E); or

73D.1.8 in such other circumstances as the Authority considers appropriate.

### **73E. Code of Conduct**

73E.1 Where, in respect of a Syndicate:

73E.1.1 the arrangement is managed, administered or promoted by a Syndicator who receives payment, in relation to their role, and/or

73E.1.2 the method(s) of attracting participation in the arrangement include invitations to the public, whether by way of advertisement or otherwise.

the Syndicator must adhere to code of conduct at Schedule 6 (the Code of Conduct).

## **Racing Clubs**

### **73F. Registration of Racing Clubs**

73F.1 Where a horse's legal owner invites participation from other individuals but retains the legal ownership interest to form an ownership entity, the horse may be registered under a Racing Club.

73F.2 The registration of a Racing Club in the register of Owners must be made in accordance with Rule 73F.

73F.3 A Racing Club must be registered with the Authority if a horse owned by that Racing Club is to be entered or run in a race under these Rules.

73F.4 Each Racing Club must appoint at least one Person to manage or administer a Racing Club (the Club Manager).

73F.5 The Club Manager must be registered with the Authority.

73F.6 The registration application submitted by the Club Manager(s) on behalf of the Racing Club must be made to, and be approved by the Authority, and such application must:



73F.6.1 be submitted to The Racing Calendar Office, together with the appropriate fee as specified in Schedule A(1);  
73F.6.2 be made using the Prescribed Form;  
73F.6.3 provide such other details as the Authority may require.

73F.7 In respect of a Racing Club, the Racing Calendar Office must also be notified of:

73F.7.1 the resignation of a Club Manager;

73F.7.2 the appointment of a new Club Manager;

73F.7.3 at the request of the Authority, a list of all Persons who are (or were) members of the Racing Club as at such date as the Authority may request;

73F.7.4 any change to the list of horses to run under the Racing Club;

73F.7.5 any Racing Club member who is or becomes a Disqualified Person; and

73F.7.6 such other details as the Authority may request.

73F.8 Information required by Rule 73F.7 must be provided to the Authority no later than 21 days after the resignation, appointment, change or request occurs.

73F.9 The Authority may refuse to approve the registration application where:

73F.9.1 one or more of the Club Managers does not hold an existing registration with the Authority pursuant to Rule 73F.5 above; or

73F.9.2 in such other circumstances as it considers appropriate.

73F.10 Where the Authority approves the registration application:

73F.10.1 it may register the Racing Club subject to such restrictions or conditions as it considers appropriate; and

73F.10.2 the registration shall become effective from the beginning of the day following the day of approval, unless the Authority directs otherwise.

## **73G. Racing Club to act through Club Manager**

73G.1 In relation to any horse in the ownership of a Racing Club:

73G.1.1 references to the horse's owner are to the Club Manager(s);

73G.1.2 if there is more than one Club Manager, each Club Manager:

73G.1.2.1 shall be treated as if he were the Owner(s);

73G.1.2.2 shall, subject to Rule 73G.3, be jointly and severally liable for any sums due from the Owner under these Rules; and

73G.2 Club Managers shall be subject to all other liabilities, duties and privileges of ownership.

73G.3 A Club Manager who has resigned in accordance with Rule 73F.7.1:

73G.3.1 shall be liable for any sums which accrued or became due before notice of his resignation has been received at The Racing Calendar Office;

73G.3.2 shall not be liable for any sums which become due after notice of his resignation has been received at The Racing Calendar Office.

73G.4 No privilege of ownership shall attach to any participants in a Racing Club who is not a Club Manager, except for the privilege of running a horse under the name of a Racing Club.

73G.5 For the purposes of these Rules, a Racing Club may not take any steps in respect of a horse in its ownership unless they are taken by one or more Club Manager.

## **73H. Name to be used when running a horse subject to a Racing Club**

73H.1 Any horse registered under a Racing Club must be entered and run in any race using the name of the Racing Club specified in the application for registration under Rule 73F.

73H.2 A horse which is entered or run using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

73H.3 The Racing Club name may be changed only with the approval of the Authority on payment of the appropriate fee specified in Schedule (A)1.

### **73I. Cancellation of registration of a Racing Club**

73I.1 The Authority may at any time direct that the registration of a Racing Club shall cease to be valid if:

73I.1.1 at any time there is fewer than one Club Manager;

73I.1.2 any of the members of the Racing Club is or becomes a Disqualified Person;

73I.1.3 a Club Manager fails to provide within a reasonable time any information required by the Authority or The Racing Calendar Office; or

73I.1.4 in such other circumstances as the Authority considers appropriate.

### ***Leases applying to a single race***

### **74. Registration of single race leasing arrangement**

74.1 Where a horse is leased to a Person for one race only

74.1.1 the leasing arrangement must be registered if the horse is to be entered or run in that race, and

74.1.2 the registration must take place on or before the day which precedes that on which the horse is declared to run in the race under Part (F)6.

74.2 No single race leasing arrangement may be registered unless it is approved by the Authority.

74.3 An application for registration under this Rule must be

74.3.1 made using the Prescribed form, and

74.3.2 sent to The Racing Calendar Office, together with the appropriate fee specified in Schedule (A)1.

74.4 In determining whether to approve an application, the Authority may have regard to such matters as it may consider appropriate.

74.5 If it decides to approve the application

74.5.1 the Authority may register the single race leasing arrangement subject to such restrictions or conditions as it considers appropriate, and

74.5.2 the registration shall become effective from the beginning of the day following the day of approval.

74.6 In relation to any horse subject to a single race leasing arrangement, references in these Rules to the horse's owner are to the lessee or lessees under the arrangement.

### ***Other leases and arrangements***

### **75. Registration of leasing and other joint arrangements not within Rule 67, 73A, 73F or 74**

75.1 This Rule applies where a horse is subject to a lease or other arrangement which does not fall within the preceding provisions of this Chapter.

75.2 Any such lease or arrangement must be registered if the horse is to be entered or run in a race under these Rules.

75.3 Registration under this Rule extends only to the horse in question (and, if there is more than one horse, separate registration is required for each horse).

75.4 The registration takes effect immediately once all of the conditions for initial registration specified in Rule 76 have been met, but this is subject to the requirement to renew registration under Rule 77 and to any cancellation of registration under Rule 80.

75.5 Where a horse

75.5.1 is entered for a race before it becomes subject to a lease or other arrangement within Paragraph 75.1, and  
75.5.2 runs in that race before the lease or other arrangement is registered,

the horse is liable to be disqualified under Rule (A)74 (see Ground 7).

75.6 The Authority may publish on the Racing Administration Internet Site such information as it considers appropriate in respect of any lease or other arrangement registered under this Rule.

## **76. Conditions for initial registration**

76.1 No lease or other arrangement falling within Rule 75.1 may be registered unless the following conditions have been met in relation to it

76.1.1 not more than twelve Persons are to run the horse under the lease or other arrangement,

76.1.2 each of those Persons is registered in his own right under Chapter 2 as

76.1.2.1 a registered individual,

76.1.2.2 a nominee of a Recognised Stud Company,

76.1.2.3 a Recognised Company, or

76.1.2.4 a Business Partner in a Recognised Business Partnership,

76.1.3 the appropriate fee for initial registration specified in Schedule (A)1 is sent to The Racing Calendar Office, and

76.1.4 a copy of the terms of the lease or other arrangement, which is signed by all the parties, is delivered to The Racing Calendar Office or given to the Clerk of the Scales for transmission to that Office.

## **77. Expiry and renewal of registration of lease or other arrangement**

77.1 Any registration under Rule 75.1 expires at the end of each 12 month period that starts on the anniversary of the initial registration.

77.2 The Authority may, on an application made to it, renew the registration but only if

77.2.1 it is satisfied that the requirements of Rule 76.1.1 and 76.1.2 continue to be met in relation to the lease or other arrangement, and

77.2.2 it receives payment of the appropriate fee specified in Schedule (A)1.

## **78. Owner of horse and obligations of parties to lease or other arrangement**

78.1 In relation to any horse subject to a lease or other arrangement registered under Rule 75, references in these Rules to the horse's owner are to the lessee or lessees.

78.2 For the purposes of these Rules, the Person who grants the lease or other arrangement in respect of a horse shall be regarded as having no interest in the horse unless he receives a share of the prize money won by the horse or contributes to the expense of running it.

## **79. Name to be used when running a horse subject to a lease or other arrangement**

79.1 A horse subject to a lease or other arrangement registered under Rule 75 must be entered and run in any race using the name of any Person listed in Rule 76.1.2.

79.2 A horse which is entered or run in a race using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

## **80. Cancellation of a lease or other arrangement**

80.1 Registration under Rule 75 shall immediately cease to be valid if

80.1.1 any of the Persons listed in Rule 76.1.2 ceases to be registered in his own right under Chapter 2, or

80.1.2 the Authority gives a direction under Paragraph 80.2.

80.2 The Authority may at any time direct that the registration of lease or other arrangement shall cease to be valid

- 80.2.1 if the Authority considers that appropriate financial arrangements are not in place for the purposes of securing payment of all fees and the receipt of all payments which are due from the owner in connection with racing, or
- 80.2.2 in such other circumstances as it considers appropriate.

## **CHAPTER 4 - RACING COLOURS**

### **81. Application of Chapter 4**

81. This Chapter applies to any Person under whose name a horse is to run in a race under these Rules.

### **82. Racing colours**

82.1 Subject to Paragraphs 82.2 and 82.3 and Rule 83

82.1.1 the Owner of a horse must register colours for racing with the Authority, and

82.1.2 the horse must carry those colours in any race under these Rules.

82.2 A lessee under a single race leasing arrangement may, if he has no colours registered in his name

82.2.1 register colours for the day of the race only, or

82.2.2 race the horse in colours already registered to another Person if he has previously obtained that Person's written permission to do so.

82.3 Where the Owner of a horse trained outside Great Britain has colours registered for him by a Recognised Racing Authority, the horse may carry those colours if

82.3.1 a declaration of the colours is made to The Racing Calendar Office in respect of each race, and

82.3.2 that declaration is made

82.3.2.1 if the race closes more than 6 days before running, by the time determined for confirmation of entries under Part (F)6;

82.3.2.2 otherwise, by the time determined for the closing of entries under Part (F)5.

82.4 An Owner who has more than one set of registered colours must inform The Racing Calendar Office which colours are nominated as his First Colours.

82.5 The Authority may direct that the registration of an Owner's racing colours shall cease to be valid in such circumstances as it considers appropriate.

82.6 An Owner whose horse is declared to run under Rule (F)89 without registering colours in accordance with this Rule shall be taken to have contravened a requirement imposed on him by this Rule.

82.7 Where a horse runs in colours other than those permitted by this Rule, the Trainer of the horse shall also be taken to have contravened a requirement imposed on him by this Rule unless he or the Owner can satisfy the Authority

82.7.1 that the circumstances of the failure to carry the registered colours fall within Rule 83, or

82.7.2 that the failure was due to circumstances outside their reasonable control,

and, where the Trainer does satisfy the Authority that the failure was the fault of the Owner, Disciplinary Action may be taken against the Owner.

82.8 The Authority may decide not to take Disciplinary Action against an Owner for contravention of any of the requirements of this Rule if the owner satisfies the Authority that the circumstances in which the contravention occurred are acceptable.

### **83. Circumstances in which use of other racing colours is required**

83.1 An Owner must declare alternative colours if asked to do so by the Authority or the Judge.

83.2 In deciding which Owner must declare alternative colours the Authority or the Judge

83.2.1 may take into account the length of time the colours have been registered to the Owner,

giving preference to the longer-established registration, but  
83.2.2 has absolute discretion over which colours are required to be changed.

### 83.3 Where

- 83.3.1 an Owner has more than one horse running in the same race, or
- 83.3.2 an Owner's horse will not be carrying his First Colours in a race,

the Owner or the Trainer must declare alternative colours to the Racing Calendar Office by 1.00p.m. on the day for making declarations to run under Rule (F)89.

83.4 The alternative colours referred to in Paragraph 83.3.1 must, as a minimum, have a different coloured cap which

- 83.4.1 is not black, and
- 83.4.2 does not contain a colour which appears in the cap of the declared colours for any of that Owner's other horses in the race, except where that colour features only in a star or a diamond.

83.5 If the Owner or the Trainer fails to make the declaration required by Paragraph 83.3 he must declare alternative colours to the Clerk of the Scales before the rider weighs out.

83.6 Unless the change is at the Judge's request on the racecourse, the alternative colours must not be already registered to another Owner unless permission has been obtained.

83.7 Where no declaration is made pursuant to Paragraph 83.3 above, or where a horse runs in colours other than those declared under Paragraph 83.3, Disciplinary Action may be taken against the Trainer or, where the Trainer satisfies the Authority that the fault was that of the Owner, against the Owner.

## **84. Circumstances in which joint-use of racing colours is permitted**

84.1 Where racing colours are already registered to an Owner, a horse may also carry those colours whilst running under the name of another Owner if

- 84.1.1 the joint use of colours has been authorised in any of the circumstances specified in Paragraph 84.2, 84.3 or 84.4, and
- 84.1.2 the particulars of joint use have been registered with the Authority.

84.2 Where racing colours are registered in the name of an individual (B), B may authorise joint use of them by

- 84.2.1 a Recognised Company, where the horse is owned by the company and B is a Registered Agent for the company,
- 84.2.2 a Recognised Stud Company, where the horse is owned by the stud company and B is a registered nominee for the stud company,
- 84.2.3 a Recognised Business Partnership, where the horse is owned by the business partnership and B is a Club Manager,
- 84.2.4 a Racing Club, where the horse is owned by the club and B is a Club Manager,
- 84.2.5 a Syndicate, where the horse is subject to the Syndicate and B is a Syndicator or a member in the Syndicate,
- 84.2.6 a Partnership registered under Rule 67, where the horse is subject to the Partnership and B is a Partner, or
- 84.2.7 a lease or other arrangement registered under Rule 75, where the horse is subject to the lease or arrangement and B runs the horse under it.

84.3 Where racing colours are registered in the name of a Recognised Company (C), a Registered Agent of C may authorise joint use of them by

- 84.3.1 a Syndicate, where the horse is subject to the Syndicate and C is a Syndicator or a member in the Syndicate, and
- 84.3.2 a Partnership registered under Rule 67, where the horse is subject to the Partnership and C is a Partner, or
- 84.3.3 a lease or other arrangement registered under Rule 75, where the horse is subject to the

lease or arrangement and C runs the horse under it.

84.4 The Authority may, on an application to it, permit the joint use of racing colours

84.4.1 in such circumstances as it may consider appropriate, and

84.4.2 subject to such restrictions or conditions as it may specify.

84.5 For the purposes of Paragraph 84.2 or 84.3

84.5.1 any authorisation by B, or by C's Registered Agent, must be in writing, signed by him and sent to The Racing Calendar Office, and

84.5.2 any Owner making joint use of colours already registered to another must take any necessary steps to register new racing colours in the event that the joint use ceases to be authorised.

## **85. Application to the Authority to register racing colours**

85.1 An application for the registration of racing colours under Rule 82.1 must be

85.1.1 made using the Prescribed form,

85.1.2 sent to The Racing Calendar Office, and

85.1.3 accompanied by the appropriate fee specified in Schedule (A)1.

85.2 If it considers it appropriate to do so, the Authority may waive some or all of the instructions contained in the Prescribed form in respect of the Owner of a horse whose colours are already registered with a Recognised Racing Authority.

85.3 The Authority may determine

85.3.1 the colour shades and combinations that are available for registration,

85.3.2 the features that sufficiently distinguish one set of racing colours from a similar set so as to allow both to be registered,

85.3.3 the circumstances in which re-registration and transfers of racing colours may be permitted, and

85.3.4 all disputes as to the rights to particular colours.

85.4 The Authority may

85.4.1 register an Owner's racing colours for a period of 1, 5, 10 or 20 years or for such other period as the Authority may determine, and

85.4.2 may renew such registration on payment of the appropriate fee specified in Schedule (A)1.

85.5 A transfer of colours will be permitted upon payment of the relevant fee as set out in Schedule (A)1. This fee is not applicable where the transfer is made to

85.5.1 spouse,

85.5.2 parent,

85.5.3 a child,

85.5.4 siblings

85.5.5 civil partners,

85.5.6 the executors or the administrators of such persons, or

85.5.6 if the transferor, or in the case of a deceased transferor the heir to his racing interests,

85.6 At the Authority's discretion, colours may also be transferred between a Registered Owner and

85.6.1 a Racing Club registered under Rule 73F,

85.6.2 a Recognised Stud Company registered under Rule 34,

85.6.3 a Recognised Company registered under Rule 39,

85.6.4 a Recognised Business Partnership registered under Rule 47,

85.6.5 a Partnership registered under Rule 67, or

85.6.6 a Syndicate registered under Rule 73A

85.7 Provided the Registered Owner is a Club Manager, approved nominee, Registered Agent, Business Partner, Partner or Syndicator as the case may be of the ownership category in question or vice versa.

85.7.1 colours may only be transferred back to the original registrant.

## **CHAPTER 5 - MISCELLANEOUS**

### **86. Application of Chapter 5**

86.1 In this Chapter

86.1.1 all the Rules apply to Persons registered in the register of Owners under Chapter 2 or 3, and

86.1.2 in addition, Rules 91 and 92 also apply to any other Owner under whose name a horse is to run in a race under these Rules.

### **87. Information about horses of ambiguous sex**

87.1 An Owner must, as soon as possible, notify the Racing Calendar Office when a horse in his ownership is found to be of Ambiguous Sex.

87.2 **A Horse of Ambiguous Sex** means a horse whose visible sexual characteristics are contradicted by its genetic make-up/internal organs.

### **88. Dealings with licensed trainers**

88.1 Schedule 4 requires Owners whose horses are trained by a Licensed Trainer to enter into an agreement with the trainer and makes provision as to the terms of such agreements and their enforcement.

88.2 Licensed Trainer means a Person who holds a trainer's licence granted by the Authority.

### **89. Owners giving instructions to riders**

89 Any Owner or Registered Agent of a Recognised Company who gives instructions to the rider of his horse must comply with Rule (C)45 (securing the best possible placing) and is liable to disciplinary action in the circumstances set out in Rule (C)45.4.

#### **89.A Restriction on owners compensating riders**

89A.1 An Owner must not

89A.1.1 give to the Rider of his horse any material reward, gift, favour or benefit in kind in recognition of the consequence to that Rider of any Disciplinary Action taken against him, or

89A.1.2 instruct another person to do so on his behalf.

### **90. Authorised agents of an Owner**

90.1 This Rule

90.1.1 applies to any Owner whose name is registered in the register of Owners, but

90.1.2 does not apply to any Recognised Company.

90.2 A Person is authorised to act on behalf of the Owner for the purposes of these Rules only if

90.2.1 he is appointed as an Authorised Agent by a document which is in the Prescribed form and signed by the appointor,

90.2.2 the document has been sent to The Racing Calendar Office and is for the time being registered in the register of Authorised Agents, and

90.2.3 the appropriate fee specified in Schedule (A)1 is paid

90.2.3.1 for the initial registration of the document, and

90.2.3.2 at the end of each 12 month period that starts on the anniversary of the initial registration.

90.3 Where a sub-agent is appointed by an agent appointed in accordance with this Rule, the sub-agent may

make entries for races, confirm entries or make declarations under these Rules only if he has been allotted a security code by the Authority.

90.4 Where a horse is sold with engagements to another Person, any agent of the seller appointed in accordance with this Rule shall be regarded as the Authorised Agent of the purchaser but only in respect of entries which have already been made, but which are not closed, at the time of sale.

90.5 Registration of an agent appointed in accordance with this Rule shall immediately cease to be valid if

- 90.5.1 the agent's appointment is cancelled by him or by the owner,
- 90.5.2 the payment of the annual fee is in arrears by more than 14 days, or
- 90.5.3 the Authority gives a direction under Paragraph 90.6.

90.6 The Authority may, in such circumstances as it considers appropriate, direct that the registration of the document appointing the agent in accordance with this Rule shall cease to be valid.

## **91. Owner's sponsorship agreements**

91.1 On an application made to it under this Rule and in accordance with the Code of Conduct, the Authority may approve and register an Owner's sponsorship agreement in such circumstances, and subject to such restrictions or conditions as it considers appropriate.

91.2 An Owner may apply for approval by sending a copy of the agreement together with the application fee specified in Schedule (A)1.

91.3 If the Authority decides to approve the application

- 91.3.1 it may register the sponsorship agreement subject to such restrictions or conditions, and for such period, as it considers appropriate.

## **92. Restrictions on laying to lose**

92.1 In Paragraph 92.2, Listed Person

92.1.1 means any Owner (see Rule 96), and

92.1.2 additionally, includes

92.1.2.1 where the owner is a Recognised Company, any director or Registered Agent of the company,

92.1.2.2 where the owner is a Recognised Stud Company, any director of the company,

92.1.2.3 where the owner is a Syndicate, all members of the Syndicate,

92.1.2.4 where the horse is subject to a lease, the lessor of the horse, and

92.1.2.5 where the horse is owned in a Partnership or Business Partnership, is leased for one race only or is subject to any other lease or arrangement registered under Rule 75, any Person who, at or around the material time, played an active part in managing the horse.

92.2 A Listed Person must not

92.2.1 lay any horse he owns with a Betting Organisation to lose a race,

92.2.2 instruct another Person to do so on his behalf, or

92.2.3 receive the whole or any part of any proceeds of such a lay.

92.3 Any reference to laying a horse to lose includes any single instance of doing so, whether or not the single instance was, or was intended to be, one of a series of betting arrangements.

92.4 Nothing in this Rule prevents the laying of any horse owned by a Betting Organisation in the ordinary course of that Betting Organisation's business.

92.5 Betting Organisation means

92.5.1 any bookmaker,

92.5.2 the Tote,

92.5.3 any company offering spread betting on horseracing or person-to-person betting exchanges on horseracing, and



92.5.4 the employees of any such organisations.

## PART 4 - SUPPLEMENTARY

### 93. Notices, directions and other documents

93. Unless the context otherwise requires, Rules (A)105 (the giving of notices etc), (A)106 (the giving of notices etc in electronic form) and (A)107 (deemed service of documents) have effect in relation to any notices, directions or documents which are authorised or required to be given or sent under the provisions.

### 94. Computation of time

94. Except where these Rules provide otherwise, when the specified period for doing any act at the Authority's Office ends on a day on which the office is closed, that act will be done in time if done by 5.00pm on the next day on which the Authority's Office is open.

### 95. Arrangement of Rules into Manuals

95.1 These Rules are made up of the following Manuals

The General Manual (A)

The Race Manual (B)

The Trainer Manual (C)

The Rider Manual (D)

The Horse and Owner Manual (E)

The Race Administration Manual (F)

The Equine Anti-Doping Manual (G)

95.2 Each Manual is of equal standing and the fact that these Rules are divided into Manuals does not affect the weight of any requirements specified in each Manual.

### 96. Meaning of Owner

96.1 In relation to a horse, references in this Manual to the owner

96.1.1 in relation to a horse in the ownership of a Sole Owner, are to the individual,

96.1.2 in relation to a horse in the ownership of a Recognised Stud Company, are to the nominee registered under Rule 36,

96.1.3 in relation to a horse in the ownership of a Recognised Company, are to the company,

96.1.4 in relation to a horse in the ownership of a Recognised Business Partnership, are to the Business Partners,

96.1.5 in relation to a horse in the ownership of a Syndicate, are to each Syndicator,

96.1.6 in relation to a horse subject to a Partnership, are to each Partner,

96.1.7 in relation to a horse in the ownership of a Racing Club, are to each Club Manager,

96.1.8 in relation to a horse subject to any leasing or other arrangement which does not fall within the provisions of Paragraphs 96.1.1 to 96.1.7, are to the lessee or lessees under the arrangement,

and any such reference to an Owner also includes a part-owner.

96.2 In this Manual

**Business Partner** shall have the meaning given to it in Rule 48;

**Club Manager** means the individual appointed in accordance with Rule 73F;

**Partner** means an individual or entity whose name is registered in the register of Owners in accordance with Rule 67;

**Partnership** means an arrangement through which a horse is registered in accordance with Rule 67;

**Racing Club** means an arrangement through which a horse is registered in accordance with Rule 73F;

**Recognised Business Partnership** means a business partnership which is for the time being registered in the register of Owners under Rules 47 to 52;

**Recognised Company** means a company which is for the time being registered in the register of Owners under Rules 39 to 46;

**Recognised Stud Company** has the meaning given in Rule 35.

**Registered Agent**, in relation to such a company, means an agent of the company registered under Rule 41;

**Sole Owner** means an individual whose name is registered in the register of Owners in accordance with Rule 30A;

**Syndicate** means an arrangement through which a horse is registered in accordance with Rule 73A;

**Syndicator**

means the individual appointed in accordance with Rule 73A.

## **97. Interpretation: general**

### **97.1 Definitions of**

97.1.1 terms used in only one Rule are set out in that Rule,

97.1.2 terms used in only Part 2 or 3 of the Manual are set out at the beginning of that Part, and

97.1.3 terms used in more than one Part of the Manual are set out in Rule 96 and in the following provisions of this Rule.

### **97.2 In this Manual, unless the context otherwise requires**

#### **Authorised agent**

97.2.1 in the case of a recognised company, means the registered agent of the company under Rule 41;

97.2.2 otherwise, means any person authorised by the Authority to act as agent or sub-agent for another person in exercise of the Authority's powers under Rule (A)94;

**the Authority** means the British Horseracing Authority;

**the Authority's Office** means the office for the time being appointed by the Authority as the office of the British Horseracing Authority (the present address is 75 High Holborn, London, WC1V 6LS);

**Clear Day** means, in determining the number of days:

97.2.2A The day on which the period begins; and

97.2.2B If the end of the period is defined by reference to an event, the day on which that event occurs

are excluded.

**Clear Working Day** means, in determining the number of days:

97.2.2C The day on which the period begins; and

97.2.2D If the end of the period is defined by reference to an event, the day on which that event occurs; and

97.2.2E Saturday, Sunday, Bank Holiday, or day on which the Authority's office is not open for non-automated commercial business

are excluded.

**Disciplinary Action** means any action taken by the Authority under Part (A)6 or by the Stewards under Part (B)1;

**the Forfeit List** means the list maintained by the Authority under Rule (A)87;

**Person** includes a body corporate;

**Prescribed** means prescribed by the Authority;

**Racing Administration Internet Site** means the internet based administration service provided by the Authority;

**The Racing Calendar Office** means the office appointed for the time being as The Racing Calendar Office by the Authority (the present Racing Calendar Office is at Weatherbys, Sanders Road, Wellingborough, Northamptonshire, NN8 4BX);

**Recognised Racing Authority** means a racing authority of a country which is for the time being recognised by the Authority under Rule (A)93;

**these Rules** means all the Rules of Racing, including provisions which are contained in any other Manual;

**Trainer**

97.2.3 means any Person who holds a licence or permit to train which is granted by the Authority or whose authorisation by a Recognised Racing Authority corresponds to such a licence or permit; and

97.2.4 includes any Person who is treated as a trainer in accordance with Rule(C)1.2.

### **97.3 Words importing the masculine gender include the feminine.**

### **97.4 The singular includes the plural (and vice versa).**

## **SCHEDULES**

### **Schedule 1 - Registration of horse names**

1.1 The following names are not available for registration for a horse

1.1.1 subject to Paragraph 3, a name already registered in the register of horse names under Part 2;

1.1.2 subject to Paragraph 4, a name followed by one or more numbers;

1.1.3 a name on the International and Domestic Lists of Protected Names;

1.1.4 a name of more than 18 characters, including signs or spaces;

1.1.5 a name made up entirely of initials, or include figures, hyphens, full-stops, commas, signs, exclamation marks, inverted commas, forward or backward slash, colon and semi-colon;

1.1.6 a name that starts with a sign other than a letter;

1.1.7 a name containing more than seven syllables;

1.1.8 a name the pronunciation of which the Authority considers to be identical or unacceptably similar, to

1.1.8.1 a name that is on the International or Domestic Lists of Protected Names, or

1.1.8.2 a name that is already registered for a horse foaled in a year that is within 10 years of the year of foaling of the horse to which the application relates;

1.1.9 a name which the Authority considers

1.1.9.1 is suggestive or has a vulgar, obscene or insulting meaning,

1.1.9.2 is in poor taste,

1.1.9.3 may be offensive to religious, political or ethnic groups,

1.1.9.4 may otherwise cause offence,

1.1.9.5 may cause confusion in the administration of racing or betting, or

1.1.9.6 is the name of a well-known horse.

1.1.10 a name already registered to a sibling or parent of the horse in question;

1.2 For the purposes of Paragraph 1.1, the use of the definite or indefinite article does not constitute a different name.

2.1 The following names are available for registration for a horse if the conditions specified are met

2.1.1 the name of a public Person may be registered if the Person or his family have given permission;

2.1.2 a name which the Authority considers to be of commercial significance may be registered if appropriate permission has been obtained;

2.1.3 a name which the Authority considers to be that of a prominent company, product or trade name may be registered if

2.1.3.1 the written approval of the company or body associated with the name has been obtained, or

2.1.3.2 the Authority is satisfied that the name has an alternative meaning in common usage.

3.1 A name which has already been entered in the register of horse names shall become available for registration for a different horse at the end of the month of the relevant year during which it became available, as determined in accordance with Paragraphs 3.2 to 3.4.

3.2 Where the name was registered to a brood mare, the relevant year is whichever of the following first occurs

3.2.1 10 years after the mare's death,

3.2.2 10 years after the last recorded year in which the mare was covered or produced a foal, or

3.2.3 when the mare attains 30 years of age.

3.3 Where the name was registered to a stallion, the relevant year is whichever of the following first occurs

3.3.1 15 years after the stallion's death,

3.3.2 15 years after the last recorded year in which the stallion covered one or more mares, or

3.3.3 the year when the stallion attains 35 years of age.

3.4 Where the name was registered to any other horse, the relevant year is whichever of the following first occurs

3.4.1 5 years after the horse's death, or

3.4.2 the year when the horse attains 20 years of age.

3.5 An exception may be made where the name of a horse which has been reported dead and has not raced is sought for re-use by the same applicant.

4. Where a name is not available for a horse, a numeral may only be added to the name if

4.1 the horse was foaled in Great Britain, Ireland or the Channel Islands, and

4.2 it is not in the Stud Book maintained by the Stud Book Authority of Great Britain and Ireland.

5. If the same name is simultaneously claimed for two horses, the order of priority shall be determined by lot at The Racing Calendar Office.

## **Schedule 2 - Countries with approved stud books**

Argentina

Australia

Austria

Azerbaijan

Bahrain

Barbados

Belgium and Luxembourg

Brazil

Bulgaria

Chile

China

Colombia

Croatia

Cyprus

Czech Republic

Denmark

Dominican Republic

Ecuador

Finland

France

Germany

Great Britain and Ireland

Greece

Hungary

India

Italy

Jamaica

Japan

Kenya

Korea

Lebanon

Lithuania

Malaysia

Mexico

Morocco

Netherlands

New Zealand

Norway

Oman

Panama

Paraguay

Peru

Philippines

Poland  
Qatar  
Romania  
Russia  
Saudi Arabia  
Serbia, Bosnia & Herzegovina  
Slovakia  
Slovenia  
South Africa & Zimbabwe  
Spain  
Sweden  
Switzerland  
Syria  
Trinidad and Tobago  
Tunisia  
Turkey  
Ukraine  
United Arab Emirates  
United States of America and Canada and Puerto Rico  
Uruguay  
Uzbekistan  
Venezuela

### **Schedule 3 - Deleted**

### **Schedule 4 - Trainer-owner agreements**

#### ***Requirement for agreement***

1. This Schedule applies to the owner of any horse which is trained by the Licensed Trainer.
- 2.1 Where a Licensed Trainer is to train a horse owned by any Person, he and the owner must enter into a training agreement in respect of the horse before it runs in any race run under these Rules.
- 2.2 The Authority may determine not to take Disciplinary Action against any owner who fails to comply with Paragraph 2.1 if he can satisfy the Authority that there was an acceptable reason for the failure.

#### ***Form of agreement***

3. A training agreement must be signed and must set out the terms agreed between the parties in respect of at least the following

- 3.1 the basic training fee (expressed as an amount payable by week or by calendar month);
- 3.2 all other regular expenses (such as gallop fees, shoeing costs and the like);
- 3.3 the extent of the Licensed Trainer's authority to incur any additional charges or expenses for the account of the owner (such as veterinary fees);
- 3.4 provision for variation to be made as to any of the matters specified in Paragraphs 3.1 to 3.3 and for proper notification of variation;
- 3.5 the time and method of payment by the owner;
- 3.6 any provision for a Trainer's lien;
- 3.7 any matter as to training agreements which is required by a code of conduct issued under Rule 87; and
- 3.8 such other matters as the Authority may from time to time direct.

#### ***Duration of agreement***

4. A training agreement shall lapse if
  - 4.1 the owner does not have a horse in training with the Licensed Trainer for a continuous period of 24 months,
  - 4.2 the Trainer has ceased to hold a licence granted by the Authority, or
  - 4.3 either party to the agreement gives the other written notice of termination.

### ***Report by licensed trainer of non-payment of fees etc***

5.1 Payment period, in relation to any account due, means the period of 3 months beginning with the date on which the account was sent.

5.2 Where, before the end of the payment period, a Licensed Trainer does not receive from the owner full settlement of any account due under a training agreement entered into in accordance with this Schedule, the Licensed Trainer may report the matter to the Authority in accordance with Paragraph 5 of Schedule (C)4.

### ***Consequences of non-payment***

6.1 Where the Authority sends a notice to the owner that a report of non-payment has been made by the trainer, the owner must

6.1.1 make the payment due, or

6.1.2 provide to the Authority a written explanation for non-payment that is acceptable to the Authority,

before the end of the period of 8 days starting on the date the notice was received.

6.2 If the owner fails to comply with Paragraph 6.1

6.2.1 the total amount due (and any VAT payable) shall be taken to be arrears due under these Rules, and

6.2.2 the name of the owner will be added to the Forfeit List.

6.3 Paragraph 6.2 of this Schedule takes effect from the end of the period of 30 days starting with the date of the Authority's notice under Paragraph 6.1.

## **Schedule 5 - Registration of Ownership Names' and Styles**

1.1 Every Owner or ownership group must register a unique name style to assist in the administration of racing. It is this name that will be used when entries and lists of runners are published.

2.1 The following names that apply to all categories of ownership in Chapters 2 and 3 are not available for registration:

2.1.1 names already on the register, compiled and maintained at the Racing Calendar Office;

2.1.2 names of more than 40 characters, including signs or spaces; or

2.1.3 names of which the Authority considers are too similar to a name on the register.

3.1 The following restriction applies to Sole Owners as provided for in Rule 31:

3.1.1 names of which the Authority are satisfied that the person concerned is better known publically by their assumed, screen, stage or pen name than their real name.

4.1 The following restrictions apply to companies, Business Partnerships, Syndicates, Racing Clubs and Partnerships as provided for in Chapters 2 and 3:

4.1.1 a name which the Authority considers

4.1.1.1 is suggestive or has a vulgar, obscene or insulting meaning;

4.1.1.2 may be offensive to religions, political or ethnic groups;

4.1.1.3 is in poor taste;

4.1.1.4 to be inappropriate use of names made up of internet site addresses;

4.1.1.5 may otherwise cause offence;

4.1.1.6 may cause confusion in the administration of racing or betting; or

4.1.1.7 is the name of a prominent Company, Product or Trade except where registered for that Company or Body Association.

5.1 The Authority may refuse to accept or cancel any registration as provided for in Rule (A)25.

## **Index of Defined Expressions**

1. This index provides a guide to words or expressions which are defined generally and so liable to be met in provisions which do not themselves contain the definition.

2. Where a term is used only in one Rule (or in a series of closely connected Rules), the definition will be set out in that Rule. Always check the Rule itself before looking at this index.
3. Where a term is used in more than one place, it will start with a capital letter. The second column of this index tells you where you can find the substantive definition.
4. This index is not part of these Rules.

<b><i>Defined term</i></b>	<b><i>Where term is defined (references are to Rules unless other specified)</i></b>
Authorised Agent	97
the Authority	97
the Authority's Office	97
Betting Organisation	92.5
Business Partner	96
Business Partnership	96
Club Manager	96
Company	28.3
Director	28.3
Disciplinary Action	97
Disqualified Person	27
Export Certificate	2
the Forfeit List	97
Horse	2
Horse of Ambiguous Sex	87
Licensed Trainer	88.2
Listed Person	92.1
Microchip	2
Natural Service or Covering	8.7
Neurectomy	26A.1
Non-Racing Agreement	26.1
Non-Thoroughbred Register	2
Owner	96
Partner	96
Person	97
Prescribed	97
Racecourse Managing Executive	2
Racecourse Property	2
Racing Administration Internet Site	97
The Racing Calendar Office	97
Racing Club	96
Recognised Company	40
Recognised Business Partnership	48



Recognised Racing Authority	97
Recognised Stud Company	35
Register of Stable Employee Names	2
Registered Agent	41
these Rules	97
Stud Book	2
Syndicate	96
Syndicator	96
Trainer	97
VAT	27
Veterinary Officer	2
Veterinary Surgeon	2

## Schedule 6 - Syndicate Code of Conduct

1.1. In accordance with Rule 73E, this Code of Conduct applies to all ownership arrangements registered as a Syndicate where

1.1.1 the arrangement is managed, administered or promoted by a Syndicator who receives payment, in relation to their role, and/or

1.1.2. the method(s) of attracting participation in the arrangement include invitations to the public, whether by way of advertisement or otherwise.

1.2. The Syndicator must ensure that at the time of commencement of the Syndicate and throughout its duration, there is a written contract between the Syndicator and the participants which addresses and identifies, but may not be limited to, the following matters:-

1.2.1. The express acknowledgement from the participant/s that membership of the Syndicate may not necessarily provide a financial return;

1.2.2. The intended duration of the Syndicate, the mechanism for its termination and the methods and conditions (if any) by which participants may leave the Syndicate other than on final termination;

1.2.3. Whether the horse(s) is wholly owned by the participants or whether the horse is subject to a lease or other arrangement;

1.2.4. The number of horses involved in the Syndicate, the proportionate interest in the Syndicate of each participant and their rights of (or lack of) to sell, lease, transfer or assign their share/s;

1.2.5. The cost of participation for each participant and whether such cost is fixed or susceptible to alteration;

1.2.6. The details and/or means of calculating and paying any remuneration to be received by the Syndicator and any third parties;

1.2.7. A full financial statement for the Syndicate and the process by which any financial surplus or deficit will be credited or charged to the participants in the Syndicate;

1.2.8. The time at which and procedure by which the statement(s) of the Syndicate's costs recovered and expenditure will be presented to the participants. Such statement(s) shall be exclusive or inclusive of VAT as appropriate depending upon the VAT status of the Syndicate;

1.2.9. Whether and in respect of which risks the horse(s) will be insured and whether the participants of the Syndicate are the beneficiaries;

1.2.10. Whether the horse(s) will be initially trained by a named trainer; and

1.2.11. The process by which the Syndicate makes any decisions relating to the management, training, and time and method of sale of the horse(s).

1.3. This Code of Conduct does not purport to dictate the terms of the matters set out at Paragraph 1.2, only that they are matters that are to be agreed at the outset of a Syndicate. Each contract between the Syndicator and the

participants in that Syndicate must contain materially identical terms on the matters set out in Paragraph 1.2.

1.4. Each participant in the Syndicate should be aware that they are bound by the Rules of Racing. Particular attention should be drawn to those Rules prohibiting the sharing of Inside Information (Rule (A)36) and prohibiting the Lay Betting of owned horses (Rule 92).

Note:

In all cases it is the responsibility of the participant in the Syndicate on complaint of a failure to comply with this Code of Conduct to provide to the Authority the evidence which the Authority considers necessary to support that allegation.

# Race Administration Manual (F)

## Race Administration Manual (F)

### PART 1 - GENERAL INTRODUCTORY

#### *The racing seasons*

##### 1. Dates of the racing seasons

1. Schedule 1 sets out the period of the following racing seasons

- 1.1. The Flat Season,
- 1.2 The Winter Flat Season, and
- 1.3 The Jump Season (for steeple chasing and hurdle racing).

#### *Types of races and related terms*

##### 2. Meaning of race

2.1 In this Manual, **race**

2.1.1 means a Total **Race Value** Race, Private Sweepstakes or Match **race** run under these Rules or a race run under the Rules of any Recognised Racing Authority, but

2.1.2 does not include any Arabian horse race or point-to-point steeple chase.

2.2 For the purposes of Paragraph 2.1.1

**Match** is a race between horses the property of two different Owners on terms agreed by them and to which no money or other prize is added;

**Private Sweepstakes** is a Sweepstakes to which no money is added and which has not been publicly advertised before closing;

**Total Race Value Race** is a Sweepstakes in which the Stakes go to the winner or placed horses, **in addition to any Prize Money and Appearance Money guaranteed by the racecourse which shall not be less than the advertised value of the race when added to Stakes** but if the total stakes exceed that value, the total stakes are the Prize Money.

2.3 In this Rule

**Sweepstakes** is a race in which the Stakes, subscription, or other contribution by Owners go to the winner or placed horses, and any such race is still a Sweepstakes when money or other prize is added.

2.4 For the purposes of the definition of Total **Race Value** Race in Paragraph 2.2, a portion of the supplementary entry payment which is equal to the full stake payable through the early entry system shall be included within the Total **Race Value**, with the balance being added to the value of the race.

##### 3. General race categories

3.1 A **Handicap Race** is a race in which the weights for the horses are allotted by the Handicapper in accordance with Part 8 for the purpose of equalising their chances of winning.

3.2 A **Weight-for-Age** race is a race which is not a Handicap.

3.3 A **Claiming** Race is a race in which every horse running in the race may be claimed in accordance with the provisions of Chapters 2 and 3 of Part 4.

3.4 A **Selling** Race is a race in which

3.4.1 the winner of the race must be offered for sale by auction in accordance with Chapters 1 and 3 of Part 4, and

3.4.2 every other horse running in the race may be claimed.

3.5 A **Free Handicap** is a race in which no liability for stakes is incurred until acceptance.

3.6 A race is a **Novelty Race** if

3.6.1 it involves a restricted number of runners, other than the numbers determined by the Safety Factor and Maximum Figure, or Field Size Limit (if applicable), or

3.6.2 it is an invitation race, either in regard to horses or riders.

##### 4. Categories of flat race

4.1 A flat race is a **Pattern Race** if, in any particular year, it is a flat race which appears as a pattern race in the European Pattern Race Book.

Flat pattern races are divided into Groups 1, 2 and 3.

4.2 A flat race is a **Listed Race** if

4.2.1 in any particular year, it is a flat race which appears as a listed race in the European Pattern Race Book, but

4.2.2 in respect of the period 1980 to 1986, it includes any flat race which was published as a listed race in the 1987 Pattern Race Book.

4.3 A flat race is a **Conditions Race** if it is a flat race which is none of the following

4.3.1 a Handicap Race or a Novice Race,

4.3.2 a race restricted to Maiden Horses, or

4.3.3 a race governed by Selling or Claiming provisions.

4.4 A flat race is a **Conditions Stakes** if it is a flat race which has not been awarded pattern or listed status and it is none of the following

4.4.1 a Handicap Race, Classified Stakes or a Novice Race,

4.4.2 a race restricted to Maiden Horses,

4.4.3 a race governed by selling or claiming provisions, or

4.4.4 a race confined to Apprentice Jockeys or Amateur Riders in respect of which the Total Prize Fund is less than £7,500.

4.5 A flat race is a **Classified Stakes** if it is a Weight-for-Age Race which

4.5.1 is restricted to horses which have been awarded Handicap Ratings at or below a figure specified in the conditions of the race, and

4.5.2 is not a Maiden Race or Novice Race.

4.6 A race for Maiden Horses is

4.6.1 an **Open Maiden Race** if it is a flat race

- 4.6.1.1 which is restricted to Maiden Horses at starting,
- 4.6.1.2 which is not a Handicap Race, Selling Race, Claiming Race, Auction Race, Median Auction Race, Classified Stakes or Rating Related Maiden race, and
- 4.6.1.3 for which entry may be further restricted only by the number of starts, or age, or sex or inclusion in the European Breeders' Fund sponsorship arrangements;

4.6.2 a **Maiden Handicap** if it is a flat race which

- 4.6.2.1 is a Handicap Race,
- 4.6.2.2 is restricted to Maiden Horses, and
- 4.6.2.3 is not open to horses of two years old;

4.6.3 a **Maiden Auction** Race if it is a flat race restricted to two year old Maiden Horses **or three year old Maiden Horses** which have been sold or bought in by public auction under the hammer at specified sales (and for these purposes, any horse which is unsold having failed to reach its reserve does not qualify nor do private sales);

4.6.4 a **Median Auction Maiden Race** if it is a flat race which is restricted to Maiden Horses which are the progeny of stallions which established a median price for the sale of yearlings contemporary with the entrants in the race based on the sale or bought in price of one or more animals at specified sales. **In addition, horses are excluded which have been sold or bought in by public auction under the hammer at specified sales at a price more than £20,000 above the median price stated in the race conditions.**

4.6.5 a **Rating Related Maiden Race** is a flat race which

- 4.6.5.1 is restricted to Maiden Horses at starting which have been awarded Handicap Ratings at or below a figure specified in the conditions of the race, and
- 4.6.5.2 is not a Handicap Race.

4.7 A race is

4.7.1 a **Novice Flat Race** if it is a flat race restricted to horses which

- 4.7.1.1 have not won more than two flat races,
- 4.7.1.2 have not won a flat race which is classified as Class 1 or more than one flat race which is classified as Class 2 in Schedule 2.

4.7.2 a **Novice Auction Race** if it is a flat race restricted to horses which

- 4.7.2.1 have not won more than two flat races,
- 4.7.2.2 have not won a flat race which is classified as Class 1 or more than one flat race which is classified as Class 2 or 3 in Schedule 2, and
- 4.7.2.3 have been sold or bought in by public auction under the hammer at specified sales, and for these purposes, any horse which is unsold having failed to reach its reserve does not qualify nor do private sales;

4.7.3 a **Median Auction Novice Race** if it is a flat race restricted to horses which

- 4.7.3.1 have not won more than two flat races,
- 4.7.3.2 have not won a flat race which is classified as Class 1 or more than one flat race which is classified as Class 2 or 3 in Schedule 2, and
- 4.7.3.3 are the progeny of stallions which established a median price for the sale of yearlings contemporary with the entrants in the race based on the sale or bought in price of one or more animals at specified sales.

4.8 A **Heritage Handicap** is a Handicap flat race which is identified as such by the Authority and which has a minimum advertised value for a race of that type as specified in Schedule 2 Part 1.

4.9 A **Nursery Handicap** is a Handicap flat race which is restricted to two year old horses.

## 5. Categories of steeple chases, hurdle races and national hunt flat races

5.1 A steeple chase, hurdle race or National Hunt Flat Race is a **Pattern Race** if, in any particular year

- 5.1.1 it appears in the list of pattern races in the steeple chase and hurdle race section of the Programme Book published by the Authority, or
  - 5.1.2 in the case of a race run in Ireland, it appears as a pattern race in the Irish Racing Calendar.
- Such pattern races are divided into Grades 1, 2 and 3.

5.2 A steeple chase, hurdle race or National Hunt Flat Race is a **Listed Race** if in any particular year, it is a race which appears as a listed race in the steeple chase and hurdle race section of the Programme Book published by the Authority.

5.3 A steeple chase, hurdle race or National Hunt Flat Race is a **Maiden Race** if it is confined to Maiden Horses.

5.4 A steeple chase, hurdle race or National Hunt Flat Race is a **Novice Race** if it is confined to Novice Horses.

5.5 A steeple chase is

- 5.5.1 a **Hunters' Steeple Chase** if it is a Steeple Chase confined to Amateur Riders and to horses currently issued with a Hunters' Steeple Chase certificate,
- 5.5.2 a **Novice Hunters' Steeple Chase** if it is a Weight-for-Age Steeple Chase confined to Amateur Riders and to horses which

- 5.5.2.1 are currently issued with a Hunters' Steeple Chase certificate, and in respect of any race run or to be run in 2017, have not won a steeple chase before June 2nd, 2016, and

5.5.3 a **Beginners' Steeple Chase** if it is a steeple chase race for horses which have never won a steeple chase in any country, apart from a Match or Private Sweepstakes, or a steeple chase at a point-to-point meeting in Great Britain.

5.6 A steeple chase or hurdle race is a **Classified Stakes** if

- 5.6.1 it is a Weight-for-Age Steeple Chase or Hurdle Race which is restricted to horses which have been awarded Handicap Ratings at or below a figure specified in the conditions of the race, and
- 5.6.2 it is not a Maiden Race or Novice Race.

5.7 A hurdle race is a Juvenile Race if it is confined to Juvenile Horses.

## 6. Maiden horses

6.1 A horse is a **Maiden**, in relation to a flat race, if it has never won a flat race in any country apart from

- 6.1.1 a National Hunt Flat Race in Great Britain,
- 6.1.2 an Irish national hunt flat race,
- 6.1.3 a French AQPS Flat Race,
- 6.1.4 an Arabian horse race in Great Britain,
- 6.1.5 a Match, or
- 6.1.6 a Private Sweepstakes, other than the Newmarket Challenge Whip.

6.2 A horse is a **Maiden**, in relation to a steeple chase or hurdle race, if it has never won a steeple chase or hurdle race in any country, apart from

- 6.2.1 a National Hunt Flat Race in Great Britain,
- 6.2.2 an Irish national hunt flat race,
- 6.2.3 a French AQPS Flat Race,
- 6.2.4 a Match,
- 6.2.5 a Private Sweepstakes, or
- 6.2.6 a steeple chase at a point-to-point meeting.

6.3 A horse is a **Maiden**, in relation to a National Hunt Flat Race, if it has never won

- 6.3.1 a National Hunt Flat Race in Great Britain,
- 6.3.2 an Irish national hunt flat race, or
- 6.3.3 a French AQPS Flat Race.

## 7. Novice horses

7.1 A horse is a **Novice**, in respect of a flat race, if the horse is permitted to run in the race in accordance with the definition of any novice flat race category defined in Rule 4.7.

7.2 A horse is a **Novice**, in respect of a Hunters' Steeple Chase, if the horse is permitted to run in the race in accordance with the definition of Novice Hunters' Steeple Chase in Rule 5.5.2.

7.3 In respect of any steeple chase which is run in The Jump Season **2017/2018** and is not within Paragraph 7.2, a horse is a Novice if the horse has not won a steeple chase before April **30th, 2017**.

7.4 In respect of a hurdle race which is run in The Jump Season **2017/2018**, a horse is a Novice if the horse has not won a hurdle race before April **30th, 2017**.

7.5 Where, in the period starting on March 1st, **2018** and ending on April **28th, 2018**, a horse wins a hurdle race or a steeple chase for the first time, it shall be regarded as a novice and is eligible to run in novice hurdle races or novice steeple chases as the case may be until October 31st, **2018**.

7.6 Any additional wins during the period March 1st, **2018** to April **28th, 2018** will not affect the horse's qualification to run in novice hurdle races or novice steeple chases before November 1st, **2018**.

7.7 Paragraphs 7.3 to 7.5 apply to a steeple chase or hurdle race which is run in the period starting on April **30th, 2017** and ending on April **28th 2018**.

## 8. Classification of races

8.1 All races run in Great Britain shall be classified in accordance with the criteria for such races that are specified in Schedule 2.

## 9. Definitions supplementing Rules 2 to 8

9. These definitions apply to this Manual, not solely to Rules 2 to 8

**European Pattern Race Book** means the work authorised to be published by the Authority, Horse Racing Ireland, France-Galop, the Direktorium für Vollblutzucht und Rennen, and M.I.P.A.A.F. (ex A.S.S.I & U.N.I.R.E.);

**French AQPS Flat Race** means a race run in France on or after January 1st, 2007 which is restricted to AQPS bred horses;

**Juvenile Horses**. A horse is a Juvenile in respect of a Hurdle Race during any Jump Season if prior to 1st January it is three years old and after December 31st until the last day of April is four years old.

**Money Added to Stakes**, in respect of a Sweepstakes

9.1 means the minimum published amount contributed towards Prize Money by the racecourse or from other sources, and

9.2 does not include any additional sums contributed by the racecourse to meet the Guaranteed Minimum Value of a race or the Owners' Prize Money Pool;

**National Hunt Flat Race** is a flat race for horses which at starting have not run under any recognised Rules of Racing except in National Hunt Flat Races held under these Rules or in Irish National Hunt flat races or in French AQPS races (by virtue of the race conditions, no horse aged more than 7 years old will be eligible to start in a national hunt flat race.);

**Owners' Prize Money Pool**, in respect of a race, means the Stakes held by the Stakeholder for that race;

**Prize Money**, in respect of a race, means

9.3 the Total Prize Fund, or

9.4 a combination of

9.4.1 the Stakes, and

9.4.2 any Money Added to Stakes, and

9.4.3 any additional sums contributed by the racecourse to meet the Guaranteed Minimum Value of a race;

**Total Prize Fund** shall be construed in accordance with the definition of Total Prize Fund Race in Rule 2.

## PART 2 - FIXTURES AND RACECOURSES

### 10. General

10.1 Part (A)3 prohibits any authorised race meeting being held in Great Britain at a place or on a track which is not licensed by the Authority for the purpose.

10.2 This Part

10.2.1 sets out the powers of the Authority in relation to fixtures,

10.2.2 makes provision in connection with the licensing of racecourses, and

10.2.3 imposes specific requirements that have effect in connection with the licensing of racecourses.

10.3 Nothing in this Part restricts

10.3.1 the Authority's general powers under Part (A)2, or

10.3.2 its general powers as to licences which are specified in Part (A)3.

### *Fixtures*

## 11. Powers of the Authority in relation to fixtures

11.1 The Authority will fix the dates on which all race meetings are to be held and may

- 11.1.1 cancel any fixture or any advertised race or races,
- 11.1.2 make any alteration in the date of any meeting,
- 11.1.3 supervise the programme of any meeting or the conditions of any race,
- 11.1.4 make such alterations as it considers appropriate to any programme or race conditions,
- 11.1.5 order the transfer of any race meeting or race to another licensed racecourse whenever the Authority considers the transfer necessary or expedient in the interests of racing,
- 11.1.6 by the time determined in accordance with Rule 89 for making a declaration to run, elect not to divide a race or races that had been advertised as being subject to division, or alternatively, elect to divide a race that had not been advertised as being subject to division.

11.2 Any transfer under Paragraph 11.1.5 may be ordered with or without existing engagements.

11.3 No transfer under Paragraph 11.1.5 or 11.1.6 may be ordered without the consent of The Racecourse Managing Executive concerned.

11.4 The Authority may

- 11.4.1 authorise point-to-point fixtures and fixture fees,
- 11.4.2 cancel any such fixture, and
- 11.4.3 make such alterations to any such fixture as it considers necessary.

11.5 The Authority may

- 11.5.1 authorise Arabian horse racing fixtures, races and fixture fees,
- 11.5.2 cancel any such fixture or race, and
- 11.5.3 make such alterations to any such fixture or race as it considers necessary.

## 12. Fixture fees

12.1 Where a fixture is granted to a race meeting, the Racecourse Managing Executive must pay to the Authority when the fixture takes place

- 12.1.1 fees of such amount as the Authority may from time to time decide, and
- 12.1.2 fees in respect of the receipt of entries.

12.2 Unless the Authority directs otherwise, fees payable under Paragraph 12.1 remain payable even if the fixture, or any part of it, is abandoned.

## ***Racecourses***

## 13. Racecourse licences

13.1 A racecourse licence may be granted by the Authority to such Person as it considers appropriate and subject to such conditions and restrictions as it considers appropriate.

13.2 The Person to whom a licence is granted is referred to in these Rules as a **Racecourse Managing Executive**.

13.3 An application for a racecourse licence must be made using the Prescribed form.

13.4 No licence may be granted unless the applicant meets such requirements as the Authority may from time to time determine.

13.5 A licence must be applied for annually using the Prescribed form.

13.6 A licence may be renewed subject to such restrictions or conditions imposed by the Authority as it considers appropriate and these may differ from those previously imposed.

## 14. Circumstances in which a racecourse licence ceases to be valid

14. A racecourse licence shall immediately cease to be valid if

- 14.1 it expires and is not renewed,
- 14.2 it is withdrawn by the Authority, or
- 14.3 it is suspended by the Authority.

## 15. Duties of racecourse managing executive

15.1 Any licence which is granted is subject to

- 15.1.1 the requirement that such facilities as are reasonably required by any contractor for the effective provision of integrity technical services must be afforded on the racecourse, and
- 15.1.2 such other restrictions or conditions as the Authority consider appropriate.

15.2 Subject to Paragraph 15.4, a Racecourse Managing Executive must

- 15.2.1 comply with the requirements of this Manual,
- 15.2.2 comply with the requirements of any other Manual,
- 15.2.3 comply with the requirements of the General Instructions, and
- 15.2.4 have regard to any directions or instructions as to the operation of these Rules, which apply to the executive or have effect in relation to racecourses.

15.3 Subject to Paragraph 15.4, a Racecourse Managing Executive shall be taken to have contravened a requirement imposed on the executive by this Rule in any case where the executive fails to take all reasonably practicable steps to ensure that

- 15.3.1 all Persons who are employed at the racecourse, or who provide services in connection with it, act at all times in accordance with these Rules,
- 15.3.2 the Authority is provided within a reasonable time with such information as it requires,
- 15.3.3 the Inspector of Courses is permitted to carry out such inspections as he reasonably requires,
- 15.3.4 the course and obstacles are maintained in good condition,
- 15.3.5 the course is properly measured and marked,
- 15.3.6 the course is fit for racing to take place on a raceday, to the reasonable satisfaction of the Stewards on the day, before racing commences and on a race-by-race basis thereafter;
- 15.3.7 Disqualified Persons are, at the request of the Authority or the Stewards, excluded or ejected from all stands, rooms, enclosures and other places used for the purposes of the meeting,
- 15.3.8 such Persons as the Authority or the Stewards may request are, to the extent that a Racecourse Managing Executive has the right to do so, excluded or ejected from all stands, rooms, enclosures and other places used for the purposes of the meeting,
- 15.3.9 integrity technical services are provided at all race meetings run under these Rules in accordance with such standards as the Authority may specify,
- 15.3.10 effect is given to any direction given by the Authority under Rule (A)88 (controls on advertising and sponsorship) to

modify or remove any of the conditions of a race, and

15.3.11 effect is given to any decision to abandon any race or race meeting which is made by the Authority under Part (A)2.

15.4 The Authority may decide not to take Disciplinary Action against a Racecourse Managing Executive in respect of any contravention under Paragraph 15.2 or 15.3 if the Authority is satisfied that

15.4.1 the circumstances of the contravention were wholly outside the control of

15.4.1.1 a Racecourse Managing Executive, or

15.4.1.2 its employees, servants and agents (including self-employed and professional Persons engaged to provide services), and

15.4.2 a Racecourse Managing Executive has taken reasonable steps to arrange its affairs so as to minimise the adverse impact on racing of matters outside its control.

15.5 Where, on the day of a race meeting, a Racecourse Managing Executive proposes to abandon a day's racing or abandon any race as a result of

15.5.1 an emergency situation involving crowd safety or public order, or

15.5.2 any direction given by the police or emergency services,

the executive must inform the Stewards before the decision to abandon is announced.

15.6 A Racecourse Managing Executive may

15.6.1 abandon a day's racing,

15.6.2 abandon any race

in any circumstances specified in Paragraph 15.7.

15.7 The circumstances are

15.7.1 there are exceptional circumstances,

15.7.2 there is adverse weather, or

15.7.3 the ground conditions are such that the course (or any part thereof) is not safe.

15.8 Subject to Paragraph 15.5, the decision to abandon a day's racing or abandon any races, may only be taken from noon 3 days prior to that on which the day's racing has been advertised until the conclusion of the first race.

15.9 If a Racecourse Managing Executive abandons a day's racing or races on the grounds specified in Paragraph 15.7, a certificate must be drawn up stating the day and hour when the decision was arrived at and summarised reasons for doing so.

15.10 The certificate must be signed by the Clerk of the Course and without delay despatched to the Racing Calendar Office.

15.11 A Racecourse Managing Executive may leave out or alter any obstacles in the circuit of the course if their retention would necessitate the abandonment of the day's racing or a race, but the original advertised distance of a race must not be decreased.

15.12 For the purposes of Paragraph 15.11, a decision to leave out or alter may only be taken up until the conclusion of the first race.

15.13 Any decision to implement the Stop Race Procedure shall be made by the Racecourse Managing Executive acting in good faith and believing there to be a good reason for doing so, but without further obligation.

15.14 A Racecourse Managing Executive must comply with the controls for sponsorship which are for the time being approved by the Authority.

15.15 For the purposes of Paragraph 15.3.1, the Stewards of a meeting or any other Person acting in an official capacity on behalf of the Authority at a meeting shall not be regarded as employed by or otherwise subject to the control or direction of a Racecourse Managing Executive.

15.16 In Paragraph 15.3.9, Integrity Technical Services include camera patrol and technical facilities for Stewards, photofinish, starting stalls, a radio communication network service approved by the Authority and a public address communication service.

## **16. Inspection of racecourses in connection with licensing**

16.1 The Inspector of Courses may, either on an initial application for a racecourse licence or subsequently

16.1.1 inspect a racecourse at any time and with such frequency as he considers appropriate,

16.1.2 prepare a report for consideration by the Authority, and

16.1.3 if authorised to do so under Paragraph 16.3, issue a penalty notice to the Racecourse Managing Executive in respect of any failure to comply with a requirement imposed on him by these Rules.

16.2 The greatest number of horses which may be started safely in a race at a racecourse is such number as may be determined by the Inspector of Courses.

This number is referred to in this Manual as the **Safety Factor**.

16.3 The Authority may

16.3.1 authorise one or more Inspector of Courses to issue fixed penalty notices, and

16.3.2 from time to time determine the amount of the fixed penalty, subject to a maximum amount of £500.

16.4 Where a fixed penalty notice is issued by an Inspector of Courses, the amount of the penalty shall be charged to the account of the Racecourse Managing Executive at the end of the period of 7 days starting on the date of the issue of the notice.

16.5 Paragraph 16.4 does not apply if the Racecourse Managing Executive notifies the Authority that the matter of its alleged non compliance should be the subject of an enquiry held under Part (A)5.

## **17. Submission of racecourse statement of accounts**

17.1 This Rule applies where a Racecourse Managing Executive requires fixtures for the racecourse for any year.

17.2 On or before June 1st immediately preceding the start of the year in question, the Racecourse Managing Executive must send to the Authority a statement of accounts which

17.2.1 relates to the period of 12 months that ended on December 31st of the previous year,

17.2.2 is in the Prescribed form, and

17.2.3 has been certified by a Chartered or Certified Accountant.

## **18. Approvals required for equine events at racecourses**

18.1 A racecourse may not be used for an equine event involving the use of the track unless

18.1.1 the Racecourse Managing Executive has given its approval to its use for that purpose, and

18.1.2 the Authority has given its authorisation under Paragraph 18.2.

18.2 If the Authority considers it appropriate to do so, it may

- 18.2.1 authorise the use made of a racecourse for an equine event involving the use of the track, and
- 18.2.2 refuse or cancel such authorisation.

## **19. All weather tracks**

19. No track with an All Weather Track may be used unless it has been approved by the Authority.

## **PART 3 - RACING PROGRAMMES**

### **CHAPTER 1 - GENERAL PROVISIONS**

## **20. The conditions of the race**

- 20.1 The conditions of a race must meet the following requirements.
- 20.2 The fees relating to any race stage and the total liability for runners must be in accordance with the scales laid down from time to time by the Authority.
- 20.3 The minimum Total Prize Fund in a race must not be less than that laid down from time to time by the Authority.
- 20.4 The Maximum Figure for a race must not exceed the Safety Factor.
- 20.5 The number of horses permitted to start the race must not exceed either the Maximum Figure or the Safety Factor.
- 20.6 Subject to Paragraph 20.8, no prize may be given to any Person otherwise than in accordance with Part 7.
- 20.7 The value of any prize not in money must be advertised unless it is a prize approved under Paragraph 20.8.
- 20.8 The Authority may approve the giving of additional prizes to Trainers, Riders, stable employees or breeders and any such prize
  - 20.8.1 must be included in the conditions of the race, but
  - 20.8.2 may not be included in the calculation for distribution of Prize Money provided for in Part 7.

## **21. Conditions of the race: additional requirements for specific categories of race**

21.1 The conditions of a flat race must not contain

- 21.1.1 any restrictions as to training stables, or
- 21.1.2 in respect of any race that is not confined to Apprentice Jockeys or Amateur Riders, any riders' allowances other than those provided by Rule 140 (flat race allowances).

21.2 The conditions of a steeple chase, hurdle race or National Hunt Flat Race must not contain

- 21.2.1 any restrictions as to training stables, or
- 21.2.2 in respect of any race which is not confined to Conditional Jockeys, any riders' allowances other than those provided by Rule 141 or 142 (jump race allowances).

21.3 The conditions of a National Hunt Flat Race must provide

21.3.1 that the race is a Weight-for-Age Race which

- 21.3.1.1 is not less than one and a half miles,
- 21.3.1.2 is not more than two and a quarter miles,
- 21.3.1.3 is for horses which at starting have not run under any recognised Rules of flat racing, steeple chasing or hurdle racing, apart from in National Hunt Flat Races run under these Rules or in Irish National Hunt Flat Races or in French AQPS races;

21.3.2 that any rider must be one of the following

- 21.3.2.1 a Conditional Jockey,
- 21.3.2.2 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to a Conditional Jockey's licence,
- 21.3.2.3 an Amateur Rider who holds a Category B permit to ride granted by the Authority,
- 21.3.2.4 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to such a permit, and
- 21.3.2.5 if the race is deemed to be 'Open', a Jockey who holds a licence which allows him to ride in steeple chases, hurdle races or National Hunt Flat Races or an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to such a licence.

## **22. Publication of race programme**

22.1 The conditions of a race must be published in The Racing Calendar before closing.

22.2 The advertisement before closing must also contain the following information

- 22.2.1 the dates or dates on which the meeting is to be held,
- 22.2.2 the dates for closing the races,
- 22.2.3 the time from which penalties for winning will be incurred,
- 22.2.4 the dates of any Scratching Deadlines
- 22.2.5 the dates determined in accordance with Part 6 for making confirmations of entry and declarations to run, and
- 22.2.6 such of the following information as is applicable

- 22.2.6.1 that all or certain specified races at the meeting are to be run on an All Weather Track,
- 22.2.6.2 when the weights for all early closing races will be published, and
- 22.2.6.3 that a Parade is intended for any race.

22.3 The conditions of any race must not be altered after publication except in accordance with Paragraphs 22.4 and 22.5.

22.4 The Authority may at any time before the start of a race approve the addition of more money to the race.

22.5 The Authority may approve the publication of such corrections as it considers appropriate in any case where

- 22.5.1 any part of the conditions of a race are omitted from the advertisement, or
- 22.5.2 the conditions of a race stated in the advertisement are incorrect.



22.6 **Parade** means the presentation in racecard order before a race of all runners mounted by their Riders and either led or cantered at intervals in front of the stand.

### **23. Cancellation of races with fewer than five entries or declarations**

23.1 A race may be cancelled if fewer than five entries are received at the Time of Entry or fewer than five declarations to run under Rule 89 are received by The Racing Calendar Office.

For these purposes, an entry or declaration for a horse which is not qualified at the respective time shall be disregarded.

23.2 Paragraph 23.1, in respect of fewer than five declarations, will be applied in accordance with the Authority's policy on race cancellations, as issued from time to time.

23.3 But Paragraph 23.1 does not apply, in respect of fewer than five entries or fewer than five declarations, to

23.3.1 any Pattern Race, any Listed Race, any race which closes more than 6 days before running or the final race in a Race Series, or

23.3.2 more than one race at any race meeting.

### **24. Mixed meetings, matches, private sweepstakes or novelty races**

24.1 In respect of any meeting at which flat races are to be run as well as steeple chases, hurdle races or National Hunt Flat Races

24.1.1 Chapters 2 and 3 of this Part shall apply to the programme of the meeting in so far as possible,

24.1.2 no more than eight races may be run on any one day at the meeting unless the Authority directs otherwise, and

24.1.3 the complete programme must be submitted to the Authority for its approval.

24.2 Rule 27 shall apply for the purposes of Paragraph 24.1.2.

24.3 In respect of any meeting at which any Match, Private Sweepstakes or Novelty Race run under these Rules is to be included in the programme

24.3.1 the conditions of the race and any other special arrangements must be submitted to the Authority for its approval, and

24.3.2 the conditions and arrangements for any Novelty Race must be published in The Racing Calendar.

## **CHAPTER 2 - PROVISIONS APPLYING TO FLAT RACES ONLY**

### **25. Application of Chapter 2**

25.1 This Chapter contains provisions which are additional to those in Chapter 1 of this Part and which apply to the racing programme for any meeting for which flat races are advertised.

25.2 The provisions in this Chapter apply to all such races, unless the Authority directs otherwise.

### **26. Minimum requirements as to races to be included in a flat race programme**

26.1 In each day's programme of racing, there must be two races of a mile or upwards of the minimum aggregate distance of two miles and a half.

26.2 Where the programme is held on or after January 1st in any year but before the end of the week immediately preceding that in which the Epsom Derby Festival is held, the daily programme of races to be run must include at least one type of Maiden Race open to three years old.

26.3 Where the programme is held at or after the start of the week that follows the Doncaster St Leger Meeting but before the end of The Flat Season, the daily programme of races to be run must include at least one race of between six to eight furlongs restricted to Maiden or Novice two years old.

26.4 From the start of the Flat Season until the end of the year, each racecourse to stage three Maiden or Novice Races for every two days' racing.

From January 1st to the day before the start of the Flat Season, each racecourse to stage one Maiden or Novice Race for every day's racing.

26.5 Any programme of races to be run must consist of at least six races and these must include, unless the Total Prize Fund exceeds £100,000 for that day, a minimum of two of those races potentially liable to division under Rule 102.

26.6 For a programme of seven races, at least two races which are potentially liable to division must still be programmed but only one shall be permitted to divide at the time determined in accordance with Part 6 for making declarations to run.

26.7 The Authority shall seek the agreement of the Racecourse Managing Executive if, in exercise of its general powers under Part (A)2, the Authority proposes to waive the application of Paragraph 26.6 to a particular meeting.

### **27. Maximum number of races in a flat race programme**

27.1 No more than seven races may be programmed on any one day at any one meeting, with the exception of meetings offering in excess of £135,000 in prize money.

27.2 No more than eight races may be run on any one day at any meeting.

27.3 If the number of races potentially liable to division could produce more than eight races

27.3.1 the Authority shall nominate an order of precedence for division after those races have closed, and

27.3.2 subject to Paragraph 27.2, those races shall be divided in that order where, at the time determined in accordance with Part 6 for making declarations to run, the number of horses declared to run in any such race is eighteen or more.

27.4 Any remaining races will be subject to elimination in accordance with Rules 102 and 103.

### **28. Restrictions on division of flat races**

28.1 No flat race shall be permitted to divide at an Evening or Twilight meeting during the period when Evening Meetings on turf are programmed.

28.2 A flat race shall be permitted to divide only if it falls within a race category listed in Schedule 3.

28.3 In respect of the period which starts on January 1st and ends immediately before the start of The Flat Season, no more than one race shall be permitted to divide at an All Weather Track meeting for flat races.

28.4 Evening meetings and Twilight meetings are those meetings designated as such by the Authority where the first race is programmed to start on or after 3.00p.m.

### **29. General restrictions on flat races**

29.1 No yearling may run in a flat race.

29.2 No horse may carry less than 8st in a flat race unless

29.2.1 a rider's allowance is claimed as provided in Rule 140, or

29.2.2 in a race confined to Apprentice Jockeys, as provided in the conditions of the race.

29.3 No flat race may be run over less distance than five furlongs.

29.4 No flat race may be run over a distance in excess of two miles and six furlongs.

29.5 For the period starting on January 1st and ending on July 31st in any year, there must not be

29.5.1 more than two flat races confined to two year olds races in a programme of six races, or

29.5.2 more than three such races in a programme of seven races.

29.6 On or after August 1st in any year, there must not be more than three flat races confined to two year olds in any programme.

29.7 Subject to Paragraph 29.8, no two-year old may run

- 29.7.1 before The Flat Season commences in any year,
- 29.7.2 more than five furlongs before the Saturday prior to the York May Meeting,
- 29.7.3 more than six furlongs before Derby Day,
- 29.7.4 more than seven furlongs before August 1st,
- 29.7.5 in a Handicap Race before July 1st,
- 29.7.6 in a Handicap Race with older horses.

29.8 No two-year old which, in the period starting on July 1st and ending on December 31st in any year, was foaled in the southern hemisphere may run

- 29.8.1 before September 16th;
- 29.8.2 more than five furlongs before November 1st;
- 29.8.3 more than six furlongs, or in a Handicap Race, at any time.

29.9 No three-year old, which, in the period starting on July 1st and ending on December 31st in any year, was foaled in the southern hemisphere may run

- 29.9.1 more than seven furlongs before February 1st;
- 29.9.2 more than eight furlongs before March 1st;
- 29.9.3 more than nine furlongs before April 1st;
- 29.9.4 more than ten furlongs, or in a Handicap Race with older horses, before July 1st.

29.10 Subject to Rule 29.11, no horse may carry more than 12st in a flat race.

29.11 No account will be taken of

- 29.11.1 a Rider's allowance claimed in accordance with Rule 140, or
- 29.11.2 a weight allowance claimed in accordance with the conditions of a race.

### **30. Classified stakes races and rating related maiden races: previous experience**

30.1 This Rule applies to any Classified Stakes or Rating Related Maiden Race, and the conditions specified in this Rule must be met up to and including the Saturday immediately before closing.

30.2 No horse may run in the race unless

- 30.2.1 the horse has run at least three times in a flat race in Great Britain, or
- 30.2.2 if race in question is a Classified Stakes, the requirements in Paragraph 30.3 or 30.4 are met in respect of the horse, or
- 30.2.3 if race in question is a Rating Related Maiden Race, the requirements in Paragraph 30.4 are met in respect of the horse.

30.3 The requirements of this Paragraph are that the horse

- 30.3.1 has won a flat race run in Great Britain after running in only one or two such races, and
- 30.3.2 otherwise satisfies the race conditions.

30.4 The requirements of this Paragraph are that the Handicapper is prepared to allot a Handicap Rating to a horse which

- 30.4.1 is trained in Great Britain, and
- 30.4.2 has run at least three times in a flat race run either in Ireland or under the rules of a Recognised Racing Authority.

### **31. Handicap flat races other than nursery handicaps: previous experience**

31.1 This Rule applies to any flat race Handicap, other than a Nursery Handicap, and the conditions specified in this Rule must be met up to and including

- 31.1.1 if the race closes more than six days before running, the Saturday immediately before the publication of the weights in The Racing Calendar, and
- 31.1.2 otherwise, the Saturday immediately before closing.

31.2 In the case of a Heritage Handicap or a Handicap Race with a Total **Race Value** of **£45,000** or more, no horse may run in the race unless the Handicapper is prepared to allot a Handicap Rating to the horse and

- 31.2.1 it has run at least three times in a flat race in Great Britain, or
- 31.2.2 it is trained in Great Britain and has run at least three times in flat races run under the rules of any one or more Recognised Racing Authorities, or
- 31.2.3 the requirements of Paragraph 31.4 are met in respect of the horse.

31.3 No horse which is trained in Great Britain, which is three-years-old or upwards may run in any other Handicap Race unless the Handicapper is prepared to allot a Handicap Rating to the horse and the horse

- 31.3.1 has run at least three times in flat races run under the rules of any one or more Recognised Racing Authorities, or
- 31.3.2 has **won twice** in flat races run in Great Britain **and/or Ireland with at least one of the wins being in Great Britain.**

31.4 No horse which is trained outside Great Britain, which is three-years-old or upwards may run in any other Handicap Race unless the Handicapper is prepared to allot a Handicap Rating to the horse and the horse

- 31.4.1 has run at least three times in flat races run in Great Britain and/or Ireland, or
- 31.4.2 has run at least three times in flat races run under the rules of any one or more Recognised Racing Authorities and either the Handicapper is prepared to allot a Handicap Rating of 90 or more, or the horse has already run in a Handicap flat race in Great Britain.

### **32. Nursery handicaps: previous experience**

32.1 This Rule applies to any flat race Nursery Handicap, and the conditions specified in this Rule must be met up to and including

- 32.1.1 if the race closes more than six days before running, the Saturday immediately before the publication of the weights in The Racing Calendar, and

32.1.2 otherwise, the Saturday immediately before closing.

32.2 No horse trained in Great Britain may run in a Nursery Handicap unless the horse is two-years old, the Handicapper is prepared to allot a rating and

32.2.1 it has run at least three times in a flat race in Great Britain and/or Ireland, or

32.2.2 it has won twice in a flat race in Great Britain and/or Ireland with at least one of the wins being in Great Britain.

32.3 No horse trained outside Great Britain may run in a Nursery Handicap unless the horse is two-years old, the Handicapper is prepared to allot a rating and

32.3.1 it has run at least three times in a flat race in Great Britain, or

32.3.2 it has won twice, in a flat race in Great Britain.

### **33. Further provision about previous experience required by Rule 30, 31 or 32**

33.1 This Rule applies for the purpose of determining whether a horse has run in the number of races required by Rule 31 or 32.

33.2 No account is to be taken of

33.2.1 any Match,

33.2.2 any Private Sweepstakes other than the Newmarket Challenge Whip,

33.2.3 any walk-over, or

33.2.4 any race run in Great Britain or Ireland where the horse does not finish, or

33.2.5 subject to Paragraph 33.4, any race in respect of which

33.2.5.1 Disciplinary Action was taken against the Rider in Case 1 set out in Rule (B)58.2 (intentional failure to ensure horse is run on its merits), or

33.2.5.2 the Handicapper makes a determination under Paragraph 33.3.

33.3 The Handicapper may decide that no account is to be taken of any race where Disciplinary Action was taken against the Rider

33.3.1 in Case 2 set out in Rule (B)58.3 (failure to obtain its best possible placing but no intentional disregard of requirement to run horse on merits), or

33.3.2 in Case 3 set out in Rule (B)58.4 (failure to ensure horse is run on its merits in circumstances not covered by Case 1 or Case 2).

33.4 Where any appeal under Part (A)7 (appeals) against Disciplinary Action is successful, the run of the horse in respect of which such action was taken may once again be taken into account for the purposes of Rule 30 or 31, but only with effect from the date of the appeal decision.

33.5 The Handicapper may in any case decline to allot a Handicap Rating if, in his opinion, he does not have sufficient information upon which to allot one.

### **34. Handicap flat races: top and bottom weights**

34.1 The top weight in a Handicap flat race shall not be less than

34.1.1 for a Nursery Handicap, 9st 7lb or such other top weight as is specified in the conditions of the race,

34.1.2 for a Heritage Handicap confined to three years old, 9st 7lb,

34.1.3 for any other Heritage Handicap not within Paragraph 34.1.2, 9st 10lb or such other top weight as is specified in the conditions of the race, or

34.1.4 for all other races, the weight specified in the conditions of the race, or (in a race where differential top weights are specified to take account of the weight-for-age allowance) the weight applicable to the highest rated horse entered.

34.2 The bottom weight in a Handicap flat race shall not be less than

34.2.1 the bottom weight specified in the conditions of the race, or

34.2.2 if no such weight is specified, 8st.

34.3 In any Handicap flat race, the original weights may go down to weights below the permitted bottom weight.

34.4 Any horse rated below 46 entered in a Handicap flat race shall be allocated an original weight which corresponds with a Handicap Rating of 45.

### **35. Handicap flat races: weight adjustments at scratching deadline or at confirmation**

35.1 This Rule applies where

35.1.1 the race is a Handicap flat race that closes more than six days before running, and

35.1.2 at the relevant time, the highest original weight that remains engaged is less than the race maximum determined in accordance with Rule 34,

and, for these purposes, **the relevant time** is the time determined in accordance with Part 6 for any Scratching Deadline or for making confirmations of entries.

35.2 The highest original weight remaining engaged at the relevant time shall be raised to the race maximum, and all other entries equally.

### **36. Handicap flat races: weight adjustments at declaration to run**

36.1 With regard to any Handicap flat race, an assessment shall be made in accordance with this Rule and Rule 36A, at the time determined in accordance with Rule (F)89 for making declarations to run, in order to determine the weight adjustments required by this Rule.

36.2 Subject to Rule 36A, if

36.2.1 the highest weight that remains declared to run (whether it is an original weight or a weight adjusted under Rule 35 **but ignoring penalties**) is less than the weight maximum specified in the conditions of the race, or

36.2.2 in respect of any Handicap which is not confined to Amateur Riders, the highest weighted horse in receipt of a weight-for-age allowance that remains declared to run (whether it is an original weight or a weight adjusted under Rule 35) is less than the weight maximum specified in the conditions of the race for a horse of that age, or

36.2.3 in respect of any Handicap which is not confined to Amateur Riders, the highest weighted horse in receipt of a weight-for-age allowance that remains declared to run (whether it is an original weight or a weight adjusted under Rule 35) is less than 9st 7lb,

the weights shall be raised by the lowest amount necessary to ensure compliance with the weight maximum specified in either Paragraphs 36.2.1, 36.2.2 or 36.2.3 and the weights of all other declared runners will be raised equally.

36.3 Any penalty incurred since the date stated in the conditions of the race shall then be added

36.3.1 to the final weights, as increased under Rule 35 and Paragraph 36.2, or  
36.3.2 if no such increase was made, to the original weights.

36.4 If the weight of a horse (including any penalties) is still below the lowest permitted weight after any increase required by Paragraphs 36.2 and 36.3, its weight shall be raised to the lowest weight permitted in accordance with Rule 34 which where applicable, shall be the bottom weight specified in the conditions of the race for a horse of that age.

36.5 In respect of any Handicap flat race which is not confined to Amateur Riders, if the horse with the lowest weight that remains declared to run has a weight (including any penalties) of more than 9st 2lb after any increase required by Paragraphs 36.2, 36.3 and 36.4, its weight shall be lowered to either

36.5.1 9st 2lb, or

36.5.2 to the minimum weight to be carried by any horse as stated in the race conditions (whichever is the higher) and all other declared runners lowered accordingly.

36.6 Where a penalty is incurred after the time for making declarations to run, it shall be calculated on the original weight

36.6.1 including any increase under Rule 35 and Paragraphs 36.2 and 36.7 and any decrease under Paragraph 36.5, but  
36.6.2 excluding any increase under Paragraph 36.4.

36.7 Where the raising of weights is necessary, horses rated 1lb or 2lb above the upper rating limit of the race should initially be disregarded for the purposes of initial raising of the weights. Once the weights have been raised, based upon the horses rated within the rating range of the race, the weights of these additional horses shall be raised accordingly. **However, if the top weight (excluding penalties) remaining engaged in the race is therefore raised above 10st 7lb or 12st in races confined to Amateur Riders, the top weight will be lowered to a maximum of 10st 7lb or 12st in races confined to Amateur Riders and all other weights lowered accordingly.**

36A.1 In determining, for the purposes of Rule 36, the highest weight remaining declared to run, any horse declared to run under Part 6, having also been declared as a reserve as provided for in Rule 99A shall be disregarded.

36A.2 But the weight of any horse disregarded by virtue of Paragraphs 36A.1 and 36.7 shall be increased by adding to its weight the amount by which the weights of the race are raised in accordance with Rule 36, without limit by the conditions of the race or otherwise.

### CHAPTER 3 - PROVISIONS APPLYING TO STEEPLE CHASES, HURDLE RACES AND NATIONAL HUNT FLAT RACES

#### 37. Application of Chapter 3

37.1 This Chapter contains provisions which are additional to those in Chapter 1 and which apply to the racing programme for any meeting for which steeple chases, hurdle races or National Hunt Flat Races are advertised.

37.2 The provisions in this Chapter apply to all such races, unless the Authority directs otherwise.

#### 38. Minimum requirements as to races to be included in a jump race programme

38.1 There must be at least one Steeple Chase in each day's programme.

38.2 For every two days' racing, there must be at least three Novice or Maiden or Juvenile Weight-for-Age Hurdle Races, excluding Selling Races, Claiming Races and Novice Handicap Hurdle Races.

38.3 For every three days' racing apart from mixed meetings, there must also be at least

38.3.1 one National Hunt Flat Race, and

38.3.2 one race restricted to Fillies and/or Mares only, and

38.3.3 one Novice or Maiden or Beginners' Weight-for-Age Steeple Chase or one Novices' Handicap Steeple Chase classified as Class 1, 2 or 3 in accordance with Schedule (F)2.

38.4 The programme of races must consist of at least six and no more than eight races except outside British Summer Time when there will be no more than seven races.

38.5 Where a National Hunt Flat Race is run on a racecourse which has steeple chase and hurdle race courses

38.5.1 the National Hunt Flat Race may appear as part of a six race programme if the race is deemed to be 'open', but

38.5.2 if it is not deemed to be 'open', there must be at least seven races in the programme.

#### 39. Maximum number of races in a jump race programme

39.1 No more than seven races may be programmed on any one day at any one meeting, with the exception of meetings offering in excess of £135,000 in prize money.

39.2 No more than eight races may be run on any one day at any meeting.

39.3 The number of races from those potentially liable to division that shall be permitted to divide at the time for declaration to run under Rule (F)89 will be

39.3.1 where six races have been programmed

39.3.1.1 no more than two races during British Summer Time, and

39.3.1.2 only one race outside British Summer Time.

39.3.2 where seven races have been programmed

39.3.2.1 only one race during British Summer Time, and

39.3.2.2 no race outside British Summer Time.

39.4 Outside British Summer Time, where seven races have been programmed, no race potentially liable to division shall be permitted to divide at the time determined in accordance with Part 6 for making declarations to run.

39.5 During British Summer Time if the number of races potentially liable to division could produce more than eight races, or

39.6 Outside British Summer Time the number of races potentially liable to division could produce more than seven races,

39.6.1 the Authority shall nominate an order of precedence for division after those races have closed, and  
39.6.2 subject to Paragraph 39.2, those races shall be divided in that order where, at the time determined in accordance with Rule(F)89 for making declarations to run, the number of horses declared to run in any such race is eighteen or more.

39.7 Any remaining races shall be subject to elimination in accordance with Rules 102 and 103.

39.8 No race will be permitted to divide at an Evening Meeting or Twilight Meeting.

#### **40. Restrictions on division of jump races**

40.1 No hurdle race, steeple chase or National Hunt Flat Race shall be permitted to divide at an Evening Meeting or Twilight Meeting.

40.2 A hurdle race, steeple chase or National Hunt Flat Race shall be permitted to divide only if it falls within a race category listed in Schedule 3.

40.3 Evening Meetings and Twilight Meetings are those meetings designated as such by the Authority where the first race is programmed to start on or after 3.30p.m.

#### **41. General restrictions on jump racing**

41.1 No horse may run in

41.1.1 a hurdle race until May 1st of the year in which it is three years old,

41.1.2 a steeple chase until July 1st of the year in which it is four years old, or

41.1.3 a Hunters' Steeple Chase until January 1st of the year in which it is five years old.

41.2 No horse may carry less than 10st in a hurdle race, steeple chase or National Hunt Flat Race unless

41.2.1 a rider's allowance is claimed as provided in Rule 141 or 142, or

41.2.2 if the race is confined to Conditional Jockeys, as provided in the conditions of the race.

41.3 No horse may run in a National Hunt Flat Race

41.3.1 unless the horse is trained by a Person who is authorised (whether by licence, permit or otherwise) to train for steeple chases, hurdle races and National Hunt Flat Races,

41.3.2 if it has previously run in a total of four races, each of which was a National Hunt Flat Race run under these Rules, an Irish National Hunt Flat Race or a French AQPS Race, except that a horse may run in a fifth and in a sixth National Hunt Flat Race if both of such races are Pattern Races.

41.4 No steeple chase or hurdle race may be run over a distance of less than two miles.

**41.5. Once it has run in a Hunters' Steeple Chase, a horse under the care of a Licensed trainer may not run in any steeple chase other than a Hunters' Steeple Chase, the Grand Military Gold Cup and the Royal Artillery Gold Cup, during that same Hunters' Steeple Chase Season.**

41.6 With regard to Hunters' Steeple Chases

41.6.1 no race may be run before January 1st of any season,

41.6.2 the qualification in any race is limited to the particular period specified in the Hunters' Certificate, and

41.6.3 no horse may be entered for or start in a race if

**41.6.3.1 within 15 months prior to the start of the Hunters' Steeple Chase Season** it has won a Class 1 or Class 2 steeple chase in Great Britain which was not confined to Amateur Riders, or any other steeple chase run outside Great Britain which was not confined to Amateur Riders and which in the opinion of the Authority is the equivalent of a Class 1 or Class 2 steeple chase, or

**41.6.3.2 within 15 months prior to the start of the Hunters' Steeple Chase Season** it has been placed first, second or third in a Grade 1 or Grade 2 steeple chase in Great Britain or Ireland or in any other steeple chase run outside Great Britain or Ireland which in the opinion of the Authority is the equivalent of a Grade 1 or Grade 2 steeple chase.

41.7 Subject to Rule 41.8, no horse may carry more than 13st in a steeple chase, hurdle race or National Hunt Flat Race.

41.8 No account will be taken of

41.8.1 a Rider's allowance claimed in accordance with Rule 141 or 142, or 41.8.2 a weight allowance claimed in accordance with the conditions of the race.

#### **42. Jump handicap or classified races: previous experience**

42.1 This Rule applies to any of the following races

42.1.1 a Handicap Steeple Chase,

42.1.2 a Handicap Hurdle Race,

42.1.3 a classified Steeple Chase, or

42.1.4 a classified Hurdle Race.

42.2 The conditions specified in this Rule must be met up to and including

42.2.1 if the race closes more than six days before running, the Saturday immediately before the publication of the weights in The Racing Calendar, and

42.2.2 otherwise, the Saturday immediately before closing.

42.3 Subject to Paragraph 42.5, a horse may run in the race if

42.3.1 it has run at least three times in a steeple chase or hurdle race in any of Great Britain, Ireland and/or France, or

42.3.2 it has run at least twice in a steeple chase and/or hurdle race in any of those countries and, on each occasion, has been placed in the first four, or

42.3.3 it has run fewer than three times in a steeple chase and/or hurdle race in any of those countries but, having won such a race, is not a Novice or Juvenile in the type of race entered.

42.4 Subject to Paragraph 42.5, a horse may also run in a race classified in accordance with Schedule 2 as Class 1, 2 or 3 if

42.4.1 the horse has run at least three times in a steeple chase and/or hurdle race run under the rules of any one or more Recognised Racing Authorities,

42.4.2 it is not a Novice or Juvenile in the type of race entered, and

42.4.3 a notification in respect of the horse has been sent to The Racing Calendar Office in accordance with Rule 79.

42.5 A Novice or Juvenile may run

42.5.1 in a Class 1 or 2 Handicap steeple chase only if

42.5.1.1 it has run at least three times in a steeple chase in any of Great Britain, Ireland and/or France, or

42.5.1.2 in the case of a Class 2 Handicap steeple chase, it has run in at least two steeple chases in any of those countries and, on each occasion, has been placed in the first four;

42.5.2 in a Class 3, 4 or 5 Handicap steeple chase not restricted to Novices only if

42.5.2.1 it has run in at least one steeple chase in Great Britain, Ireland or France, or

42.5.2.2 it has run in at least one Novices' Handicap steeple chase in Great Britain, Ireland or France

in addition to meeting the requirements in Paragraph 42.3

42.5.3 in a Class 1 or 2 Handicap hurdle race only if it has run at least three times in a hurdle race in any of Great Britain, Ireland and/or France.

42.6 In determining whether a horse has run in the number of races required by this Rule, no account is to be taken of

42.6.1 any Match,

42.6.2 any walk-over,

42.6.3 any National Hunt Flat Race, or

42.6.4 subject to Paragraph 42.8, any race in respect of which

42.6.4.1 Disciplinary Action was taken against the Rider in Case 1 set out in Rule (B)59.2 (intentional failure to ensure horse is run on its merits), or

42.6.4.2 the Handicapper makes a determination under Paragraph 42.7.

42.7 The Handicapper may decide that no account is to be taken of any race where Disciplinary Action was taken against the Rider

42.7.1 in Case 2 set out in Rule (B)58.3 (failure to obtain its best possible placing but no intentional disregard of requirement to run horse on its merits), or

42.7.2 in Case 3 set out in Rule (B)58.4 (failure to ensure horse is run on its merits in circumstances not covered by Case 1 or Case 2).

42.8 Where any appeal under Part (A)7 (appeals) against Disciplinary Action is successful, the run of the horse in respect of which such action was taken may once again be taken into account for the purposes of this Rule, but only with effect from the date of the appeal decision.

42.9 The Handicapper may in any case decline to allot a Handicap Rating if, in his opinion, he does not have sufficient information upon which to allot one.

### **43. Jump handicap races: top and bottom weights**

43.1 The top weight in a Handicap Steeple Chase or Hurdle Race shall not be less than 11st 12lb or such other top weight as is specified in the conditions of the race.

43.2 The bottom weight in a Handicap Steeple Chase or Hurdle Race shall not be less than

43.2.1 the bottom weight specified in the conditions of the race, or

43.2.2 if no such weight is specified, 10st.

43.3 In any Handicap Steeple Chase or Hurdle Race, the original weights may go down to weights below the permitted bottom weight.

### **44. Jump handicap races: weight adjustments at scratching deadline or at confirmation**

44.1 This Rule applies where

44.1.1 a Handicap Steeple Chase or Hurdle Race is advertised for a meeting, and

44.1.2 at the relevant time, the highest original weight that remains engaged is less than the race maximum determined in accordance with Rule 43,

and, for these purposes, the relevant time is the time determined in accordance with Part 6 for any Scratching Deadline or for making confirmations of entries.

44.2 Subject to Rule 46, the highest original weight remaining engaged at the relevant time shall be raised to the race maximum, and all other entries equally.

### **45. Jump handicap races: weight adjustments at declaration to run**

45.1 With regard to any Handicap Steeple Chase or Hurdle Race, an assessment shall be made in accordance with this Rule and Rule 46, at the time determined in accordance with Part 6 for making declarations to run, in order to determine the weight adjustments required by this Rule.

45.2 Subject to Rule 46

45.2.1 in respect of a race that closes more than six days before running, if the highest weight that remains declared to run, whether it is an original weight or a weight adjusted under Rule 44 (but ignoring penalties), is less than the race maximum determined in accordance with Rule 43; or

45.2.2 in respect of a race that does not close more than six days before running, if the highest weight that remains declared to run is less than the race maximum determined in accordance with Rule 43,

the highest weight shall be raised to the race maximum, and all other declared runners equally.

45.3 Any penalty incurred since the date stated in the conditions of the race shall then be added

45.3.1 to the final weights, as increased under Rule 44 and Paragraph 45.2, or  
45.3.2 if no such increase was made, to the original weights,

but no penalty may increase a horse's weight above 12st 7lb in any race and no penalty may be added where the original or final weight is equal to or above that weight.

45.4 If the weight of a horse (including any penalties) is still below the lowest permitted weight after any increase required by Paragraphs 45.2 and 45.3, its weight shall be raised to the lowest weight permitted in accordance with Rule 43.

45.5 Where a penalty is incurred after the time for making declarations to run, it must be calculated on the original weight

45.5.1 including any increase under Rule 44 and Paragraphs 45.2 and 45.6, but  
45.5.2 excluding any increase under Paragraph 45.4.

45.6 Where the raising of weights is necessary, horses rated 1lb or 2lb above the upper rating limit of the race should initially be disregarded for the purposes of **initial** raising of the weights. Once the weights have been raised, based upon the horses rated within the rating range of the race, the weights of these additional horses shall also be raised accordingly. **However if the top weight (excluding penalties) remaining engaged in the race is therefore raised above 12st 7lb, the top weight will be lowered to a maximum of 12st 7lb and all other weights lowered accordingly.**

#### **46. Rules 44 and 45: supplementary**

46.1 In determining, for the purposes of Rules 44 and 45, the highest weight remaining declared to run, the following horses shall be disregarded

46.1.1 any horse declared to run under Part 6 in respect of which the Trainer has advised The Racing Calendar Office that the engagement is at a non-preferred meeting as provided for in Rule 98, or  
46.1.2 in respect of a race that is a Class 1 Handicap Race, any horse which at the time determined under Part 6 for making declarations to run

46.1.2.1 has run in a race within the immediately preceding 24 hours, or  
46.1.2.2 is already declared to run in another race which has not been abandoned.

46.1.3 any horse declared to run under Part 6 which has also been declared as a reserve as provided in Rule 99A

46.2 But the weight of any horse disregarded by virtue of Paragraph 46.1 shall be increased by adding to its weight the amount by which the weights of the race are raised in accordance with Rule 44 or 45, without limit by the conditions of the race or otherwise.

#### **24A. Race Programme policy**

All race programmes must comply with any additional race programme policy issued by the Authority from time to time.

### **PART 4 - SELLING RACES AND CLAIMING RACES**

#### **CHAPTER 1 - SELLING THE WINNER IN A SELLING RACE**

#### **47. Application of Chapter 1**

47.1 This Chapter applies to any Selling Race.

47.2 The provisions in this Chapter are subject to Chapter 3.

#### **48. The sale process**

48.1 The winner of a Selling Race must be offered for sale by auction immediately after the race.

48.2 No horse which has run in a Selling Race, apart from the winner, may be offered for sale until authorised by the Clerk of the Scales.

48.3 In the case of a dead-heat, each of the dividing horses is to be regarded as a winner for the purposes of this Chapter and both shall be put up to auction.

48.4 If a horse walks over (or there is no second horse placed), the winner is still liable to be sold.

48.5 From the moment the winner has weighed in until the conclusion of the sale, the auctioneer may give such instructions relating to the control of and showing of the horse being auctioned as he considers appropriate, including an order to remove bandages.

48.6 No Person may

48.6.1 prevent or seek to prevent any other Person from bidding for the winner, whether by offering any consideration or guarantee or by means of a threat or otherwise, or

48.6.2 accept or offer to accept any consideration or guarantee or other inducement to refrain from bidding.

48.7 Contravention of Paragraph 48.6 by any Person shall result in that Person being reported to the Authority.

#### **49. The sale price**

49.1 Where the Total Prize Fund is £6,000 or less, the selling price must not be less than £3,000.

49.2 Where the Total Prize Fund is more than £6,000, the selling price must not be less than £4,000.

49.3 The division of any surplus over the selling price must be stated in the conditions of the race.

49.4 The selling price is subject to VAT, where applicable.

#### **50. The sale transaction**

50.1 A sale by auction of the winner of a Selling Race is made subject to the following terms

50.1.1 in the event of a cheque or other negotiable instrument tendered in payment being dishonoured on presentation, the Authority may declare the sale null and void,

50.1.2 the effect of such a declaration is to rescind the sale with immediate effect (without prejudice to any claim or rights in law any Person may have against the auctioneer or bidder), and

50.1.3 until the payment is honoured, the Authority may, under Part 5, refuse to accept entries for the horse or refuse to allow the horse to run in any race.

50.2 A horse which is sold or bought in must not leave the place of sale without

50.2.1 permission of the auctioneer, and

50.2.2 a written order given for his delivery to the actual bidder.

50.3 Where a horse is sold or bought in, the Person who issues the delivery order for the horse is responsible for the money and must pay it over to the Stakeholder for payment in accordance with Rule 129 to be made to the Person or Persons entitled.

50.4 Unless the horse is paid for, or the price is secured to the satisfaction of the auctioneer, within thirty minutes of the sale

50.4.1 the auctioneer must put the horse up for sale a second time, and

50.4.2 the purchaser at the first sale is responsible for any deficiency arising from the second sale and is treated as a defaulter until it is paid.

## **CHAPTER 2 - CLAIMING HORSES IN A CLAIMING RACE OR SELLING RACE**

### **51. Application of Chapter 2**

51.1 This Chapter applies to any claim made in a Selling Race or a Claiming Race in respect of any horse in the race which has come under Starter's orders

51.1.1 including a horse that has walked over in a Claiming Race, but

51.1.2 excluding the winner of a Selling Race.

51.2 The provisions in this Chapter are subject to Chapter 3.

51.3 The Authority may publish a Protocol for Claimants.

51.4 The Protocol for Claimants for the time being in force is set out in Schedule 4.

51.5 Failure to observe a provision of the Protocol for Claimants does not itself amount to a contravention of a requirement imposed by or under these Rules but

51.5.1 such failure may be relevant in determining whether or not a Person has complied with a requirement imposed by or under these Rules, and

51.5.2 accordingly, may result in Disciplinary Action being taken against him.

51.6 Any failure to comply with the requirements of this Chapter or to observe a provision of the Protocol for Claimants shall result in a Person being reported to the Authority.

51.7 Where a person contravenes a requirement imposed on him by this Chapter, the Authority may

51.7.1 withdraw a security code allotted to him for the purposes of Rule 55,

51.7.2 instruct The Racing Calendar Office to refuse to accept any claim from him, and

51.7.3 take such other Disciplinary Action as the Authority considers appropriate.

### **52. The Advertised Claiming Price**

52.1 The Advertised Claiming Price, in relation to a Claiming Race or Selling Race, is the claiming price at which a horse may be claimed in accordance with the conditions of the race and which in respect of each entry, is advertised in the racecard and on the Racing Administration Internet Site.

52.2 With regard to a Claiming Race

52.2.1 the maximum Advertised Claiming Price must not be less than the advertised Prize Money, and

52.2.2 the minimum Advertised Claiming Price must not be less than £2,000.

52.3 With regard to a Selling Race run at a meeting, the Advertised Claiming Price must not be less than the advertised selling price of the winner.

52.4 A weight allowance in accordance with the conditions of the race shall be included when the Owner is prepared to accept an Advertised Claiming Price below the maximum permissible Advertised Claiming Price laid down in the conditions of the race.

52.5 The Advertised Claiming Price is subject to VAT, where applicable.

52.6 Any premium (plus VAT) levied on the Advertised Claiming Price must be stated in the conditions of the race.

52.7 Where the only claim for a horse is a claim made in the name of the Owner no premium shall be levied on the Advertised Claiming Price.

### **53 . The claiming process**

53.1 A horse which is liable to be claimed in a Claiming or Selling Race

53.1.1 must not leave Racecourse Property for at least 60 minutes after the 'Weighed In' announcement has been authorised under Part (B)6 (after the race), and

53.1.2 may be claimed at the Advertised Claiming Price (together with any additional amount referred to in Rules 52.5 and 52.6).

53.2 Any claim must be made to the Racing Calendar Office in accordance with Rule 55,

53.3 The Authority may instruct The Racing Calendar Office to refuse a claim at any time.

53.4 The horse shall go to the Person submitting a successful claim but the Owner in whose name a horse ran remains entitled to any Prize Money that is due under the conditions of the race.

53.5 If there are two or more claims for the same horse, the successful claim shall be determined by ballot at The Racing Calendar Office.

53.6 Each claimant must provide a contact telephone number.

53.7 Unless the successful claimant is available after the ballot for the purpose of making arrangements for payment in accordance with Rule 57, he forfeits his right to the horse and the ballot shall be re-conducted until a successful claimant is contacted by The Racing Calendar Office.

53.8 In the event of any dispute, the decision of the Stakeholder on any matter falling within Paragraphs 53.4 to 53.7 is final.

53.9 No Person may

53.9.1 prevent, or seek to prevent, any other Person from claiming a horse liable to be claimed, whether by offering any consideration or guarantee or by means of a threat or otherwise, or

53.9.2 accept or offer to accept any consideration or guarantee or other inducement to refrain from submitting a claim.

53.10 Contravention of Paragraph 53.9 by any Person shall result in that Person being reported to the Authority.

### **54. Deleted**

### **55. Making a claim to The Racing Calendar Office**

55.1 A claim made at The Racing Calendar Office must be made by telephone.

55.2 The claim must be made by one of the following

55.2.1 an Owner who is registered under these Rules on the register of Owners,

55.2.2 a Person who, in accordance with the requirements of Rule (E)90 (authorised agents of an owner), is authorised by the Owner to make a claim on the Owner's behalf,

55.2.3 a Trainer,

55.2.4 an employee of a Trainer authorised to act on the Trainer's behalf,

55.2.5 where the claimant is a Recognised Company, a Registered Agent, or

55.2.6 where the claim is made on behalf of a multiple-ownership (other than a Recognised Company), a Person who



55.2.6.1 is an Owner or a Trainer, and  
55.2.6.2 is nominated to make the claim on behalf of the multiple-ownership.

55.3 No claim shall be accepted unless

55.3.1 the Person making the claim has a security code which has been allotted to him by the Authority, and  
55.3.2 sufficient details are given at the time the claim is made so as to identify

55.3.2.1 the Person making the claim,  
55.3.2.2 the type of claim, and  
55.3.2.3 the horse which is the subject of the claim.

55.4 Only one claim per horse in the name of the Owner shall be accepted.

55.5 A claim made to The Racing Calendar Office shall not be accepted unless it is made on the day of the race but no later than 15 minutes after the start of the race.

55.6 In the event of any dispute, the decision of the Stakeholder on any matter falling within this Rule is final.

## **56. Restrictions as to the making and withdrawal of claims**

56.1 No Person may

56.1.1 submit or be a party to more than one claim per horse,  
56.1.2 submit or be involved in the submission of a claim for a horse if a claim has already been submitted by another Person with whom he is involved in a horse through any ownership category registered under Part (E)3, or  
56.1.3 submit a frivolous or deliberately misleading claim.

56.2 A Person who makes a claim or who procures another Person to make a claim must not procure any other claim to be submitted for that horse.

56.3 No Person may withdraw a claim once it is made except in circumstances falling within Paragraphs 56.4 and 56.5.

56.4 No Disciplinary Action shall result from any claim made in contravention of Paragraph 56.1.1 if

56.4.1 the party or parties to the claim determine between them which claim for the horse is to remain valid, and  
56.4.2 all other claims are withdrawn.

56.5 For the purposes of Paragraph 56.4.2, a claimant may (but cannot be required to) withdraw a non-offending claim with a view to avoiding Disciplinary Action against a Person who put in a subsequent claim.

56.6 The Authority may decide not to take Disciplinary Action for failure to comply with Paragraph 56.1.2 if the Person or Persons who put in the subsequent claim satisfy the Authority that they were not aware, and could not reasonably have been aware, that they were involved in the ownership of the horse with the Person who submitted the earlier claim.

## **57. The claim transaction**

57.1 Where a horse has been claimed, the price determined in accordance with Rule 52 must be paid to the Stakeholder, or secured to his satisfaction, as set out in Schedule 4.

57.2 Any payment must be made using a method determined by the Authority.

57.3 The successful claimant must honour payment of the Advertised Claiming Price within 12 days of the date of the meeting when the horse was claimed.

57.4 In the event that Paragraph 57.1 or 57.2 are not complied with or that a cheque or other negotiable instrument tendered in payment is dishonoured on presentation

57.4.1 the Authority may declare the claim null and void,  
57.4.2 the effect of such a declaration is to rescind the sale with immediate effect (without prejudice to any claim or rights in law any Person may have against the claimant), and  
57.4.3 until the payment is honoured the Authority may, under Part 5, refuse to accept entries for the horse or refuse to allow the horse to run in any race.

57.5 A Person shall be taken to have contravened a requirement imposed on him by this Rule if, after the Authority takes such action as is described in Paragraph 57.4.3

57.5.1 the Person takes any step which results in a horse being entered for or run in a race, or  
57.5.2 he causes such a step to be taken.

57.6 In any case where

57.6.1 a claimant forfeits his right to the horse, by virtue of Paragraph 57.4, and  
57.6.2 the only other claim made for the horse in question has been made in the name of the Owner,

the claiming procedure shall be regarded as rescinded and the horse shall remain the property of the Owner (without prejudice to any claim or rights in law any Person may have).

## **58. Powers of the Authority to intervene in cases of non-payment**

58.1 This Rule applies where any payment due from the claimant or purchaser of a claimed or sold horse is not made in accordance with the requirements of this Chapter.

58.2 The Authority shall be regarded as having the authority of the claimant or purchaser

58.2.1 to make a payment of the full claiming or purchase price on his behalf, or  
58.2.2 to cause the Stakeholder to make payment under Rule 129.

58.3 If the Authority makes such a payment, it may take possession of the horse and may sell or otherwise deal with it in all respects unrestricted as if it were the owner.

58.4 Where

58.4.1 the Authority arranges for a horse to be sold, and  
58.4.2 the net sale receipts amount to less than the price paid by the Authority,

the claimant or the purchaser on whose behalf the payment was made shall be liable to the Authority for any balance.

58.5 Any balance due under Paragraph 58.4 shall be regarded as being Arrears due under these Rules, but this is without prejudice to

58.5.1 any civil legal action that may otherwise be available to the Authority, and  
58.5.2 the Authority's general powers to take Disciplinary Action against the claimant or purchaser who has failed to make the payment.

#### 58.6 The Authority

58.6.1 may direct any Person who has possession of the horse to deliver it up free of any lien for unpaid training or other fees or any other claims of any description, and  
58.6.2 where the Authority gives such a direction, it shall be responsible for all keep fees from the time the direction is given.

58.7 A direction under Paragraph 58.6.1 may include details as to delivery of the horse or may specify that the horse is to be held to the order of the Authority.

### 59. Restrictions after sale

59.1 No claimant may sell a horse he has successfully claimed to another Person until the earlier of

59.1.1 the honouring of the payment of the Advertised Claiming Price, or  
59.1.2 the expiry of the period of 16 days starting on the date of the meeting when the horse was claimed.

59.2 For the period of 6 months starting with the day a horse is successfully claimed, the horse may not return to the care or control of the Trainer in whose name it ran except where

59.2.1 the claim is made in the name of the Owner in whose name the horse ran,  
59.2.2 only one claim was submitted for the horse, or  
59.2.3 within that period, the horse is

59.2.3.1 the subject of a successful claim in a subsequent Claiming or Selling Race,  
59.2.3.2 sold at public auction, or  
59.2.3.3 sold at an auction in a Selling Race.

**59.3 For the period of 6 months starting with the day a horse is successfully claimed, the horse may not be entered or run in a race if it is gifted, sold or leased (either entirely or in part) to the previous Owner or any of the unsuccessful claimants except where**

**59.3.1 the claim is made in the name of the Owner in whose name the horse ran, or  
59.3.2 within that period, the horse is**

**59.3.2.1 the subject of a successful claim in a subsequent Claiming or Selling Race,  
59.3.2.2 sold at public auction, or  
59.3.2.3 sold at an auction in a Selling Race.**

**59.4 Where a horse has been entered or run in a race in contravention of Paragraph 59.3,**

**59.4.1 the successful claimant and the person to whom the horse has been gifted, sold or leased shall be liable to a financial penalty by the Authority, and  
59.4.2 the horse may be suspended from running until such time as the Authority is satisfied that the ownership of the horse is no longer in breach of the Rule.**

## CHAPTER 3 - SUPPLEMENTARY PROVISIONS: SELLING RACES AND CLAIMING RACES

### 60. Application of Chapter 3

60. This Chapter applies to any Selling Race or Claiming Race.

### 61. Horse subject to a lease

61.1 No horse which is the subject of a lease may be entered for or run in a Selling or Claiming Race unless the lessee has written consent from the lessor.

61.2 In any case where the lessor's consent has not been obtained

61.2.1 the lessee must advise his Trainer in writing, and  
61.2.2 if the horse runs in the race

61.2.2.1 it shall be disqualified on an objection made to the Authority under Part (B)7 (disputes and objections),  
and  
61.2.2.2 the Authority may, by order, annul the sale of the horse which won the race or any claim made.

61.3 Before a horse runs in a Selling or Claiming Race, the lessee must

61.3.1 establish the VAT position of the lessor, and  
61.3.2 ensure that the Clerk of the Scales is informed of any discrepancies in the VAT list provided in the Weighing Room before any claiming procedure commences.

### 62. Terms of sale and liability for VAT

62.1 The contract for the sale of any horse which is claimed or auctioned following a Claiming or Selling Race under these Rules shall include the following terms

62.1.1 that the horse is deemed to be claimed or bought 'as it stands' in whatever may be its condition at the time the successful claim or bid is made, and  
62.1.2 that no Person may seek to rescind a claim or purchase or resist payment of a claim or the price or seek to recover any sum paid on the basis of any alleged weakness, injury or physical infirmity or other less than satisfactory physical or temperamental attributes of the horse.

62.2 In respect of a Selling Race

62.2.1 the Owner and Trainer of a horse must advise the auctioneer before the sale of the winner if the horse is to be sold either wholly or partially subject to VAT so that this fact can be announced from the rostrum, and  
62.2.2 if the sale is subject to VAT, the purchaser is liable to pay VAT calculated on, and in addition to, the final selling price, or, if the horse is only partly owned by a Person or company which is registered for VAT, a proportion of the selling price,

but Paragraph 62.2.2 does not apply if the horse is bought in (in which case no VAT liability occurs).

#### 62.3 Where a horse is claimed out of a Selling Race or a Claiming Race

62.3.1 the claiming price is deemed to be exclusive of VAT, and

62.3.2 the purchaser is liable to pay VAT calculated on, and in addition to, the claiming price, or, if the horse is only partly owned by a Person or company registered for VAT, a proportion of the claiming price.

#### 62.4 Where any horse sold in either a selling or Claiming Race is, at the time winning, owned wholly or partially by

62.4.1 an Owner or Trainer who is registered for VAT in the United Kingdom, or

62.4.2 an overseas owner who has appointed a United Kingdom Person which is registered for VAT to act as principal in the importation and supply of a horse,

it is the responsibility of the Owner, Trainer or other Person registered for VAT to account to H.M. Revenue and Customs for the VAT element.

#### 62.5 Each Owner and Trainer must

62.5.1 check the list provided in the Weighing Room about the VAT status of owners, and

62.5.2 before the start of the race, inform the Clerk of the Scales of any inaccuracies, for onward communication to The Racing Calendar Office.

62.6 Where a horse is sold without VAT when the Owner is VAT registered, the proceeds shall be treated as being VAT inclusive and the Owner shall be required to account to H.M. Revenue and Customs for the VAT element.

62.7 Where a horse is sold with VAT when the Owner is not VAT registered, the Owner shall be taken to have contravened a requirement imposed on him by this Rule.

### 63. Steps to be taken after sale

63.1 When a horse is bought or claimed, the Trainer who ran the horse (or his representative) must lodge its passport with an Equine Welfare and Integrity Officer at the meeting concerned as soon as the sale or claim is confirmed.

63.2 When a horse which has been bought or claimed is the subject of an examination by order of the Stewards under Part (B)1

63.2.1 the Trainer who ran the horse is responsible for the horse until the examination is completed, and

63.2.2 after completion, the Trainer (or his representative) must hand the horse to its new Owner.

#### 63.3 Subject to Rule 53.1, the successful claimant must within three hours of the last race

63.3.1 remove the claimed horse from the racecourse stables, or

63.3.2 make suitable arrangements with the Racecourse Managing Executive for the care of the claimed horse until it is collected.

### 64. Consequences of disqualification, altered placing or void race

64.1 The time for selling and claiming shall be authorised by the Stewards where

64.1.1 an objection is made to the Stewards on a ground set out in Rule (B)73 (objections dealt with by Stewards) which could result in the winner of a Selling Race being disqualified or having his placing altered, or

64.1.2 the result is delayed due to the Judge consulting the photograph.

64.2 Where a race is declared void under Rule (B)66 (void races), any claim made in the race shall be annulled by the Stewards immediately.

### 65. Consequences of the appeal process

65.1 This Rule applies in any case where the winner of a Selling Race is sold or bought in, or a horse is claimed, in a Selling Race or Claiming Race and

65.1.1 an objection which is made to the Authority under Rule (B)74 (objections made to the Authority) is upheld, or

65.1.2 an appeal made under Part (A)7 (appeals) is successful and the decision appealed against was made by the Stewards either

65.1.2.1 on a ground set out in Rule (B)73 (objections dealt with by Stewards), or

65.1.2.2 on an enquiry under Part (B)1 (Stewards).

#### 65.2 Subject to Paragraphs 65.3, 65.4 and 65.5

65.2.1 the sale of the winner of a Selling Race, the disposal of any surplus and any claim under Chapter 2 shall not be affected,

65.2.2 the horse to whom a Selling Race has been awarded instead of the original winner shall not be offered for sale, and

65.2.3 the original winner shall not be liable to be claimed.

65.3 The Authority may, by order, annul the sale, buying-in or claim of any horse where an objection that is upheld was lodged on either of the following grounds

65.3.1 fraud or substitution, or

65.3.2 the winner of a Selling Race or any horse claimed in a Selling or Claiming Race has run at any Unrecognised Meeting.

#### 65.4 The Authority may by order annul the sale, buying-in or claim of any horse where

65.4.1 the horse has been the subject of an examination by order of the Stewards under Part (B)1 (Stewards) or by an approved Person entering the Trainer's premises under Part (A)5 (enquiries and investigations), and

65.4.2 a sample taken from the horse has tested positive for a prohibited substance, within the meaning of Part (C)4 (prohibited substances).

#### 65.5 The Authority may, by order, annul the sale or claim of any horse where

65.5.1 the sex of the horse was wrongly recorded on the Racing Administration Internet site and

65.5.2 the Authority are satisfied that at the time of the transaction the new owner would not have been aware of the error.

## PART 5 - RACE ENTRIES

## **General**

### **66. Powers of the Authority**

66.1 For the purposes of this Rule

Approved Laboratory means the laboratory approved by the Authority at any time for the testing of Samples.

66.2 The Authority may, if it considers it appropriate to do so

66.2.1 accept, or refuse to accept, any entry for a race in such circumstances as the Authority may determine, and

66.2.2 when accepting an entry, impose such restrictions or conditions as it may determine.

66.2.3 request other Recognised Racing Authorities to take samples from horses trained in their country which are entered to run in races in Great Britain to be analysed by the Approved Laboratory.

66.3 The following provisions of this Part are subject to Paragraph 66.2 and, in particular, where such provisions specify a deadline for taking a particular step, the Authority may specify such other deadline as it considers appropriate in relation to a specified race or races of a specified description.

66.4 No entry shall be accepted where the Nominator or the Owner of the horse has failed to comply with the requirements of Rule 112 (power of the Authority to require earlier payment).

66.5 Nothing in this Part restricts the Authority's general powers under Part (A)2 (general functions of the Authority) and, in particular, its power under Rule (A)12 (supplementary powers) to waive the application of any Rule in such circumstances as it may consider appropriate.

### **67. Security codes for making entries**

67.1 The Authority may allot a security code to any Person it considers to be qualified to make entries for races.

67.2 A fee in accordance with Schedule (A)1 (fees) is payable for the replacement of a lost security code.

### **68. Prohibition on racecourse managing executives charging for entries**

68. No Racecourse Managing Executive may

68.1 require any form of payment to be made to it, or on its behalf, for the purpose of allowing or enabling any horse to participate in a race run under these Rules, or

68.2 receive any such payment.

## **Entries**

### **69. Requirements as to horse being entered**

69.1 A horse may not be entered for a race unless it meets the requirements specified in Schedule (B)2 (requirements for horse to enter race).

Those requirements are also set out in Schedule 5.

69.2 Notwithstanding that the requirements of Paragraph 2.1 of Schedule 5 are met in respect of an entry for a horse foaled in Great Britain, Ireland or the Channel Islands, the entry shall be void where it appears to the Authority that

69.2.1 the requirements as to the horse's name which are set out in Schedule (E)1 were not satisfied at the time of registration, or

69.2.2 the registration is void under Rule (E)9.5 (registering the name).

### **70. Making the entry: horse trained in Great Britain**

70.1 This Rule applies to any horse which is trained in Great Britain.

70.2 The horse may be entered for a race only if

70.2.1 the name of the Owner is entered on the register of Owners under Part (E)3,

70.2.2 the entry is made by the Owner of the horse or his Authorised Agent, and

70.2.3 the entry is made

70.2.3.1 in the name of one Person only, and

70.2.3.2 in accordance with the requirements as to the name to be used when running a horse which are set out in Part (E)3 (so, for example, the company name must be used by a Recognised Company, the club name must be used by a Racing Club, the Partnership name must be used by a Partnership, and so on).

70.3 No horse may be entered in the ownership or part-ownership, or in the name, of a Disqualified Person.

70.4 No horse may be entered for a race in the name of any Person as his Owner unless that Person has a beneficial interest in the horse which is at least equal to that of each other Person with a beneficial interest.

70.5 Paragraph 70.4 does not apply to any horse which

70.5.1 is in the ownership of a Recognised Stud Company,

70.5.2 is in the ownership of a Recognised Business Partnership,

70.5.3 is in the ownership of a Racing Club,

70.5.4 is subject to a registered Partnership, or

70.5.5 is in the ownership of a Syndicate.

70.6 The following information must be given at the Time of Entry

70.6.1 the security code allotted by the Authority under Rule 67;

70.6.2 the registered name of the horse;

70.6.3 the name of the Owner;

70.6.4 the name of the meeting;

70.6.5 the name of the race;

70.6.6 the date upon which the race is advertised to be run;

70.6.7 such other details as the Authority may require.

70.7 Where a horse has entered training in Great Britain after coming from abroad

70.7.1 an entry for the horse must also be accompanied by full details of any racecourse performances outside Great Britain or Ireland, but

70.7.2 as soon as the requirement in Paragraph 70.7.1 has been complied with, that requirement shall cease to apply for any subsequent races provided that the horse remains in Great Britain and Ireland during the intervening period.

(See Rule (C)18 (information about new horse arriving from outside Great Britain)).

70.8 The entry may be made only by telephone or through the Racing Administration Internet Site.

70.9 An entry made by telephone shall only be accepted from 2.30 p.m. on the day before closing.

70.10 Where an entry is made through the Racing Administration Internet Site

70.10.1 the Person who makes the entry must ensure that the transaction has been properly completed, and

70.10.2 a claim that the transaction was not correctly processed shall not be entertained without supporting evidence in the form of a printed confirmation page.

## **71. Making the entry: horse trained outside Great Britain**

71.1 This Rule applies to any horse which is trained outside Great Britain.

71.2 The horse may be entered for a race only if

71.2.1 it is registered with one of the Stud Book Authorities listed in Schedule (E)2 and its name registered by the Recognised Racing Authority in the country of foaling,

71.2.2 the Owner is duly registered in the country in which the horse is trained, and

71.2.3 the entry is made

71.2.3.1 by the Owner of the horse,

71.2.3.2 by his Authorised Agent, or

71.2.3.3 if the entry is in writing and has been signed by the Owner or his Authorised Agent, by the Trainer of the horse.

71.3 No horse may be entered in the ownership or part-ownership, or in the name, of a Disqualified Person.

71.4 The entry may be made only by telephone, through the Racing Administration Internet Site or in writing.

71.5 A written entry must be easily legible and must provide sufficient details to identify the correct race.

71.6 Any entry made to The Racing Calendar Office must be accompanied by the following information

71.6.1 the security code allotted by the Authority under Rule 67;

71.6.2 the registered name for the horse;

71.6.3 if the horse was foaled outside Great Britain, Ireland or the Channel Islands

71.6.3.1 the country of foaling, and

71.6.3.2 such pedigree or description as will identify it;

71.6.4 the name of the Owner;

71.6.5 contact details for the purposes of any communications relating to the entry;

71.6.6 the name of the meeting;

71.6.7 the name of the race;

71.6.8 the date upon which the race is advertised to be run;

71.6.9 the sex of the horse;

71.6.10 if the horse is pregnant, the date of the last covering;

71.6.11 such other details as the Authority may require.

71.7 Any changes to the above details must be notified to the Racing Calendar Office before the next Scratching Deadline or confirmation of entry.

71.8 An entry made by telephone shall only be accepted from 2.30 p.m. on the day before closing.

71.9 Where an entry is made through the Racing Administration Internet Site, no claim that the entry was not correctly processed shall be entertained without supporting evidence in the form of a printed confirmation page.

## **72. Alteration and withdrawal of entry before closing**

72.1 Where an entry has been made in respect of a horse, the Owner or his Authorised Agent may alter or withdraw the entry at any time before closing.

72.2 The Person altering or withdrawing an entry must

72.2.1 communicate his intention to do so either by telephone or through the Racing Administration Internet Site, and

72.2.2 provide the security code allotted by the Authority under Rule 67.

## **73. Entries for races in Great Britain which close to other Recognised Racing Authorities**

73.1 The following provisions of this Rule apply where a Recognised Racing Authority outside Great Britain or the Channel Islands advertises that it is prepared to accept entries for a race in Great Britain for onward transmission to The Racing Calendar Office.

73.2 An entry may close to the Recognised Racing Authority if it is made in writing and signed by the Owner of the horse or his Authorised Agent and Rules 69 and 71 shall apply to the entry as those Rules apply to any other entry which is made in writing.

73.3 An entry for a race in Great Britain which closes to Horse Racing Ireland may also be made to The Racing Calendar Office but only if

73.3.1 the entry is made by the deadline determined in accordance with Rules 74, 75 and 76, and

73.3.2 the horse is in the care of and trained by a licensed, permitted or duly qualified trainer in Ireland at the Time of Entry.

An entry under this Paragraph shall be subject to a surcharge to the Owner of the horse as specified in Schedule (A)1.

73.4 Nothing in this Rule shall prevent a Recognised Racing Authority which considers it appropriate to do so, from applying an earlier deadline from that determined in accordance with Rules 75 and 76 for the closing of entries

## **74. Setting the date for closing**

74.1 No race shall close more than 6 days before the day on which it is to be run unless it is a race with a Total Prize Fund of £50,000 or more.

74.2 No race to be run on turf shall close earlier than the January in the year in which the horses in the race are two years old.

74.3 No flat race to be run on turf shall close after the last Wednesday in November in any year.

## **75. Closing time for races closing more than 6 days before running**

75.1 In respect of a race which closes more than 6 days before running

75.1.1 the time for closing entries and acceptances will be fixed to close at 12 noon on Tuesdays only, but

75.1.2 supplementary entries may close at 12 noon on the day specified in the conditions of the race for entries to be confirmed.

75.2 Subject to Rule 73, each entry and each acceptance must be made to The Racing Calendar Office.

75.3 The list of entries and supplementary entries will close at the advertised time and no entry may be admitted on any ground after such time.

75.4 But, if the Authority considers it appropriate to do so, it may permit a late entry in exceptional circumstances.

## **76. Closing time for other races**

76.1 This Rule applies to any race other than one to which Rule 75 applies.  
76.2 Subject to Rule 73, each entry and each acceptance must be made to The Racing Calendar Office.  
76.3 Subject to Rule 77

76.3.1 the time for closing entries will be fixed to close at 12 noon either six days or five days before the race is run, but  
76.3.2 supplementary entries may close at 12 noon on the day specified in the conditions of the race.

76.4 the list of entries and supplementary entries will close at the advertised time and no entry may be admitted on any ground after such time.

76.5 But, if the Authority considers it appropriate to do so, it may permit a late entry in exceptional circumstances.

### **77. Re-opening of entry procedure**

77.1 Where nine or fewer entries for a race have been received at The Racing Calendar Office by the time of closing, the race will be subject to a re-opening of the entry procedure.

77.2 For the purposes of Paragraph 77.1

77.2.1 an entry will not count if between the Time of Entry and 1p.m. on the day of closing, the entry is found to be not qualified for the race, or

77.2.2 if two or more entries for horses in the care of the same Trainer have been received by the time of closing they will be treated as if a maximum of two entries have been made.

77.3 The fact of the re-opening of the entry procedure will be displayed promptly on the Racing Administration Internet Site and relayed to the media as soon as possible.

77.4 Further entries may be made for the race

77.4.1 up to 11.00 a.m. on the day following closing, or

77.4.2 up to such other time as the Authority may specify.

77.5 At the end of the re-opening period, The Racing Calendar Office will add to the race any further entries that have been made and the final list of entries will be displayed on the Racing Administration Internet Site.

77.6 No entry which is made as a result of the re-opening procedure may be withdrawn.

### **78. Steps for correcting certain errors**

78.1 Where a horse is accidentally entered for a race for which it is not qualified, the entry may be deleted on payment to the Authority of £90 at any time up to

78.1.1 in relation to any race which closes 6 days or less before running, 11 a.m. on the day following that on which entries closed, and

78.1.2 in relation to any other race, the time determined in accordance with Part 6 for confirming entries.

78.2 Where any information that was given as to the Owner of the horse is incorrect or is not otherwise in accordance with the requirements of this Part, the entry may be corrected if

78.2.1 the error was accidental and the Authority has no reason to believe that there has been any fraud,

78.2.2 the correction is made to The Racing Calendar Office by the time determined in accordance with Part 6 for making declarations to run,

78.2.3 the Clerk of the Scales is notified of the correction before the Rider weighs out for the race, and

78.2.4 a payment is made to the Authority of not less than £90.

For the purposes of Paragraph 78.2.2, a correction is regarded as having been made where the declaration to run under Part 6 is made by the Owner of the horse or his Authorised Agent.

78.3 A failure to comply with any provision of these Rules which relates to the making of entries may be corrected if

78.3.1 the failure occurs in the circumstances described in Paragraph 78.4.1 and the condition specified in Paragraph 78.4.2 of that Paragraph is met, or

78.3.2 the failure occurs in the circumstances described in Paragraph 78.5.1 and the condition specified in Paragraph 78.5.2 of that Paragraph is met,

and the Authority has no reason to believe that there has been any fraud and a payment is made to the Authority of not less than £90.

78.4 For the purposes of Paragraph 78.3.1

78.4.1 the relevant circumstances are that, contrary to Rule (E)68 (conditions for initial registration of Partnership), the documents required for the registration of a Partnership have not been received at The Racing Calendar Office before the entry is made, and

78.4.2 the condition to be satisfied in order to correct the failure is that, before the Rider weighs out for the race, those documents are received at The Racing Calendar Office.

78.5 For the purposes of Paragraph 78.3.2

78.5.1 the relevant circumstances are that, contrary to Rule 70.7, the details as to the performances of a horse have not been provided in respect of a horse which has entered training in Great Britain after coming from abroad, and

78.5.2 the condition to be satisfied in order to correct the failure is that, by the time determined in accordance with Part 6 for making declarations to run, the correction is made to The Racing Calendar Office and the details provided.

78.6 Where a horse runs in the circumstances specified in this Rule without an appropriate correction having been made, the Authority may take Disciplinary Action against any Person who is responsible for having run the horse.

### **79. Pre-notification of certain entries**

79.1 In each of the cases specified in this Rule, a Trainer must notify The Racing Calendar Office in writing at least 10 days before an entry is made for a race.

79.2 The first case is where the entry is for a flat race Handicap or a Rating Related Flat Race and

79.2.1 the Trainer considers that the horse is qualified to run in the race in accordance with the requirements of Rules 30 to 32, but

79.2.2 it is the first entry to be made in respect of the horse since it entered training in Great Britain.

79.3 The second case is where the entry is for a flat race Handicap or a Rating Related Flat Race and

79.3.1 the Trainer considers that the horse is qualified to run in the race in accordance with the requirements of Rules 30 to 32, but  
79.3.2 since becoming so qualified, the horse has been in training outside Great Britain or Ireland.

79.4 The third case is where

79.4.1 the entry is for a Handicap steeple chase, a Handicap hurdle race, a Classified Steeple Chase or a Classified Hurdle Race, and  
79.4.2 the Trainer considers that the horse is qualified to run in the race in accordance with the requirements of Rule 42.4 or 42.5.1.1 or 42.5.1.2.

79.5 An entry made without the pre-notification required by this Rule shall be void.

79.6 This Rule does not apply to any race which closes more than 6 days before running or in any case where the Authority directs that it should not apply.

## **80. Void entries**

80.1 An entry shall not become void on the death of the Person in whose name it is made or taken, and all rights, privileges, and liabilities that could have attached to the deceased Person if he or she had been alive shall attach to his or her personal representative.

80.2 In any of the following provisions of this Rule or in any other Rule in this Part, any reference to an entry for a race being void in respect of a horse means that the horse shall not be qualified to be entered for or start in the race.

80.3 If the Owner of a horse becomes a Disqualified Person after an entry has been made for a horse, the entry shall be void.

80.4 In respect of any Handicap or other rating related race where Handicap Ratings are relevant to qualification, an entry made for a horse shall be void if

80.4.1 the horse does not have a relevant current qualifying Handicap Rating published in the latest ratings lists on the Racing Administration Internet Site before the closing deadline for the race, and  
80.4.2 either

80.4.2.1 the Handicap Rating subsequently awarded by the Handicapper is outside any qualifying bands specified in the published race conditions, or  
80.4.2.2 the Handicapper declines to allocate a Handicap Rating to the horse.

80.5 Where an entry is made for a horse as a result of the publication of an incorrect Handicap Rating and the subsequent correction renders the horse ineligible for the race, the entry shall be void and any payment made before the race shall be returned.

80.6 An acceptance for a Free Handicap shall be regarded as equivalent to an entry, but if the horse is wrongly described the acceptance shall be void.

## **Transfers of engagements**

### **81. Racing Calendar Office to be notified of transfer of engagements**

81.1 Where a horse changes ownership, its engagements may be transferred to the new Owner but only if the following conditions are met

81.1.1 the name of the transferee is entered on the register of Owners under Part (E)3 or, if the horse is to be trained in another country, the transferee is duly registered in that country, and

81.1.2 before the horse starts for a transferred engagement, there is sent to The Racing Calendar Office

81.1.2.1 written acknowledgement from both parties or their Authorised Agents that the horse was transferred with engagements,  
81.1.2.2 the details of the engagements to be transferred, and  
81.1.2.3 the appropriate fee specified in Schedule (A)1 from the transferee.

81.2 But no transfer of engagements is required if the Nominator does not change.

81.3 Only such engagements as are notified under Paragraph 81.1 shall be regarded as having been transferred.

81.4 The information required by Paragraph 81.1.2 may be sent to The Racing Calendar Office or given to the Clerk of the Scales for transmission to that Office.

81.5 If the horse runs in a race before the information required by Paragraph 81.1.2 is provided, the horse is liable to disqualification under Part (A)6 (which contains provision for disqualification and suspension of horses).

81.6 For the purposes of this Rule, information which is sent by facsimile message shall be regarded as being in writing.

## **82. Effect of a scratching deadline**

82. When any engagement is transferred in a race in which there is a Scratching Deadline, the transferor may not strike the horse out of the engagement and the horse may appear in the final programme in the name of its Owner instead of the Nominator.

## **PART 6 - PROCESSING AFTER ENTRY**

### **CHAPTER 1 - GENERAL**

### **83. Powers of the Authority**

83.1 The Authority may, if it considers it appropriate to do so

83.1.1 accept or refuse to accept any of the following in such circumstances as it may determine

83.1.1.1 any Scratching of a horse from a race,  
83.1.1.2 any confirmation of entry in a race,  
83.1.1.3 any declaration to run,  
83.1.1.4 any declaration of Rider for a horse,  
83.1.1.5 any alteration of any such Scratching, confirmation or declaration, or  
83.1.1.6 any withdrawal of any such confirmation or declaration;

83.1.2 refuse to allow a horse duly entered to run in any race in such circumstances as the Authority may determine;

83.1.3 when accepting any such Scratching, declaration or confirmation, impose such restrictions or conditions as the Authority may determine.

83.2 The following provisions of this Part are subject to Paragraph 83.1 and, in particular, where such provisions specify a deadline for taking a particular step, the Authority may specify such other deadline as it considers appropriate in relation to a specified race or races of a specified type.

83.3 In the case of any refusal made by the Authority under Paragraph 83.1, the Authority may direct that any stake be remitted to the Owner.

83.4 The Authority may determine the policy in respect of the division of races or the elimination of entries.

83.5 Nothing in this Part restricts

83.5.1 the Authority's general powers under Part (A)2 (general functions of the Authority), and

83.5.2 in particular, its power under Rule (A)12 (supplementary powers) to waive the application of any Rule in such

circumstances as it may consider appropriate.

## **CHAPTER 2 - SCRATCHING DEADLINES AND STAGES FOR DECLARATIONS AND CONFIRMATION**

### **84. Overview of scratching deadlines and the stages for making declarations and confirmations**

84.1 In respect of each race which closes more than six days before running

- 84.1.1 one or more dates may be determined in accordance with Rules 85 and 86 as a Scratching Deadline,
- 84.1.2 there shall be a confirmation of entry in accordance with Rules 87 and 88, and
- 84.1.3 there shall be a declaration of runners in accordance with Rules 89 to 91,

and Scratchings under Rule 95 may be made at any time before the time for making declarations of runner.

84.2 In respect of each race which closes six or fewer days before running

- 84.2.1 there shall be a declaration of runners in accordance with Rules 89 to 91, but
- 84.2.2 there shall be no Scratching Deadline and no confirmation of entries.

84.3 Schedule 6 contains an illustration of the timetable for the different stages for an entry, but this is subject to

- 84.3.1 any changes that may be made in the race conditions, or
- 84.3.2 any directions given by the Authority.

#### ***Scratching deadlines***

### **85. Scratching deadline**

85.1 This Rule applies in relation to any race which closes more than 6 days before running.

85.2 A Scratching Deadline may be fixed for the Tuesday not less than 18 nor more than 24 days before running, or as otherwise decided by the Authority.

85.3 An additional Scratching Deadline may be fixed before any deadline under Paragraph 85.2

- 85.3.1 in respect of a Handicap, on any Tuesday after the publication of the weights, and
- 85.3.2 in respect of a race other than a Handicap, on any Tuesday after the publication of the entries.

85.4 Any Scratching of a horse

- 85.4.1 must be made to The Racing Calendar Office by noon on the date fixed in the conditions of the race, and
- 85.4.2 may not be withdrawn.

### **86. Procedure for scratching a horse**

86.1 This Rule specifies the procedure to be followed when Scratching a horse under Rule 85.

86.2 A Scratching may be made only

- 86.2.1 by telephone,
- 86.2.2 through the Racing Administration Internet Site, or
- 86.2.3 in the case of a horse trained outside Great Britain, in writing.

86.3 Deleted.

86.4 A Scratching which is made through the Racing Administration Internet Site or in writing must not be submitted before the time has passed for the close of any previous stage of entry.

86.5 Where a Scratching is made through the Racing Administration Internet Site

- 86.5.1 the Person who makes it must ensure that the transaction has been properly completed and that all details relating to the horse are correct, and
- 86.5.2 a claim that the transaction was not correctly processed shall not be entertained without supporting evidence in the form of a printed confirmation page.

86.6 The following information must be given when making a Scratching

- 86.6.1 the name of the horse,
- 86.6.2 the name of the meeting, and
- 86.6.3 the name of the race.

86.7 Unless Paragraph 86.8 applies, the only Persons who may make a Scratching are the Owner of the engagement and his Authorised Agent and, when making the Scratching, any such Person must provide the security code allotted to him by the Authority under Rule 67.

86.8 Where the horse is trained outside Great Britain, the Scratching may also be made by

- 86.8.1 the Trainer of the horse, or
- 86.8.2 if he holds a valid authorisation which is in writing and signed by the Owner or his Authorised Agent, an official of the Racing Authority under whose authority the Trainer of the horse is duly qualified as such.

86.9 Any Scratching which is made in writing under Paragraph 86.2.3 must be easily legible and must provide sufficient details to identify the correct race.

#### ***Confirmation of entry***

### **87. Confirmation of entry**

87.1 This Rule applies only in relation to any race which closes more than 6 days before running.

87.2 Subject to Paragraph 87.5, the entries for the race must be confirmed by 12 noon either 5 or 6 days before the race.

87.3 The date for confirmation of entry must be advertised in the programme of the meeting.

87.4 No horse may run unless a confirmation of entry is made to The Racing Calendar Office by 12 noon on the day advertised in the programme of the meeting.

87.5 A supplementary entry made in accordance with Rule 75 shall be regarded as a confirmation of the entry and all stakes for the race shall be included in the supplementary entry fee.

87.6 A confirmation of entry may be withdrawn any time before the time fixed under Paragraph 87.2.

### **88. Procedure for making or withdrawing a confirmation of entry**

88.1 This Rule specifies the procedure to be followed

- 88.1.1 when making a confirmation of entry, and
- 88.1.2 when withdrawing such a confirmation.



88.2 A confirmation of entry may be made or withdrawn only

- 88.2.1 by telephone, or
- 88.2.2 through the Racing Administration Internet Site, or
- 88.2.3 in the case of a horse trained outside Great Britain, in writing.

88.3 A confirmation of entry which is made by telephone shall only be accepted from the day before that on which it is due.

88.4 A confirmation of entry which is made through the Racing Administration Internet Site or in writing must not be submitted before the time has passed for the close of the previous stage of entry or Scratching Deadline, as the case may be.

88.5 Where a confirmation of entry is made through the Racing Administration Internet Site

- 88.5.1 the Person who makes the confirmation must ensure that the transaction has been properly completed and that all details relating to the horse are correct, and
- 88.5.2 a claim that the transaction was not properly processed shall not be entertained without supporting evidence in the form of a printed confirmation page.

88.6 The following information must be given when making or withdrawing a confirmation of entry

- 88.6.1 the name of the Owner and, if different, the name which, under Part (E)3, is required to be used when running the horse,
- 88.6.2 the name of the horse,
- 88.6.3 the name of the meeting, and
- 88.6.4 the name of the race.

88.7 Unless Paragraph 88.8 applies, the only Persons who may make or withdraw a confirmation of entry are

- 88.7.1 the Owner of the engagement,
- 88.7.2 in the case of a withdrawal of a confirmation of entry for a horse sold without transfer of the engagement, the Nominator, and
- 88.7.3 the Authorised Agent of a Person within Paragraph 88.7.1 or 88.7.2,

and, when making or withdrawing the confirmation, any such person must provide the security code allotted to him by the Authority under Rule 67.

88.8 Where the horse is trained outside Great Britain, a confirmation may also be made or withdrawn by

- 88.8.1 the Trainer of the horse, or
- 88.8.2 if he holds a valid authorisation, an official of the Racing Authority under whose authority the Trainer of the horse is duly qualified as such.

88.9 Any confirmation or withdrawal which is made in writing under Paragraph 88.2.3 must be easily legible and must provide sufficient details to identify the correct race.

## **Declaration to run**

### **89. Declaration to run**

89.1 For the purposes of these Rules

- 89.1.1 the time for making a declaration to run in a race shall be determined in accordance with this Rule, but
- 89.1.2 this is subject to
  - 89.1.2.1 any alternative deadline specified by the Authority under Rule 83.2, and
  - 89.1.2.2 any extension of the deadline under Rule 90.

89.2 No horse may run in any race unless

- 89.2.1 a declaration to run has been made to The Racing Calendar Office by 10.00 a.m. on the day of the appropriate deadline determined in accordance with Paragraph 89.3 (subject to Rule 83.2), and
- 89.2.2 the declaration has been accepted by the Authority.

89.3 Unless the Authority directs otherwise, the day of the deadline is as follows

89.3.1 in respect of

- 89.3.1.1 a flat race,
- 89.3.1.2 a Grade 1 steeple chase or a hurdle race (not including any such Novice Races or National Hunt Flat Races), or
- 89.3.1.3 a race run on a Sunday,
- 89.3.1.4 such other races as the Authority may specify,

- the deadline is 2 days before the day on which the race is advertised to be run, and
- 89.3.2 otherwise, the deadline is the day before the day on which the race is advertised to be run.

89.4 A declaration to run may be withdrawn at any time before the deadline determined in accordance with Paragraph 89.3.

89.5 A declaration to run which is made to The Racing Calendar Office is only taken down for acceptance and is not to be regarded as being accepted by the Authority until the declaration is subsequently confirmed on the Racing Administration Internet Site.

89.6 Where the name of a declared horse does not appear in the confirmed list of runners, the horse shall not be permitted to run in the race unless the Authority directs that the name be added to the list.

89.7 No direction shall be given under Paragraph 89.6 on the day of running and, in determining whether to give any direction before then, the Authority shall have regard to

- 89.7.1 how promptly The Racing Calendar Office was notified of the omission,
- 89.7.2 what other steps were taken to secure that the horse's name appears on the list, and
- 89.7.3 such other matters as it considers appropriate.

### **90. Extension of deadline for declarations to run**

90.1 The deadline specified in Rule 89

- 90.1.1 may be extended in accordance with any directions given by the Authority, or
- 90.1.2 if Paragraph 90.2 applies, shall on the day of the original deadline specified in Rule 89.3 be extended up to 10.30 a.m. or such other time as the Authority may specify.

90.2 For the purposes of 90.1 and subject to Paragraph 90.3

**90.2.1 this Paragraph applies to any race where the number of declarations to run received by The Racing Calendar Office by the time when the original deadline for closing of declarations occurs is seven or less regardless of race type or day of the week, and**

**90.2.2 if two or more declarations for horses in the care of the same Trainer have been received by the time of closing they will be treated as if a maximum of one declaration has been made.**

90.3 Declarations at the non-preferred meeting (see Rule 98.2.3.2) shall not be taken into account for the purposes of Paragraph 90.2.

90.4 No declaration to run (or otherwise) which is made during the extended time period under this Rule may be withdrawn.

90.5 Where a horse is doubly declared under Rule 98 or 99 the preferred meeting for the horse may be changed if the original non-preferred meeting is subject to an extended time period for declaration.

90.6 Where a horse is already declared to run under the provisions of Rule 89 in another race on the day in question the Trainer of the horse will not be afforded the opportunity to declare for the race for which the time for declaration to run has been extended unless the horse is doubly declared under the provisions of Rule 98 or 99.

## **91. Procedure for making or withdrawing a declaration to run**

91.1 This Rule specifies the procedure to be followed

91.1.1 when making a declaration to run, and

91.1.2 when withdrawing a declaration.

91.2 A declaration to run may be made or withdrawn only

91.2.1 by telephone, or

91.2.2 through the Racing Administration Internet Site, or

91.2.3 in the case of a horse trained outside Great Britain and Ireland, in writing.

91.3 A declaration to run which is made by telephone shall only be taken down for acceptance from the day before that on which it is due.

91.4 A declaration to run which is made through the Racing Administration Internet Site or in writing must not be submitted before the time has passed for the close of the previous stage of entry or confirmation of entry, as the case may be.

91.5 Where a declaration to run is made through the Racing Administration Internet Site

91.5.1 the Person who makes the declaration must ensure that the transaction has been properly completed and that all details relating to the horse are correct, and

91.5.2 a claim that the transaction was not properly processed shall not be entertained without supporting evidence in the form of a printed confirmation page.

91.6 The following information must be given when making or withdrawing a declaration to run

91.6.1 the name of the Owner and, if different, the name which under Part (E)3 is required to be used when running the horse,

91.6.2 the name of the horse,

91.6.3 the name of the meeting, and

91.6.4 the name of the race.

91.7 Unless Paragraph 91.8 applies, the only Persons who may make or withdraw a declaration to run are

91.7.1 the Owner of the engagement,

91.7.2 in the case of a withdrawal of a declaration for a horse sold without transfer of the engagement, the Nominator, and

91.7.3 the Authorised Agent of a Person within Paragraph 91.7.1 or 91.7.2,

and, when making or withdrawing the declaration, any such person must provide the security code allotted to him by the Authority under Rule 67.

91.8 Where the horse is trained outside Great Britain, a declaration to run may also be made or withdrawn by

91.8.1 the Trainer of the horse, or

91.8.2 if he holds a valid authorisation, an official of the Racing Authority under whose authority the Trainer of the horse is duly qualified as such.

91.9 Any declaration or withdrawal which is made in writing under Paragraph 91.2.3 must be easily legible and must provide sufficient details to identify the correct race.

## ***Declaration of rider***

## **92. Declaration of rider**

92.1 This Rule

92.1.1 applies in respect of each horse which, by the time determined in accordance with this Part for making declarations to run, has been declared to run in a race, but

92.1.2 is subject to any directions given by the Authority under Rule 83.2.

92.2 The responsible Person specified in Paragraph 92.5 must ensure that a declaration of the Rider for the horse is made to The Racing Calendar Office by 1.00 p.m. on the same day as the deadline for the declaration to run.

92.3 No declaration of Rider shall be accepted after the deadline specified in Paragraph 92.2.

92.4 A declaration of Rider may be withdrawn or altered at any time before the deadline specified in Paragraph 92.2, and the most recent declaration of Rider shall automatically replace any previous declaration.

92.5 The responsible Person

92.5.1 is the Trainer of the horse if he is the Authorised Agent of the Owner at deadline specified in Paragraph 92.2, and  
92.5.2 otherwise, is the Owner of the horse at that deadline.

92.6 The person making the declaration of Rider must ensure, before making the declaration, that the Rider is available to ride.

92.7 For any race which closes 6 days or less before running, no declaration of Rider shall be accepted before 2.30 p.m. on the day before the day on which the race is advertised to close.

92.8 For any race which closes more than 6 days before running, no declaration of Rider shall be accepted before 2.30 p.m. on the day before the day on which the entries must be confirmed.

### **93. Procedure for making, withdrawing or altering a declaration of rider**

93.1 This Rule specifies the procedure to be followed

93.1.1 when making a declaration of Rider,  
93.1.2 when withdrawing such a declaration, and  
93.1.3 when altering such a declaration.

93.2 A declaration of Rider may be made, withdrawn or altered only

93.2.1 by telephone, or  
93.2.2 through the Racing Administration Internet Site, or  
93.2.3 in the case of the rider of a horse trained outside Great Britain and Ireland, in writing.

93.3 The following must be provided each time the declaration of Rider is made, withdrawn or altered

93.3.1 the security code allotted by the Authority under Rule 67, and  
93.3.2 the appropriate fee specified in Schedule (A)1.

93.4 But no fee is payable where the declaration of Rider is made, withdrawn or altered by or on behalf of an Amateur Rider or through the Racing Administration Internet Site.

93.5 Unless Paragraph 93.6 applies, the only Persons who may make, withdraw or alter a declaration of Rider are

93.5.1 the Owner of the horse,  
93.5.2 the Trainer of the horse,  
93.5.3 an Authorised Agent of the Owner or Trainer,  
93.5.4 the intended Rider, and  
93.5.5 a rider's agent who is authorised to act for the intended Rider.

93.6 Where the horse is trained outside Great Britain, the declaration of Rider may also be made or withdrawn by a Person who

93.6.1 is an official of the Racing Authority under whose authority the Trainer of the horse is duly qualified as such, and  
93.6.2 holds a valid authorisation to make the declaration.

93.7 Any declaration or withdrawal of Rider which is made in writing under Paragraph 93.2.3 must be easily legible and must provide sufficient details to identify the correct race and Rider.

### **94. Restriction as to number of meetings at which a rider is permitted to ride**

94.1 No Rider who is declared to ride at any flat or mixed meetings shall be permitted to ride at more than nine meetings in Great Britain during any 7 day period, starting on Saturday and ending on Friday.

94.2 For each 7 day period

94.2.1 The Racing Calendar Office shall monitor the total number of meetings at which each Rider has already ridden or, if the time fixed for declarations to run has expired, at which he is booked to ride, and  
94.2.2 for any Rider approaching or exceeding the permitted number of meetings, this number shall be shown on the Racing Administration Internet Site and updated periodically between the release of the last overnight declarations of runners and 1.00 p.m. each day.

94.3 At the deadline specified in Rule 92.2 for making declarations of Rider, The Racing Calendar Office shall expunge any declaration to ride for a Rider which is for

94.3.1 the meeting at which the Rider would exceed the permitted number of meetings, and  
94.3.2 if the Rider is declared to ride at two or more meetings on the same day but is not permitted to ride at all of them, each meeting at which he would exceed the permitted number and at which his first ride is the later.

94.4 Where a Rider who had previously been deemed to have reached the weekly maximum is, after the time specified in Rule 92.2 for making declarations of Rider, substituted to an alternative meeting, the substitution shall be permitted only if the Authority or Stewards are satisfied that the Rider did not ride at one of the meetings at which he had been declared to ride for one of the following reasons

94.4.1 a meeting at which the Rider had been declared to ride was abandoned,  
94.4.2 any of the Rider's declared rides at a meeting was for any reason unable to run,  
94.4.3 the Rider was ill or declared unfit to ride, or  
94.4.4 such other circumstances as the Authority or Stewards may consider acceptable.

## **CHAPTER 3 - FURTHER STEPS**

### ***Non-runners***

### **95. Scratching non-runners before declaration to run stage**

95.1 This Rule applies in relation to

95.1.1 any race which closes more than 6 days before running,  
95.1.2 any Class 1 flat race or jump race, or  
95.1.3 any Heritage Handicap.

95.2 If, at any time before the time determined in accordance with this Part for making declarations to run, the Trainer knows that a horse he trains will be a non-runner in a race, he must notify The Racing Calendar Office immediately by making a Scratching. (Rule 100 sets out the procedure for notifying a non-runner after the time determined in accordance with this Part for making declarations to run).

95.3 A Scratching may be made only by telephone or through the Racing Administration Internet Site and, once made, may not be withdrawn.

95.4 Unless Paragraph 95.5 applies, the only persons who may make a Scratching are the Trainer or his representative.

95.5 Where the horse is trained outside Great Britain, the Scratching may also be made by a Person who

95.5.1 is an official of the Racing Authority under whose authority the Trainer of the horse is duly qualified as such, and

95.5.2 holds a valid authorisation to make the Scratching.

95.6 A Person making a Scratching must provide

95.6.1 the security code allotted by the Authority under Rule 67,

95.6.2 the name of the horse,

95.6.3 the name of the meeting, and

95.6.4 the name of the race.

## 96. Requirement to run after declaration to run stage

96.1 If a qualified horse has been declared a runner in a race under this Part, the horse must run in the race provided that it has not been eliminated under Rules 102 and 103 or, having been declared as a reserve, it is subsequently allocated a run.

96.2 A horse must not be left declared to run in two or more races on the same day once the deadline has passed for making declarations to run in each race.

96.3 No horse may run in two or more races run on the same day.

96.4 In the event of any failure to comply with this Rule

96.4.1 a financial penalty of £140 shall be imposed on the Trainer of the horse or, if the horse is not in the care of a Trainer, on the Owner, where the horse is made a non-runner before 9.00a.m. on the day of the race,

**96.4.2 a financial penalty of £500 shall be imposed on the Trainer of the horse or, if the horse is not in the care of a Trainer, on the Owner, where the horse is made a non-runner at or after 9.00a.m. on the day of the race, or**

96.4.3 instead of or in addition to imposing such a penalty, the Stewards may decide to take other Disciplinary Action against that Trainer or Owner if they consider that the circumstances of the horse's failure to run make it appropriate for them to so.

96.5 In any case where the horse has been declared for a race but is not qualified to run in the race, a financial penalty of £140 shall also be imposed on the Trainer of a horse or, if the horse is not in the care of a Trainer, on the Owner.

96.6 In any case where a horse is left declared to run in two or more races on the same day, other than provided for in Rule 98, the Trainer of the horse will be liable to further Disciplinary Action in addition to the penalty under Paragraph 96.4.1. Furthermore, the circumstances specified in Rules 97.2 to 97.7 do not apply when a horse is declared for two races on the same day.

96.7 But

96.7.1 Paragraphs 96.1 and 96.5 do not apply if the horse does not run in any of the circumstances specified in Rules 97.2 to 97.7,

96.7.2 Paragraphs 96.1 and 96.2 do not apply in any of the circumstances specified in Rule 98 or 99, and

96.7.3 in relation to Paragraph 96.3, a horse in a walk-over may run in one other race run on the same day

## 97. Exceptions to Rule 96 : non-runners

97.1 Rules 96.1 and 96.5 do not apply in any of the circumstances specified in Paragraphs 97.2 to 97.7.

97.2 In accordance with Paragraphs 5 to 7 of Schedule 7, the Trainer submits a satisfactory veterinary certificate to the Authority's Office within 7 days of the race in which horse was declared to run. **In such circumstances, the Authority will suspend the horse from running in future races in Great Britain for the period of 3 days starting with the day of the race for which the horse was issued with a veterinary certificate.**

97.3 Subject to paragraph 97.9, the Trainer informs The Racing Calendar Office without delay

97.3.1 by telephone, or

97.3.2 through the Racing Administration Internet Site

that he has self-certified the horse as a non-runner, specifying the reason for it not running.

In such circumstances, the Authority will suspend the horse certified from running in future races in Great Britain for the period of 7 days starting with the day of the race for which the horse was self-certified.

97.4 There is a change in the going on the day of the race from the going report which, on the day the horse was declared to run, was posted on the Racing Administration Internet Site or was available from the Clerk of the Course (or the Person nominated by him).

97.5 The Trainer considers the horse will be unsuited by the going, the horse is on the racecourse and its identity has been verified by a Veterinary Officer from its passport on the day of the race.

97.6 The Trainer, his representative or the Owner satisfies the Stewards on the day of the race that the failure of the horse to run was caused by other circumstances outside the reasonable control of the Trainer (or his representative) or the Owner.

97.7 The horse is prevented from running because the rider was not allowed, under Rule (B)22.6, to weigh out on account of the fact that certain sums due under these Rules remain unpaid.

In such circumstances, a financial penalty of **£500** shall instead be imposed on the Owner of the horse.

97.8 Except to the extent stated in Rule 98.4.3 or 99.4.3, this Rule does not apply in any case falling within Rule 98 or 99.

97.9 The use of self-certificates is not permitted

**97.9.1 after the Declaration Sheet has been signed under Rule (B)23, or**

**97.9.2 where the reason for not running is related to prize money for the race except for where the prize money has altered after the time determined in accordance with Rule 89 for making declarations to run.**

## 98. Exceptions to Rule 96: horse declared in two races

98.1 No Disciplinary Action shall be taken for a failure to comply with Rule 96.1 or 96.2 if a horse remains declared to run in two races and the conditions specified in any of Paragraph 98.2, 98.3 or 98.4 are met.

98.2 The conditions in this Paragraph are that

98.2.1 the two races in which the horse remains declared to run are

98.2.1.1 two steeple chases, two hurdle races, two National Hunt Flat Races or any combination, or

98.2.1.2 one steeple chase or hurdle race or National Hunt Flat Race and one flat race during the period starting on November 1st and ending on March 31st, or

98.2.1.3 two flat races in any case where an inspection has been called at the preferred meeting (see Paragraph

98.2.3) before the time for making the declarations to run; and

98.2.2 the two races are classed in accordance with Schedule 2 as

98.2.2.1 in respect of races in Paragraph 98.2.1.1 or 98.2.1.2, Class 1, 2 or 3 ('Jump' races) or Class 1, 2, 3 or 4 (Flat races), or  
98.2.2.2 in respect of races in Paragraph 98.2.1.3, Class 1, 2 or 3; and

98.2.3 by the time determined under this Part for making declarations to run, the Trainer has advised The Racing Calendar Office of

98.2.3.1 the meeting at which he would prefer the horse to run (the preferred meeting), and  
98.2.3.2 the other meeting at which it is engaged (the non-preferred meeting); and

98.2.4 the horse runs at the preferred meeting.

98.3 The conditions in this Paragraph are that

98.3.1 all the conditions in Paragraphs 98.2.1 to 98.2.3 are met; and  
98.3.2 the preferred meeting was either abandoned or was subject to a course inspection and, if subject to a course inspection, the Stewards at the preferred meeting are satisfied that the decision to race had not been made by the time the horse had to leave to run at the non-preferred meeting; and  
98.3.3 the horse either

98.3.3.1 runs in the non-preferred race, or  
98.3.3.2 in the case of a steeple chase or hurdle race, does not run in that race because, on account of an increase under Rule 46.2, its weight exceeds 11st 12lbs.

98.4 The conditions in this Paragraph are that

98.4.1 all the conditions in Paragraphs 98.2.1 to 98.2.3 are met; and  
98.4.2 the horse does not run at either the preferred meeting or the non-preferred meeting; and  
98.4.3 the Trainer or his representative, or the Owner, satisfies the Stewards at one of those meetings that the horse did not run in any of the circumstances specified in Rule 97.

98.5 If a horse runs at a non-preferred meeting in circumstances other than those specified in Paragraph 98.3, the Trainer of the horse shall be liable to further Disciplinary Action in addition to the financial penalty imposed under Rule 97.

#### **99. Exceptions to Rule 96: horse declared in a Saturday race and a Sunday race**

99.1 No Disciplinary Action shall be taken for a failure to comply with Rule 96.1 or 96.2 if

99.1.1 a horse remains declared to run in two races, one being on a Saturday and the other on a Sunday;  
99.1.2 the time determined under this Part for making declarations to run falls on a Friday; and  
99.1.3 the conditions specified in any of Paragraph 99.2, 99.3 or 99.4 are met.

99.2 The conditions in this Paragraph are that

99.2.1 the two races in which the horse remains declared to run are steeple chases, hurdle races or any combination; and  
99.2.2 the two races are classed in accordance with Schedule 2 as 1, 2 or 3 ('Jump races'); and  
99.2.3 the Trainer has advised The Racing Calendar Office of the race at which he would prefer the horse to run (the preferred race) and the other race at which it is engaged (the non-preferred race); and  
99.2.4 the horse does not run in both races; and  
99.2.5 the horse runs in the preferred race.

99.3 The conditions in this Paragraph are that

99.3.1 all the conditions in Paragraphs 99.2.1 to 99.2.4 are met; and  
99.3.2 the preferred race was either abandoned or was subject to a course inspection and, if subject to a course inspection, the Stewards at the meeting where that race takes place are satisfied that the decision to race at that meeting had not been made by the time the horse had to leave to run in the non-preferred race; and  
99.3.3 the horse either

99.3.3.1 runs in the non-preferred race; or  
99.3.3.2 does not run in that race because, on account of an increase under Rule 46.2, its weight exceeds 11st 12lbs.

99.4 The conditions in this Paragraph are that

99.4.1 all the conditions in Paragraphs 99.2.1 to 99.2.4 are met; and  
99.4.2 the horse does not run in either the preferred or the non-preferred race; and  
99.4.3 the Trainer or his representative, or the Owner, satisfies the Stewards at the meeting where either race takes place that the horse did not run in any of the circumstances specified in Rule 97.

99.5 If a horse runs in a non-preferred race in circumstances other than those specified in Paragraph 99.3, the Trainer of the horse shall be liable to further Disciplinary Action in addition to the financial penalty imposed under Rule 97.

#### **99A. Exceptions to Rule 96: horse declared as a reserve and subsequently allocated a run**

99A.1 No Disciplinary Action shall be taken for a failure to comply with Rule 96.1 or 96.2 if the conditions specified in any of Paragraphs 99A.2, 99A.3 or 99A.4 are met.

99A.2 The conditions in this Paragraph are that

99A.2.1 a horse is declared in a race; and  
99A.2.2 also having been declared as a reserve in a race on the same or following day it is subsequently allocated a run; and

99A.2.3 the horse runs in the race in which it was declared as a reserve.

99A.3 The conditions in this Paragraph are that

99A.3.1 the conditions in Paragraphs 99A.2.1 and 99A.2.2 are met; and  
99A.3.2 the race referred to in Paragraph 99A.2.2 was either abandoned or was subject to a course inspection and, if subject to a course inspection, the Stewards at the meeting where that race takes place are satisfied that the decision to race at that meeting had not been made by the time the horse had to leave to run in the race referred to in Paragraph 99A.2.1; and  
99A.3.3 the horse either

99A.3.3.1 runs in the race referred to in 99A.2.1; or  
99A.3.3.2 does not run in that race

99A.3.3.2.1 on account of an increase under Rule 46.2, its weight exceeds 11st 12lbs in a Jump race, or  
99A.3.3.2.2 on account of an increase under Rule 36A, its weight exceeds 10st in a Flat race.

99A.4 The conditions in this Paragraph are that

99A.4.1 the conditions in Paragraphs 99A.2.1 and 99A.2.2 are met; and  
99A.4.2 the horse does not run in either race; and  
99A.4.3 the Trainer or his representative, or the Owner, satisfies the Stewards at the meeting where either race takes place that the horse did not run in any of the circumstances specified in Rule 97.

99A.5 If the horse runs in the race referred to in Paragraph 99A.2.1 in circumstances other than those specified in Paragraph 99A.3 the Trainer shall be liable to further Disciplinary Action in addition to the financial penalty imposed under Rule 97.

#### **100. Procedure for notification of non-runner after declaration to run stage**

100. The Trainer of a horse must ensure that the procedure in Schedule 7 is followed if a horse declared to run in a race under this Part is to be a non-runner in the race.

#### **101. Notifying the death of a horse**

101.1 The notification of the death of a horse to The Racing Calendar Office shall withdraw the horse from all engagements in races.  
101.2 When a horse holds an engagement in a race which closes more than 6 days before running the notification must be made in accordance with Rule 95.

### ***Dividing a race and reducing declarations to run***

#### **102. Steps where declarations to run exceed applicable limit**

102.1 Paragraphs 102.2 and 102.3 apply in any case where, by the deadline determined in accordance with this Part for making declarations to run, the number of horses declared to run in a race exceeds whichever is applicable of the Field Size Limit, the Maximum Figure or the Safety Factor (the applicable limit).

102.2 If the number of horses is less than eighteen, the number of declarations shall be reduced to the number permitted by the applicable limit.

102.3 If the number of horses is eighteen or more, the race shall be divided or the remaining declarations to run shall be reduced to the number permitted by the applicable limit.

#### **103. Procedure for division of race and reduction of runners**

103.1 Subject to Paragraph 103.5

103.1.1 any flat race shall be divided in accordance with Rules 27 and 28, and

103.1.2 any steeple chase, hurdle race or National Hunt Flat Race shall be divided in accordance with Rules 39 and 40.

103.2 If any race of a description referred to in Paragraph 103.1.1 or 103.1.2 is a weight for age race and, in the race, there are

103.2.1 two or more horses which are owned by the same owner,

103.2.2 two or more horses which are trained by the same trainer,

103.2.3 two or more horses which, on or after January 1st of the previous year, have won a race of the same description as the weight for age race, or

103.2.4 two or more horses which at declaration stage under Rule (F)89 are set to carry the same colours.

the horses referred to in each of Paragraphs 103.2.1, 103.2.2 and 103.2.3 shall be allocated to different divisions to the extent possible.

103.3 If the race is a handicap race

103.3.1 the horses shall be allocated to a division according to weight order, and

103.3.2 such of the horses in the race as are owned by the same owner, or are trained by the same trainer, or set to carry the same colours, shall be allocated to different divisions to the extent possible.

103.4 In determining for the purposes of Paragraphs 103.2 and 103.3 whether two or more horses are owned by the same owner

103.4.1 where the horse is in the ownership of a Partnership, Racing Club or Syndicate, any two or more horses which run in the name registered for the Partnership, Racing Club or Syndicate shall be regarded as owned by the same owner.

103.5 Where the number of runners in any race exceeds twice the Safety Factor or Maximum Figure (as applicable), an appropriate number of runners shall be eliminated by ballot before the division is made.

103.6 Where

103.6.1 runners are to be eliminated under Paragraph 103.5, or

103.6.2 declarations to run are to be reduced by elimination or ballot,

this shall be carried out in accordance with the procedure specified in Schedule 8.

103.7 An error which is made in the course of reducing the number of declarations to run in a race may be corrected if

- 103.7.1 it results in the elimination of a horse from the race,
- 103.7.2 that elimination would be contrary to the conditions of the race or to a provision of these Rules,
- 103.7.3 the correction is authorised by the Authority and is made no later than 2.00 p.m. on the day before that on which the race is advertised to be run, and
- 103.7.4 if the race is a flat race, the correction is made in accordance with Rule 105.

103.8 Neither the Authority nor anyone acting on its behalf shall be under any liability to any Person by reason of a horse being eliminated from a race, even if the elimination is made in error.

### ***The draw in a flat race***

#### **104. The draw**

104.1 The draw allotting positions at the start of any flat race, **except those programmed to be started from a starting gate**, shall take place at The Racing Calendar Office after

- 104.1.1 the deadline determined in accordance with this Part for making declarations to run has passed, and
- 104.1.2 any division of the race or reduction of runners has been carried out in accordance with Rules 102 and 103.

104.2 Subject to Paragraph 104.4, no changes may be made to the draw order except in accordance with Rule 105.

104.3 In a race for which the Authority has granted permission for reserves, the allocation of the draw order for any reserve horse which subsequently obtains a run shall be as directed by the Authority and published in advance in the advertised specific arrangements applicable to the race.

104.4 The Authority may, in exceptional circumstances not covered by Rule 105, make a change to the draw order, but where possible it will follow the procedures set out in Rule 105.

#### **105. Making changes to the draw order**

105.1 The Authority may authorise the addition to the race of the number of a horse in any case where the horse

- 105.1.1 has been duly entered and declared and has not been withdrawn or eliminated, but
- 105.1.2 has been omitted from the list of runners.

105.2 The procedures specified in the rest of this Rule apply in relation to any horse which is to be added to the race and, where more than one horse is to be added

- 105.2.1 the order of application of the procedures for each added horse shall be determined by random ballot, and
- 105.2.2 if elimination is necessary for some but not all the added horses, the order of application of the procedures for each added horse shall be applied sequentially as necessary.

105.3 Where a horse is added to the race before 2.00 p.m. on the day determined in accordance with this Part for making declarations to run

- 105.3.1 if this results in the elimination of another horse, the added horse shall take the saddle cloth number and draw position of the eliminated horse, and
- 105.3.2 if no elimination is necessary the added horse shall take the next highest saddle cloth number and shall be allocated a random draw position.

105.4 Where the draw position allocated under Paragraph 105.3.2 has already been issued to another declared horse

- 105.4.1 that horse shall be given a draw position one number higher, and
- 105.4.2 all other declared horses which were originally allocated a draw position higher than that re-allocated under Paragraph 105.3.2 shall be re-allocated a draw position one number higher than the one they were originally allocated.

105.5 Subject to Paragraph 105.6, where a horse is added to the race after 2.00 p.m. on the day determined in accordance with this Part for making declarations to run

- 105.5.1 if this results in the elimination of another horse, the added horse shall take the saddle cloth number and draw position of the eliminated horse, and
- 105.5.2 if no elimination is necessary

- 105.5.2.1 the original draw for places shall stand, and
- 105.5.2.2 the added horse shall take the next highest saddle cloth number and shall be allocated the highest number in the draw.

105.6 Where a horse is added to a race on the day of the race, the Stewards shall apply the procedure specified in Paragraph 105.5.

105.7 Where Field Size Limits have been applied in accordance with Schedule 16 and a horse has been added to the list of runners in a race in accordance with this Rule, eliminations may be necessary in another race at the same meeting and such eliminations shall be carried out in accordance with

- 105.7.1 Rule 103,
- 105.7.2 Schedule 8, and
- 105.7.3 Schedule 16.

### ***Payments in respect of an engagement***

#### **106. Fees due in respect of entries**

106.1 A fee is payable to the Authority in respect of each race entry processed and the amount of the fee is specified in Schedule (A)1.

106.2 Except where Paragraph 106.3 applies, the following sums shall be paid in respect of each entry

- 106.2.1 the sum of £1.20 is payable to the Horseracing Betting Levy Board for the benefit of the Equine Infectious Diseases Services of the Animal Health Trust, and
- 106.2.2 the sum of £1.00 is payable to the Authority for the benefit of the welfare of former racehorses.

106.3 Where any horse entered in a race is deemed not to have qualified to start for the race at the time of closing, the sum due under Paragraph 106.1 nevertheless remains payable by

- 106.3.1 the Trainer, or
- 106.3.2 if he can establish that the entry was made by the Owner or another Authorised Agent, by the Owner or Authorised Agent who made the entry.

#### **107. The stake and the stakeholder**

107.1 In this Manual, **the Stake**, in respect of a horse engaged in a race

107.1.1 is any amount contributed by, or due from, a Person in accordance with the following provisions of this Part which forms part of the Owners' Prize Money Pool for the race, and  
107.1.2 if different payments are required at different times, includes all such payments.

107.2 **The Stakeholder** is such Person as the Authority may appoint to collect

107.2.1 all Stakes,  
107.2.2 all other sums due under the conditions of races,  
107.2.3 all Arrears and fees due under these Rules,  
107.2.4 any account or legal charges which the Authority may from time to time determine should be paid towards recovering the costs of administering accounts, and  
107.2.5 any VAT which is payable in connection with each of those sums.

107.3 The Stakeholder may require payments to be made in cash in such circumstances as the Stakeholder considers appropriate.

107.4 For the purposes of Paragraph 107.1

107.4.1 the Owners' Prize Money Pool in respect of a race comprises all stakes which are held by the Stakeholder for that race in accordance with these Rules;  
107.4.2 each Owners' Prize Money Pool belongs to those Owners who contribute to it in the respective proportions of their contribution; and  
107.4.3 such contributions shall be returned or distributed by the Stakeholder in accordance with the following provisions of this Part and Part 7.

## **108. Liability for stake money etc: races with a scratching deadline**

108.1 This Rule

108.1.1 applies to any race for which there is a Scratching Deadline, but  
108.1.2 is subject to any requirement for earlier payment under Rule 112.

108.2 A Person who is either the Nominator of a horse or its Owner at the time of nomination is, subject to Paragraph 108.3, liable for

108.2.1 the initial stake payable at the Time of Entry,  
108.2.2 any sum due under Rule 106 (fees for processing entries), and  
108.2.3 any additional sums specified in the conditions of the race.

108.3 Where the details of a transfer of engagements have been sent to The Racing Calendar Office under Rule 81, the transferee is liable for any sum which becomes payable after the details have been received.

108.4 Any amount due at a Scratching Deadline is payable at the time fixed for the deadline.

108.5 Any amount due at the time determined in accordance with this Part for confirmation of entry is payable when the race takes place.

## **109. Liability for stake money etc: races with no scratching deadline**

109.1 This Rule

109.1.1 applies to any race for which there is no Scratching Deadline, but  
109.1.2 is subject to any requirement for earlier payment under Rule 112.

109.2 Subject to Paragraph 109.3, a Person who is either the Nominator of a horse or its Owner at the time of nomination is, liable for

109.2.1 the Stake, and  
109.2.2 any sum due under Rule 106 (fees for processing entries).

109.3 Where the details of a transfer of engagements have been sent to The Racing Calendar Office under Rule 81, the transferee becomes liable for the sums listed in Paragraph 109.2 and the Nominator is liable only if the transferee defaults.

109.4 Any amount due under this Rule is payable when the race takes place.

## **110. Circumstances in which amounts are not payable**

110.1 No stake is payable in respect of a horse which is eliminated from a race under the provisions of Rule 102 (steps where declarations to run exceed relevant race limit).

110.2 No stake is payable in respect of a horse which is entered in a race where the race is void or is never run.

110.3 No stake is payable in respect of a horse which does not run in a race if

110.3.1 the Trainer has advised The Racing Calendar Office that the race is at a non-preferred meeting (see Rules 98.2.3 and 99.2.3),  
110.3.2 the requirements of this Chapter as to non-runners have been complied with, and  
110.3.3 the horse would be required to carry more than 11st 12lb in a Handicap Steeple Chase or Hurdle Race.

110.4 No amount is payable in respect of a horse if the entry is void by virtue of Rule 80.3.

110.5 No stake is payable in respect of a horse if it is not qualified to start in a race at the time of closing.

110.6 Any payment made before the race in respect of a horse within any of Paragraphs 110.1 to 110.5 shall be returned.

110.7 The Authority may, if it considers it appropriate to do so, decide that payment of the Stake relating to the Scratching Deadline in a race is not payable where

110.7.1 a horse has been accidentally left in the race at a Scratching Deadline, and  
110.7.2 the Authority is satisfied that this omission was wholly attributable to circumstances which it would not be reasonable to expect the Person liable to pay for the fee (or any Person acting on his behalf) to prevent or avoid.

In such cases the horse may be withdrawn from the race on payment of an administration fee of £100.

## **111. Race not run following the making of a division**

111.1 This Rule applies where

111.1.1 a race is divided under Rule 102, and  
111.1.2 one or more, but not all, divisions of the race are run.

111.2 No stake money is payable in respect of any horse entered in the race which was declared to run but which was allocated to a division of the race that was subsequently abandoned.

111.3 Any payment made before the race in respect of a horse within Paragraph 111.2 shall be returned.

111.4 The balance of any stake money remaining after the deduction of that allocated to Prize Money in the divisions that ran shall be paid to the credit of the Race Division Fund.

## **112. Power of the Authority to require earlier payment**

112.1 If the Authority considers it appropriate to do so

112.1.1 it may require the Nominator or Owner of a horse in a race to provide funds in advance for the initial stake or for any additional sums laid down in the conditions of the race, or



112.1.2 it may require that Stake money be paid at the Time of Entry together with any Arrears.

112.2 The Authority may specify the amount and manner of payment of any funds required under Paragraph 112.1.1.

### **113. Failure to pay stake money**

113.1 If it considers it appropriate to do so, the Authority may delete an entry for a race where a Person fails to pay stake money when due or any Arrears.

113.2 A deletion under Paragraph 113.1 shall take effect immediately.

### ***Payments by racecourse managing executive***

### **114. Payments by racecourse managing executive**

114.1 Not later than the seventh day after a day's racing unless either the seventh day is a Saturday, Sunday, Bank Holiday, Good Friday or Christmas Day when it must be on the next working day the Racecourse Managing Executive must pay by Direct Debit to the Stakeholder

114.1.1 in a Sweepstakes

114.1.1.1 any Money Added to Stakes, and

114.1.1.2 where a Guaranteed Minimum Value has been advertised, any additional sum required;

114.1.2 in a Total Prize Fund race, any Money Added to Stakes;

114.1.3 any payment required under the controls for sponsorship which are for the time being approved by the Authority under Rule (A)88 (controls on advertising and sponsorship);

114.1.4 any VAT payable in connection with each of those sums.

114.2 But Paragraph 114.1 shall cease to apply if the Racecourse Managing Executive is notified by the Stakeholder to make a payment at an earlier time subject to Rule 121.

114.3 No race shall be declared void on account of the Racecourse Managing Executive failing to pay the Stakeholder the sums under Paragraph 114.1.

## **PART 7 - PRIZES AND SETTLING OF ACCOUNTS**

### ***Distribution of prizes***

### **115. General**

115. All prizes for a race shall be distributed in accordance with the provisions of this Part and in accordance with the conditions of the race.

### **116. Trophies**

116.1 Where the conditions for a race provide for a trophy to be given at the option of the winner such trophy, if accepted, may be returned to the Racecourse Managing Executive within 7 days of the race having been run and the Prize Money increased accordingly.

116.2 When a cup (other than a Challenge Cup) or a Total Prize Fund or Guaranteed Minimum Value is advertised to be run for, it shall be given in the event of a walk-over.

### **117. Amount of prize money and appearance money**

**In a Total Race Value Race, the amount of money to be distributed shall be**

**117.1 the Stakes**

**117.2 any Prize Money added to Stakes by the racecourse and distributed in accordance with Rule 118, and**

**117.3 any Appearance Money included in the advertised Total Race Value, and distributed in accordance with Schedule 11.**

### **118. Distribution of prize money**

118.1 Subject to Rules 119 to 122, the Prize Money shall be paid over by the Stakeholder in accordance with the provisions of Schedule 9.

118.2 Where a horse is trained privately (see Rule 152.3), any payment which Schedule 9 provides should be made to the Trainer or the stable shall instead be made to the Owner.

118.3 Where an Owner is registered for VAT under Rule (A)100 (VAT registration scheme), VAT shall be added to the amount of Prize Money due to the Owner, but excluding stakes, forfeits, fees due at confirmation of entry and supplementary entry fees.

118.4 Where a horse is trained outside Great Britain, a deduction of 2% payable to the Trainers Benevolent Fund will be made from the percentage paid to the Trainer under Schedule 9.

### **119. Distribution of money payable to stables**

119.1 Any percentage of Prize Money payable to a stable at which a horse trained shall be sent to the relevant Trainer.

119.2 Stable employees shall decide the distribution criteria to be applied to the money.

119.3 Payments may be made only to Persons whose names appear in the Register of Stable Employee Names as being currently employed by the Trainer or as having been in his employment during the period covered by the payment.

119.4 A copy of the criteria must be displayed in the stable yard in a place where it can be inspected by all employees.

119.5 Payments will be sent on four occasions in each year.

119.6 Duplicate sheets will be sent with the payment and will include a list of all known current stable employees, together with their registration numbers in the Register of Stable Employee Names.

119.7 A Trainer must

119.7.1 add to the return any member of a Trainer's staff whose name does not appear on it (including any ex-member of staff who has left his employment during the period covered by the payment and to whom a payment is to be made),

119.7.2 complete the return by signing it, giving the date on which payment will be made (which must be between 11 and 21

days from the date of signature, inclusive) and adding the amounts that are to be paid to each individual member of staff,

119.7.3 return one copy of it to the Authority's Office within 21 days of the date that is shown on the sheets as the date on which the sheets were sent from The Racing Calendar Office, and

119.7.4 display the other copy from the date the return is signed for a period of not less than 10 days in such a place in the stable yard where it can be inspected by all employees.

119.8 Unless the Authority directs otherwise, a Trainer

119.8.1 must make the payments as shown on the return not less than 10 days and not more than 21 days after signing and returning the sheet, and

119.8.2 may not deduct any amount except those for income tax.

119.9 If an employee requests the Trainer to withhold money for payment at a later date, the Trainer must take all reasonable steps to obtain a return on the money and must pay it over to the employee promptly when he leaves the Trainer's employment.

### **120. Dead-heats: prizes**

120.1 This Rule applies in the event of two horses running a dead-heat for any place in connection with which a prize would otherwise be distributed in accordance with this Part.

120.2 All prizes to which each category of Persons connected with the first and second horses would have been entitled must be divided equally between such Persons.

120.3 Paragraph 120.2 applies to the division of any prize, whatever the number of dead-heaters and whatever the place for which the dead-heat is run.

120.4 If the dividing Owners cannot agree as to which of them is to have a cup or other prize which cannot be divided, the Racecourse Managing Executive shall

120.4.1 determine the question by lot, and

120.4.2 decide what sum of money is to be paid by the Owner who takes the cup (or other indivisible prize) to the other Owners or Owner.

## **121. Races with more prizes than declared runners before race is declared Off**

121.1 For the purposes of this Rule, the relevant period is the period that

121.1.1 starts immediately after the deadline determined in accordance with Part 6 for making declarations to run, and

121.1.2 ends when the race is declared Off (see Rule (B)37).

121.2 If, at any time during the relevant period, the number of declared runners for a race is less than the number of placings to which money or prizes are due to be allocated

121.2.1 a sum equivalent to the surplus of all money or prizes that would otherwise be payable under Rule 118 in connection with each unallocated placing shall not be paid, and

121.2.2 that sum shall be retained by the Racecourse Managing Executive from the amount due from them in relation to the Total Prize Fund for the race.

121.3 So, for example, if there are only four declared runners for a race with money or prizes for the first six horses, the sum to be retained in accordance with Paragraph 121.2 is equivalent to all money or prizes payable under Rule 118 to each category of Persons connected with the horses placed fifth or sixth.

## **122. Races with more prizes than finishers**

122.1 Once a race is declared Off, Rule 121 does not apply to any reduction, or further reduction, in the number of runners in a race which has the result that the number of finishers is less than the number of placings to which money or prizes are due to be allocated under Rule 118.

122.2 Any surplus of prizes or money that then arises in such circumstances shall be paid equally to the appropriate category of Persons connected with the finishers.

122.3 Paragraph 122.2 does not apply where a winner has walked over.

### ***Breeders' prizes***

**123. Deleted**

**124. Deleted**

**125. Deleted.**

**126. Deleted.**

**127. Deleted**

**128. Deleted**

**128A. Deleted**

**128B. Deleted**

**128C. Deleted**

## **128D. - Plus 10 Bonus Scheme**

128D.1 The connections of an Eligible Horse which wins a Categorised Race qualify to receive a Plus 10 Bonus if (and only if) the horse has been accepted for registration by the time of the race under the Plus 10 Bonus Scheme on an application made under Rule 128D.3.1 and the registration fees set out in Rule 128D.3.2 have been paid. Full details of the Plus 10 Bonus Scheme can be found in the Plus 10 Guide and the Plus 10 FAQs.

128D.2.1 For the purposes of this Manual and the Scheme, and subject to Rule 128D.2.4, an Eligible Horse is defined as the following:

128D.2.1.1 the progeny of a stallion domiciled in Great Britain or Ireland; or

128D.2.1.2 the produce of a mare domiciled in Great Britain or Ireland which is registered in, and for which returns are made to, the General Stud Book Office.

128D.2.2 A stallion domiciled in Great Britain or Ireland is a stallion that is recorded in the General Stud Book as standing in Great Britain or Ireland at the time of the covering.

128D.2.3 A domiciled mare must remain based in Great Britain or Ireland, other than for periods of temporary travel abroad for covering lasting no longer than a continuous period of nine months, in the calendar year prior to the year of foaling.

128D.2.4 Eligibility for the purposes of Rule 128D.2.1 can be verified by the Racing Calendar Office. The Authority, in agreement with Horseracing Ireland ("HRI"), shall make a determination on any dispute as to eligibility and that determination shall be final.

128D.3.1 Once an Eligible Horse is registered with the accompanying registration fee at each and all of following three separate stages:

128D.3.1.1 Foal Registration,

128D.3.1.2 Yearling Registration, and

128D.3.1.3 Owner Registration

it shall be a Qualified Horse.

128D.3.2 Once an Eligible Horse is registered with the accompanying registration fee at the Foal Registration stage, it shall be a Part-Qualified Horse.

128D.3.3 The registration dates and registration fees are set by the Authority from time to time.

128D.3.4 If the qualification process is not completed no fees will be refunded. No fees will be refunded in the event of death or permanent injury of an Eligible, Qualified or Part-Qualified Horse.

128D.3.5 For the purposes of this Manual and the Scheme, the Authority will publicise what a Categorised Race is in the race conditions of each race in the Racing Calendar and on the Racing Administration Internet Site. The Irish races will be selected by HRI and advertised accordingly.

128D.4.1 A Qualified Horse or a Part-Qualified Horse will be eligible to win a maximum of one bonus prize in Great Britain or Ireland, irrespective of where the horse is bred or trained.

128D.4.2 A Qualified Horse which wins a Categorised Race will be entitled to a bonus as published by the Authority from time to time, and shall be split as follows:

- 128D.4.2.1 Person who paid the foal registration - 10%
- 128D.4.2.2 Person who paid the yearling registration - 10%
- 128D.4.2.3 Owner of the winner - 75%
- 128D.4.2.4 Trainer of the winner - 2.5%
- 128D.4.2.5 Jockey of the winner - 1.5%
- 128D.4.2.6 Stable of the winner - 1%

128D.4.3 A Part-Qualified Horse which wins a Categorised Race will be entitled to a portion of the bonus that a Qualified Horse would be entitled to under Rule 128D.4.2, which shall be paid as follows:

- 128D4.3.1 Person who paid the foal registration – 10% of the full bonus
- 128D4.3.2 Person who paid the yearling registration (if applicable) – 10% of the full bonu.

128D.4.4 A Part-Qualified horse or a Qualified horse can only win one bonus prize in its lifetime. In the event a Part-Qualified horse or a Qualified horse wins a second bonus race, no bonus will be payable.

128D.4.5 All bonuses are payable in pounds sterling and bonuses won in Ireland will be subject to the rate of exchange as set at the start of each scheme year.

128D.4.6 In the event of a dead heat, bonuses will be paid in full to both Qualified and/or Part-Qualified Horses (if applicable) as if they had won the race.

128D.4.7 A bonus due to a trainer, jockey or stable not based in Britain or Ireland shall instead be made to the Owner of the Qualified Horse.

128D.4.8 The Authority will make reasonable attempts to make payment in accordance with this Rule. Any payments which are not able to be made shall be retained.

128D.5 In the event of any dispute in connection with the Plus 10 Bonus Scheme, the decision of the Authority (for horses run in races under the Rules of Racing) or HRI (for horses run in races run under the HRI Directives) will be final.

128D.6 The Authority may terminate the Plus 10 Bonus Scheme at any time, and in such event, no further bonuses will be made.

### ***Settling of accounts***

## **129. Crediting of money due**

129.1 At the end of the period of 15 days after the race, the Stakeholder shall credit the following money to each Person entitled to it

- 129.1.1 all stakes,
- 129.1.2 all added money,
- 129.1.3 all sums due in respect of horses sold, bought in or claimed,
- 129.1.4 all payments due under Rule 131, and
- 129.1.5 all payments due under the Appearance Money Scheme set out in Schedule 11.

129.2 Paragraph 129.1 is subject to exemptions provided by Rule 130.

129.3 The Stakeholder shall also credit to the Owner any appearance money which is due the Appearance Money Scheme set out in Schedule 11.

129.4 Any VAT which is due on money credited to a Person under Paragraph 129.1 or 129.3 shall also be credited if that Person is registered for VAT purposes in accordance with Rule (A)100 (VAT registration scheme).

129.5 Unless the Authority directs otherwise, accounts of money due will be rendered and payments made at monthly intervals.

## **130. Exemptions from payments to be made under Rule 129**

130.1 The Stakeholder may not credit a Person with any money in such circumstances, and to such extent, as the Authority may specify.

130.2 The Stakeholder must not credit a Person with any money in any case where Rule (B)78.2 applies (consequences where an objection is made).

130.3 The Stakeholder must not credit a Person with any money where

- 130.3.1 his entitlement to the money results from a decision by the Authority to disqualify a horse or alter its placing,
- 130.3.2 the Authority's decision is the subject of an appeal to an Appeal Board under Part (A)7, and
- 130.3.3 the appeal is not yet finally determined.

130.4 The Stakeholder must not credit a Person with any money where his entitlement to it arises in connection with

- 130.4.1 a horse which is the subject of an examination by order of the Stewards under Part (B)1 (the Stewards), and
- 130.4.2 the race in respect of which the examination was ordered or any subsequent race in which the horse has run

until authorised to do so by the Authority.

130.5 The Stakeholder must not credit a Person with any money where his entitlement to it arises in connection with

- 130.5.1 a horse which is the subject of an examination by an approved Person authorised to enter the Trainer's premises under Part (A)5 (enquiries and investigations), and
- 130.5.2 any race after the examination in which the horse has run.

until authorised to do so by the Authority.

130.6 The Stakeholder must not credit a Person with any money where the Racecourse Managing Executive has not paid to the Stakeholder the sums due under Rule 114.1 other than sums due in respect of horses

- 130.6.1 sold,
- 130.6.2 bought in, or
- 130.6.3 claimed

until such time as the outstanding sums have been paid.

130.7 In the event of the Racecourse Managing Executive failing to make payment to the Stakeholder as required by Rule 114.1, all stakes and other sums accrued will be distributed in accordance with Schedule 9 but not before at least 30 days have elapsed from the day of the race.

### **131. Allocation by stakeholder of payments for sponsorship of number cloths**

131.1 This Rule applies to any payment received under Rule 114.1.3 which is in connection with the sponsorship of number cloths.

131.2 In respect of each horse which has started in a race, the Stakeholder shall distribute the payment in the following proportions

- 131.2.1 81% to the Owner,
- 131.2.2 8% to the Trainer,
- 131.2.3 6% to the Rider, and
- 131.2.4 5% to the National Association for Stable Staff.

131.3 A payment due under Paragraph 131.2.2 shall instead be made to the Owner of the horse in any case where the horse

- 131.3.1 is trained outside Great Britain, France or Ireland, or
- 131.3.2 is trained privately (see Rule 152.3).

131.4 A payment under Paragraph 131.2.3 which is due to an Amateur Rider shall instead be paid to the Authority.

131.5 A payment due under Paragraph 131.2.4 shall instead be made to the Owner of the horse in any case where the horse

- 131.5.1 is trained outside Great Britain, or
- 131.5.2 is trained privately (see Rule 152.3).

131.6 Where an Owner is registered for VAT under Rule (A)100 (VAT registration scheme), VAT shall be added to the amount due to the Owner under this Rule.

## **PART 8 - HANDICAPPING, PENALTIES, QUALIFICATIONS AND ALLOWANCES**

### ***Handicaps***

### **132. Making a handicap**

132.1 For the purposes of these Rules

- a Handicapper is a person appointed by the Authority to be a handicapper for one or more race meetings;
- a Handicap Rating is the number allocated to a horse by the handicapper on his assessment of that horse's performances.

132.2 In making a handicap in relation to a horse for the purposes of a Handicap Race, a Handicapper shall allot the weights to be carried by the horse in accordance with

- 132.2.1 the Handicap Rating of the horse, and
- 132.2.2 such of the following as apply to the race

- 132.2.2.1 where the race is a flat race, Rules 31 to 36,
- 132.2.2.2 where the race is a steeple chase or hurdle race, Rules 42 to 46,
- 132.2.2.3 where the race is for horses of more than one age, the appropriate weight for age allowances specified in Part 2, 3, 4 or 5 of Schedule 12,
- 132.2.2.4 where the race is for horses of a single age and any horse running in the race is foaled in the southern hemisphere in the period starting on July 1st and ending on December 31st, a deduction which represents the difference between, on the one hand, the appropriate weight for age allowance specified in Part 2 or 3 of Schedule 12 and, on the other, the appropriate weight for age allowance specified in Part 4 or 5 of that Schedule, and
- 132.2.2.5 where the race is for horses of more than one age, horses foaled in the period starting on January 1st and ending on June 30th in the southern hemisphere shall receive the appropriate weight for age allowances specified in Part 2 or 3 of Schedule 12.

### **133. Publication of handicap ratings**

133.1 Handicap ratings shall be published on the Racing Administration Internet Site.

133.2 For the purpose of determining whether a horse qualifies for a race, a Handicap Rating which is published on Tuesday of a particular week shall, unless the Authority directs otherwise, apply for races closing on that Tuesday through to the following Monday.

### **134. Publication of handicap weights for a race**

134.1 The weights for a Handicap Race which closes more than 6 days before running shall be published on the Racing Administration Internet Site and in The Racing Calendar.

134.2 The weights for any other Handicap Race shall be published on the Racing Administration Internet Site.

134.3 A weight may not be altered after publication except in accordance with Paragraphs 134.4 and 134.5.

134.4 The Authority may permit

- 134.4.1 a weight to be added for a horse where the horse was duly entered for the race but its name or weight was omitted from the Handicap, or
- 134.4.2 a correction to be made where an incorrect weight has been published.

134.5 But no change may be made under Paragraph 134.4 to published weights after the appropriate time, determined as follows

- 134.5.1 where the race has a Scratching Deadline, the appropriate time is noon on the Friday before the first Scratching Deadline, and
- 134.5.2 where there is no Scratching Deadline, not later than 9.00a.m. on the day of declaration to run under Rule 89.

### ***Penalties, allowances and qualifications***

### **135. Penalties**

135.1 Schedule 13 contains provisions which have effect for the purposes of calculating penalties to be carried for winning a race.

135.2 Subject to Paragraphs 2 and 3 of Schedule 13, penalties for winning a race of a specific class shall be taken to mean the winning of a race as listed by the class specified in Schedule 2.

### **136. Races relevant to calculation of penalties, allowances and qualifications**

136.1 For the purpose of calculating any allowance or qualification for a race, the term pattern races shall be taken to include all races which are regarded as, or are assessed as, being the equivalent of pattern races under Paragraphs 3 and 4 of Schedule 13.

136.2 In respect of any flat race, no account shall be taken in calculating any penalty or allowance of

- 136.2.1 any Private Sweepstakes,
- 136.2.2 the Newmarket Challenge Whip,
- 136.2.3 any Match,
- 136.2.4 any steeple chase or any hurdle race run under these Rules or the Rules of a Recognised Racing Authority,
- 136.2.5 any National Hunt Flat Race run in Great Britain or Ireland, or
- 136.2.6 any French AQPS race.

136.3 In respect of any flat race, no account shall be taken in calculating the qualification of a horse of

- 136.3.1 any Private Sweepstakes other than the Newmarket Challenge Whip,
- 136.3.2 any Match,
- 136.3.3 any steeple chase or any hurdle race run under these Rules or the Rules of a Recognised Racing Authority,
- 136.3.4 any National Hunt Flat Race run in Great Britain or Ireland, or
- 136.3.5 any French AQPS race.

136.4 In respect of any steeple chase or hurdle race, no account shall be taken in calculating any penalty or allowance or the qualification of a horse of

- 136.4.1 any flat race run under these Rules or the Rules of a Recognised Racing Authority,
- 136.4.2 any Private Sweepstakes,
- 136.4.3 the Newmarket Challenge Whip,
- 136.4.4 any Match,
- 136.4.5 any National Hunt Flat Race run in Great Britain or Ireland, or
- 136.4.6 any French AQPS race.

136.5 In respect of any race, if a horse

- 136.5.1 has not won a race,
- 136.5.2 has not won a race before a particular date, or
- 136.5.3 has not won a race of a specified value or distance,

no account shall be taken in calculating any penalty or allowance or the qualification of the horse of any wins in a Private Sweepstakes, other than the Newmarket Challenge Whip, or in a Match.

### **137. Determining the value of a race**

137.1 For the purpose of calculating any penalty, allowance or qualification for a race, a horse shall be regarded as having won the sum of the total amount of Prize Money **and Appearance Money** which, in accordance with Rule 118 **and Schedule 11**, is distributed to the Owner, Trainer, Rider and stable of the horse.

137.2 The amount won is to be determined after

- 137.2.1 in the case of a dead-heat, dividing the prizes in accordance with Rule 120, and
- 137.2.2 making any other adjustment required by Rule 121 or 122.

137.3 For the purposes of this Rule, no account shall be taken of

- 137.3.1 any payment not specifically related to the placing or performance of the horse in the race, including any supplementary payment which is conditional on circumstances additional to the horse's performance,
- 137.3.2 any prize which is given in the conditions of the race to a Trainer, Rider, stable or breeder other than as provided for in Rule 118 **and Schedule 11**,
- 137.3.3 any payment under Rule 131 in respect of the sponsorship of number cloths, or
- 137.3.4 any VAT on a payment under Paragraph 137.3.2 or 137.3.3.

137.4 The value of a race to the winner shall be published in The Official Form Book.

137.5 A Challenge Cup is not estimated in the value of a race.

137.6 **The Official Form Book** is the work designated as the Official Form Book by the Authority.

### **138. Determining the value of races and sales outside Great Britain and Channel Islands**

138.1 This Paragraph applies for the purpose of calculating

- 138.1.1 the value of races run out of Great Britain and the Channel Islands, and
- 138.1.2 the value of horses sold at public auction out of Great Britain and the Channel Islands (exclusive of any tax).

138.2 In assessing distances of races in kilometres, 200 metres shall be taken to equal one furlong.

138.3 The rates of exchange to the £ (sterling) to be used for the year in which the race was run or the horse sold shall be such as the Authority may specify.

138.4 The Authority may at any time

- 138.4.1 vary these rates of exchange, and
- 138.4.2 fix a ratio of points to money in respect of races run in countries where points rather than money are used to indicate the importance of a race.

138.5 The rates of exchange which are for the time being applicable are set out in Schedule 14.

### ***Weight allowances for horses***

### **139. Weight allowances for horses**

139.1 All weight allowances for a horse are cumulative unless otherwise specified.

139.2 Fillies and mares shall, unless the Authority directs otherwise, receive the following allowances

- 139.2.1 5lb in respect of a flat race which is not a flat Pattern Race, is not a flat Classified Stakes or is not a Rating Related Maiden Race;
- 139.2.2 3lb in respect of a flat Pattern Race, a flat Classified Stakes of class 1, 2 or 3;
- 139.2.3 7lb in respect of a steeple chase, hurdle race or National Hunt Flat Race which is not a Classified Stakes;
- 139.2.4 3lb in respect of a steeple chase or hurdle race Classified Stakes.

139.3 Subject to the minimum weights permitted for the race by Rules 29.2 or 41.2, horses foaled in the period starting on July 1st and ending on December 31st in the southern hemisphere shall receive the following allowances

- 139.3.1 in respect of a race for horses of more than one age, the appropriate southern hemisphere weight for age allowance in Part 4 or 5 of Schedule 12, and
- 139.3.2 in respect of a race for horses of a single age, a deduction of weight that represents the difference between, on the one hand, the appropriate weight for age allowance specified in Part 2 or 3 of Schedule 12 and, on the other, the appropriate weight for age allowance specified in Part 4 or 5 of that Schedule.

139.4 Paragraphs 139.2 and 139.3 do not apply to any Handicap.

139.5 No horse shall receive an allowance of weight, nor be relieved from extra weight, for having been beaten in one or more races, but this does not prohibit Maiden allowances or allowances to horses that have not won within a specified time, or have not won races of a specified value or distance.

139.6 No allowance of weight shall be made to any horse

139.6.1 for being the produce of a stallion or mare whose produce never won a race,

139.6.2 for being the first produce of a mare,

139.6.3 for being the produce of a stallion covering at, or under, a particular fee, or

139.6.4 for being half-bred.

### ***Weight allowances for riders***

#### **140. Weight allowances in flat races**

140.1 The Riders who may claim a weight allowance under this Rule are

140.1.1 an Apprentice Jockey,

140.1.2 any Overseas Rider whose authorisation to ride corresponds to an Apprentice Jockey's licence, and

140.1.3 any other Person, irrespective of age, who rides in a flat race in accordance with these Rules and who has not ridden the number of winners specified in Paragraph 140.2.1, 140.2.2 or 140.2.3.

140.2 In a flat race to which Paragraph 140.3 applies, a Rider listed in Paragraph 140.1 is entitled to claim a weight allowance of

140.2.1 7lb until he has won twenty races,

140.2.2 after that, 5lb until he has won fifty races, and

140.2.3 after that, 3lb until he has won ninety-five races.

140.3 This Paragraph applies to any flat race which is

140.3.1 a Handicap other than one classified as a Listed Race,

140.3.2 a Selling Race, or

140.3.3 a Weight-for-Age Race classed 3, 4, 5, 6 or 7 in accordance with Schedule 2,

but it does not apply if the race is confined to the Persons listed in Paragraph 140.1.

#### **141. Weight allowances in steeple chases, hurdle races and national hunt flat races open to professional riders**

141.1 In a race to which Paragraph 141.3 applies, a Rider is entitled to claim a weight allowance of

141.1.1 7lb until he has won twenty races,

141.1.2 after that, 5lb until he has won forty races, and

141.1.3 after that, 3lb until he has won seventy-five races.

141.2 In a race to which Paragraph 141.3 applies, a Conditional Jockey is, until he has won five races, also entitled to claim an additional allowance of 3lb when riding a horse trained by his employing Trainer.

141.3 This Paragraph applies to any steeple chase, hurdle race or National Hunt Flat Race which is open to professional Riders and which is

141.3.1 a Handicap other than the Grand National Steeple Chase,

141.3.2 a Selling Race,

141.3.3 a Weight-for-Age Race classed 3, 4 or 5 in accordance with Schedule 2, or

141.3.4 a National Hunt Flat Race classed 3, 4, 5 or 6 in accordance with Schedule (F)2,

but it does not apply if the race is confined to Conditional Jockeys and equivalent Overseas Riders.

#### **142. Weight allowances in steeple chases, hurdle races and national hunt flat races confined to amateur riders**

142.1 In a race to which Paragraph 142.2 applies, an Amateur Rider is entitled to claim a weight allowance of

142.1.1 7lb until he has won five races,

142.1.2 after that, 5lb until he has won ten races, and

142.1.3 after that, 3lb until he has won twenty races.

142.2 This Paragraph applies to any steeple chase, hurdle race or National Hunt Flat Race which is confined to Amateur Riders and which is

142.2.1 a Handicap,

142.2.2 a Selling Race, or

142.2.3 a Weight-for-Age Race classed 3, 4, 5 and 6 in accordance with Schedule 2.

#### **143. Rider's allowances: supplementary provisions**

143.1 For the purposes of this Rule, **Rider's Allowance** means an allowance in accordance with Rule 140, 141 or 142.

143.2 Nothing in this Part restricts the races to be taken into account in

143.2.1 calculating any rider's allowance under Rules 140 to 142, or

143.2.2 determining qualification for any race which is confined to Apprentice Jockeys, Conditional Jockeys or Amateur Riders on the flat,

and, accordingly, all races must be taken into account for those purposes apart from Arabian horse races and point to point steeple chases.

143.3 Any Rider who claims a rider's allowance must ensure that he claims the correct weight.

143.4 Any Rider who is entitled to claim a rider's allowance must, within 48 hours of his return to Great Britain, inform The Racing Calendar Office of any winners he has ridden in another country.

143.5 Where an Overseas Rider who would otherwise be entitled to claim a rider's allowance in a race has been declared as the Rider of a horse under Rule 92, he may not claim the allowance unless, by the time determined in accordance with Rule 92 for making declarations of riders, he or the Trainer of the horse (or the trainer's Authorised Agent) has provided The Racing Calendar Office with the Rider's age and the details of any winners ridden by him.

143.6 Unless the Authority directs otherwise, a Rider must claim a rider's allowance to which he is entitled until 3 clear days after the day on which he reaches the maximum number of winners appropriate to the allowance.

So, for example, if he has on a Tuesday reached the maximum number of winners permissible, the rider's allowance can still be claimed on the immediately following Wednesday, Thursday and Friday, but not on the Saturday.

143.7 Where a weight allowance for a Rider is specified in the conditions of a race, but the race is not within Rule 140, 141 or 142, a Person who, 3 clear days before the race, is entitled to claim the weight allowance shall remain entitled to do so irrespective of any winners he may ride in those 3 days.

So, for example, if he has ridden the winner of a race on a Tuesday, the weight allowance specified in the conditions of the race can still be claimed on the immediately following Wednesday, Thursday and Friday, but not on the Saturday.

143.8 Any Rider who is entitled to claim a rider's allowance must do so, unless the Authority has directed that no rider's allowance will be claimed by a particular Rider in flat races or steeple chases, hurdle races or National Hunt Flat Races.

## **PART 9 - MISCELLANEOUS**

### **144. Opening times of Racing Calendar Office**

144. Schedule 15 contains the opening times of The Racing Calendar Office for the making of entries, declarations to run and related transactions.

## **PART 10 - SUPPLEMENTARY**

### **145. Notices, directions and other documents**

145. Unless the context otherwise requires, Rules (A)105 (the giving of notices etc), (A)106 (the giving of notices etc in electronic form) and (A)107 (deemed service of documents) have effect in relation to any notices, directions and documents which are authorised or required to be given or sent under the provisions.

### **146. Computation of time**

146. Except where these Rules provide otherwise, when the specified period for doing any act at the Authority's Office ends on a day on which the office is closed, that act shall be done in time if done by 5.00pm on the next day on which the Authority's Office is open.

### **147. Arrangement of Rules into Manuals**

147.1 These Rules are made up of the following Manuals

The General Manual (A)

The Race Manual (B)

The Trainer Manual (C)

The Rider Manual (D)

The Horse and Owner Manual (E)

The Race Administration Manual (F)

147.2 Each Manual is of equal standing and the fact that the Rules are divided into Manuals does not affect the weight of any requirements specified in each Manual.

### **148. Meaning of rider**

148. Unless the context otherwise requires, any reference in this Manual to rider (without more) is to

148.1 a Jockey,

148.2 a person who holds an amateur rider's permit granted by the Authority, or

148.3 an Overseas Rider,

who is not suspended from riding by the Authority or by a Recognised Racing Authority.

### **149. References to jockeys**

149.1 In this Manual, unless the context otherwise requires, **Jockey** (without more)

149.1.1 means a Person who holds a Jockey's licence granted by the Authority, and

149.1.2 includes an Apprentice Jockey or a Conditional Jockey.

149.2 For these purposes

**Apprentice Jockey** means a Person who holds an apprentice jockey's licence granted by the Authority (see Rule (D)3.4 (licences to ride granted by the Authority));

**Conditional Jockey** means a Person who holds a conditional jockey's licence granted by the Authority (see Rule (D)3.4 (licences to ride granted by the Authority)).

### **150. References to other types of rider**

150.1 In this Manual, unless the context otherwise requires, **Overseas Rider**

150.1.1 means a Person who is authorised by a Recognised Racing Authority to ride under the rules of that Recognised Racing Authority (whether by grant of a licence, permit or otherwise), but

150.1.2 does not include any Person who also holds a jockey's licence or an amateur rider's permit granted by the Authority.

150.2 In this Manual, unless the context otherwise requires

**Amateur Rider** means

150.2.1 a Person who holds an amateur rider's permit granted by the Authority, or

150.2.2 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to such a permit and who rides in a race under these Rules;

**Professional Rider** means

150.2.3 a Jockey, or

150.2.4 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to a jockey's licence granted by the Authority and who rides in a race under these Rules.

### **151. Meaning of owner in relation to a horse trained in Great Britain**

151. Unless the context otherwise requires, references in this Manual to the **Owner**, in relation to a horse trained in Great Britain

151.1 in relation to a horse in the ownership of Sole Owner, are to the individual,

151.2 in relation to a horse in the ownership of a Recognised Stud Company, are to the nominee registered under Rule (E)36 (recognised stud company to act through registered nominee),

151.3 in relation to a horse in the ownership of a Recognised Company, are to the company,

151.4 in relation to a horse in the ownership of a Recognised Business Partnership, are to the Business Partners within the meaning of Rule (E)48 (recognised business partnership, business partners and owner of horse),

151.5 in relation to a horse in the ownership of a Syndicate, are to each Syndicator,

151.6 in relation to a horse subject to a Partnership, are to each Partner,

151.7 in relation to a horse in the ownership of a Racing Club, are to each Club Manager, and

151.8 in relation to a horse subject to any leasing or other arrangement which does not fall within the provisions of Paragraphs 151.1 to 151.7, are to the lessee or lessees under the arrangement,

and any such reference to an owner also includes a part-owner.

## 152. Other definitions

### 152.1 Definitions of

152.1.1 terms used in only one Rule are set out in that Rule,

152.1.2 terms used throughout this Manual are set out in Rules 148 to 151 and in the following provisions of this Rule.

152.2 In this Manual, unless the context otherwise requires

**All Weather Track** means a track with a racing surface other than turf;

**Approved Laboratory** has the meaning given in Rule 66;

**Arrears** means any sum due to be paid by virtue of these Rules and includes any unpaid stake;

**Authorised Agent**

152.2.1 in the case of a recognised company, means the registered agent of the company under Rule (E)41 (recognised company to act through registered agent), and

152.2.2 otherwise, means any person authorised by the Authority to act as agent or sub-agent for another person in exercise of the Authority's powers under Rule (A)94;

**the Authority** means the British Horseracing Authority;

**the Authority's Office** means the office for the time being appointed by the Authority as the office of the British Horseracing Authority (the present address is 75 High Holborn, London, WC1V 6LS);

**Business Partner** shall have the meaning given to it in Rule (E)48;

**Clear Day** means, in determining the number of days:

152.2.2A The day on which the period begins; and

152.2.2B If the end of the period is defined by reference to an event, the day on which that event occurs

are excluded.

**Clear Working Day** means, in determining the number of days:

152.2.2C The day on which the period begins; and

152.2.2D If the end of the period is defined by reference to an event, the day on which that event occurs; and

152.2.2E Saturday, Sunday, Bank Holiday, or day on which the Authority's office is not open for non-automated commercial business

are excluded.

**Club Manager** means the individual appointed in accordance with Rule (E)73F.4

**Cup** means any prize not given in money;

**Disciplinary Action** means any action taken by the Stewards under Part (B)1 (the Stewards) or by the Authority under Part (A)6 (disciplinary action);

**Disqualified Person** means a person who is for the time being a disqualified person pursuant to

152.2.3 these Rules,

152.2.4 any Rules of Racing previously in force,

152.2.5 the Regulations for Point-to-Point Steeple Chases, or

152.2.6 the Regulations for Arabian Horse Racing;

**Field Size Limit**, in relation to a race, means the limit on field size which may need to be applied to a race in accordance with the provisions of Schedule 16 in order to restrict the number of declared runners so as not to exceed the stabling capacity for the meeting;

**General Instructions** means instructions relating to one or more racecourses which are issued to racecourse managing executives by the Authority;

**Handicap Race** has the meaning given in Rule 3;

**Handicapper** has the meaning given in Rule 132;

**Handicap Rating** has the meaning given in Rule 132;

**Jockey's Association Pension Fund** means such organisation as the Authority may from time to time specify as being the organisation which it considers best represents the interests of jockey's pensions;

**Jockey's Valets' Attendance Fund** means such organisation as the Authority may from time to time specify as being the organisation which it considers best represents the interests of jockey's valets;

**Licensed Trainer** means a person who holds a licence to train which is granted by the Authority or a person whose authorisation by a Recognised Racing Authority corresponds to such a licence;

**Maximum Figure**, in relation to a race, means the maximum number of horses permitted to start in the race, as specified in the conditions of the race;

**Nominator**, in relation to a horse which is entered for a race, means the person in whose name the horse is entered;

**Owner** has the meaning given in Rule 151;

**Partner** means an individual or entity whose name is registered in the register of Owners in accordance with Rule (E)67;

**Partnership** means an arrangement through which a horse is registered in accordance with Rule (E)67;

**Person** includes a body corporate;

**Prescribed** means prescribed by the Authority;

**Racecourse Property** means any property owned, used or controlled by the racecourse managing executive;

**Racing Administration Internet Site** means the internet based administration service provided by the Authority;

**The Racing Calendar** means the work published under that name, including on the Racing Administration Internet Site, and includes any references on that site to the Racing Bulletin which is authorised by the Authority;

**The Racing Calendar Office** means the office for the time being appointed by the Authority as the Racing Calendar Office (the present Racing Calendar Office is at Weatherbys Ltd., Sanders Road, Wellingborough, Northamptonshire, NN8 4BX);

**Racing Club** means an arrangement through which a horse is registered in accordance with Rule (E)73F;

**Recognised Business Partnership** means a business partnership which is for the time being registered in the register of Owners under Rules (E)47 to (E)52;

**Recognised Company** means a company which is for the time being registered in the register or owners under Rules (E)39 to (E)46;

**Recognised Stud Company** has the meaning given in Rule (E)35;

**Recognised Racing Authority** means a Racing Authority of a country which is for the time being recognised by the Authority under Part (A)8 (specific functions of the Authority);

**Register of Stable Employee Names** means the register of the names of employees of a trainer, which is maintained by the Authority under Part (A)3 (licences, permits and registration);

**Registered Agent**, in relation to a recognised company, means an agent of the company who is for the time being registered under Rule (E)41 (recognised company to act through registered agent);

**these Rules** means all the Rules of Racing, including provisions which are contained in another Manual (see Rule 147);

**Safety Factor**, in relation to a race, means the greatest number of horses which may be started in the race, as determined by the Inspector of Courses on an inspection of the racecourse under Rule 16;



**the Scheme** means the Breeders' Prize Scheme;

**Scratching** means the withdrawal of a horse from a race under Rule 85 or 95;

**Scratching Deadline** means the stage that may be specified in the conditions of any race which closes more than 6 days before running, at which time a further stake payment will be incurred unless a scratching has been made before the specified deadline date and time;

**Sole Owner** means an individual whose name is registered in the register of Owners in accordance with Rule (E)30A;

**Stable Staff Association** means such organisation as the Authority may from time to time specify as being the organisation which it considers best represents the interests of stable employees;

**Stabling Capacity**, in relation to any meeting, means the total number of racecourse stables in the official racecourse stables which are available to runners on a specified raceday, as notified by the racecourse managing executive;

**Stake and Stakeholder** have the meaning given in Rule 107;

**Syndicate** means an arrangement through which a horse is registered in accordance with Rule (E)73A;

**Syndicator** means the individual appointed in accordance with Rule (E)73A.4;

**Time of Entry**, in relation to entries for a race

152.2.7 means the time fixed for closing as advertised in The Racing Calendar, and

152.2.8 does not include any time set under Rule 77 for the acceptance of additional entries as a result of re-opening races at the entry stage;

**Trainer** (see also licensed trainer)

152.2.9 means a person who holds a licence or permit to train which is granted by the Authority or a person whose authorisation by a Recognised Racing Authority corresponds to such a licence or permit; and

152.2.10 includes any person who is treated as a trainer in accordance with Rule (C)1.2 (horse trained solely for hunters' steeple chases, the Grand Military Gold Cup or the Royal Artillery Gold Cup);

**Unrecognised Meeting** means a meeting which

152.2.11 if it is held in Great Britain, has not been recognised and granted fixtures by the Authority, and

152.2.12 if it is held elsewhere, has not been authorised by a Recognised Racing Authority,

**VAT** means value added tax for the time being in force;

**Veterinary Officer** means a registered veterinary surgeon engaged by the Authority;

**Veterinary Surgeon** Veterinary Surgeon means any qualified veterinary practitioner appropriately registered to practice.

152.3 Any reference in this Manual to a horse being trained privately are to training in the circumstances specified in Rule (C)1.1.3 (person without licence or permit training a horse solely for the purpose of Hunters' Steeple Chases, the Grand Military Gold Cup or the Royal Artillery Gold Cup).

152.4 Words importing the masculine gender include the feminine.

152.5 The singular includes the plural (and vice versa).

## SCHEDULES

### Schedule 1 - The Racing Seasons

#### Flat racing

1.1 The Flat Season runs in any year from the day the Lincoln Handicap is programmed until the afternoon the November Handicap is programmed, or such earlier or later dates as the British Horseracing Authority shall decide.

1.2 In 2017, the Flat Season runs from April 1st up to and including November 11th.

2.1 The Winter Flat Season runs from the first Flat fixture that commences following the afternoon the November Handicap is programmed until the final fixture commencing before the day the Lincoln Handicap is programmed, or such earlier or later dates as the British Horseracing Authority shall decide.

2.2 In 2017/2018, the Winter Flat Season runs from November 11th, 2017 up to and including March 24th, 2018.

#### Steeple chasing and hurdle racing

3.1 The Jump Season runs in any year from the first day after the Sandown Park Gold Cup Meeting is programmed until the final day that meeting is programmed in the following year.

3.2 The Jump Season runs in 2016/2017 from April 24th, 2016 up to and including April 29th, 2017.

3.3 The Jump Season runs in 2017/2018 from April, 30th, 2017 up to and including April 28th, 2018.

#### Hunters' Steeple Chase Season

**4. The Hunters' Steeple Chase Season runs in any year from January 1st up to and including the final Hunters' Steeple Chase of that year.**

#### Past seasons

5. The past racing seasons were as previously published in these Rules and before these Rules came into force were as published in The Racing Calendar and The Orders and Rules of Racing.

## Schedule 2 - Classification of Races

### Part 1 - Flat Races

1. With effect from **January 1st, 2016** all flat races run in Great Britain shall be classified as set out in Table A.

TABLE A				
		3-y-o + 2016	2-y-o + 2016	
Class 1				
	Group 1	£200,000	£150,000	Min Value
	Group 2	£90,000	£65,000	Min Value
	Group 3	£60,000	£40,000	Min Value
	Listed (including those Listed Handicaps 96-110)	£37,000	£25,500	Min Value
Class 2				

	Heritage Handicaps	£100,000		Min Value
	Handicaps 0-105, 0-110 and Open	£45,000		Min Value
	Conditions Stakes			
	Handicaps 86-100, 91-105 and 96-110			
	Nursery Handicaps - Open			
	Classified Stakes 0-95			
	Novices' and Maidens	£19,000	£14,000	Min Value
Class 3				
	Conditions Stakes	£25,000	£19,000	Max Value
	Handicaps 76-90 and 81-95			
	Classified Stakes 0-85 to 0-90			
	Nursery Handicaps 0-90 and 0-95			
	Novices' and Maidens	£11,500	£10,000	Min Value
Class 4				
	Conditions Stakes	£12,500	£11,000	Max Value
	Handicaps 66-80 and 71-85			
	Classified Stakes 0-80			
	Nursery Handicaps 0-80 and 0-85			
	Novices'/Novice Auction/Novice Median Auction			
	Maidens/Maiden Auction/Median Auction Maiden			
	Claimers and Sellers	£7,250	£6,100	Min Value
Class 5				
	Handicaps 56-70 and 61-75	£8,000	£7,000	Max Value
	Nursery Handicaps and Classified Stakes 0-70 to 0-75			
	Novices'/Novice Auction/Novice Median Auction			
	Maidens/Maiden Auction/Median Auction Maiden/Rating Related Maiden			
	Claimers and Sellers	£4,500	£4,500	Min Value
Class 6				
	Handicaps 46-60 and 51-65	£5,000	£5,000	Max Value
	Nursery Handicaps and Classified Stakes 0-60 and 0-65			
	Novice Auction/Novice Median Auction			
	Maiden Auction/Median Auction Maiden/Rating Related Maiden			
	Claimers and Sellers	£3,500	£3,500	Min Value
Class 7				
	Handicaps 45-50			Max Value
				Min Value
* All Races Total Prize Fund				
NB1: all Handicaps of 13.5f and above will have 20lb weight-ranges, i.e. Class 2 will be 86-105 and 81-100, Class 3 76-95 and 71-90 etc, at all times.				
NB2: all Handicaps will have 20lb weight-ranges during the months of June, July and August.				
NB3: No race to be run for less than £2,250.				

#### Flat Races - Additional Information

2. Note the provisions of Paragraph 2 of Schedule 13 regarding the treatment of certain race types for penalties.

3.1 Subject to Paragraph 3.2 of this Schedule, flat races run in the period starting on March 1st, 1991, and ending on June 30th, 2008, and all flat races run outside Great Britain before September 1st, 2004, were classified as previously published in The Racing Calendar and the Orders and Rules of Racing.

### 3.2 Flat races, including those run outside Great Britain, which

3.2.1 were previously allocated a Class and were run in the period starting on March 20th, 2003, and ending on August 31st, 2004, or  
 3.2.2 were previously allocated a Category and were run in the period starting on September 1st, 2004, and ending on March 25th, 2005,

have been re-classified in accordance with Table B.

**TABLE B**

Class or Category A - Class 1  
 Class or Category B - Class 2  
 Class or Category C - Class 3  
 Class or Category D - Class 4  
 Class or Category E - Class 5  
 Class or Category F - Class 6  
 Class or Category G - Class 6  
 Class or Category H - Class 7

### 4. Flat races run outside Great Britain from March 26th, 2005, shall be classified in accordance with Table C.

TABLE C	
Classified as	
Pattern and Listed races (as designated by Schedule 13)	Class 1
Handicaps (by penalty value)	
£20,000 or more	Class 2
£12,000 to £19,999	Class 3
£6,250 to £11,999	Class 4
£3,750 to £6,249	Class 5
Below £3,750	Class 6
Other races (by penalty value)	
£15,000 or more	Class 2
£10,000 to £14,999	Class 3
£6,250 to £9,999	Class 4
£3,750 to £6,249	Class 5
Below £3,750	Class 6

### Part 2 - Steeple Chases, Hurdle Races and National Hunt Flat Races

5. With effect from **January 1st, 2016**, all steeple chases, hurdle races and National Hunt Flat Races run in Great Britain shall be classified as set out in Table D.

TABLE D							
Classes:		Steeple Chases 2016	Novices' Steeple Chases 2016	Hurdles 2016	Juvenile & Novices' Hurdles 2016	National Hunt Flat Races 2016	
Class 1							
	Grade 1	£100,000	£45,000	£75,000	£40,000	£25,000	Min Value
	Grade 2	£50,000	£32,000	£40,000	£30,000	£20,000	Min Value
	Grade 3	£40,000		£35,000	£35,000		Min Value
	Listed Races	£27,500	£22,500	£22,000	£20,000	£20,000	Min Value
Class 2							
	Open Handicaps	£22,500		£18,500			Min Value
	Weight-for-age Conditions Races						

	Handicaps 0-145+						
	Open Novices' Handicaps						
	Weight-for-age Juvenile, Novices' & Beginners' Races						
	National Hunt Flat Races						
	Hunters' Steeple Chases	£18,500		£15,000		£14,000	Min Value
Class 3							
	Open Novices' Handicap Steeple Chases	£25,000		£20,000		£13,999	Max Value
	Handicaps & Novices' Handicaps 0-125 to 0-140						
	Weight-for-age Novices', Beginners, Juvenile & Maiden Races						
	National Hunt Flat Races						
	Hunters' Steeple Chases	£10,000		£8,300		£8,300	Min Value
Class 4							
	Handicaps & Novices' Handicaps 0-105 to 0-120	£11,500		£10,000		£8,299	Max Value
	Weight-for-age Novices', Beginners, Juvenile & Maiden Races						
	Weight-for-age Claiming & Selling Races						
	National Hunt Flat Races						
	Hunters' Steeple Chases	£5,800		£5,000		£5,000	Min Value
Class 5							
	Handicaps & Novices' Handicaps 0-100	£7,000		£6,000		£4,999	Max Value
	Weight-for-age Maiden Races						
	Weight-for-age Claiming Races, Selling Races & Selling Handicaps						
	National Hunt Flat Races						
	Hunters' Steeple Chases	£3,800		£3,500		£3,500	Min Value
Class 6							
	National Hunt Flat Races	£3,799				£3,499	Max Value
	Hunters' Steeple Chases	£1,500				£2,400	Min Value
"All Races - Total Prize Fund"							

### **Steeple Chases, Hurdle Races and National Hunt Flat Races - Additional Information**

6. Any steeple chases, hurdle races and National Hunt Flat Races run before January 1st, 1995 are unclassified for the purpose of penalties.

Note also the provisions of Paragraph 3 of Schedule 13 regarding the treatment of certain race types for penalties.

7.1 Subject to Paragraph 7.2 of this Schedule

7.1.1 steeple chases, hurdle races and National Hunt Flat Races which were run in the period starting on January 1st, 1995 and ending on June 30th, 2008, and

7.1.2 all such races run outside Great Britain in the period starting on January 1st, 2000 and ending on December 31st, 2002,

were classified according to different values as previously published in The Racing Calendar and the Orders and Rules of Racing.

7.2 Steeple chases, hurdle races and National Hunt Flat Races run in the period starting on January 1st, 2004 and ending on December 31st,

2005, including those run outside Great Britain, which were previously allocated a Class, have been re-classified in accordance with Table E.

#### TABLE E

Class A - Class 1  
 Class B - Class 2  
 Class C - Class 3  
 Class D - Class 3  
 Class E - Class 4  
 Class F - Class 4  
 Class G - Class 5  
 Class H - Class 6

8. Steeple chases, hurdle races and National Hunt Flat Races run outside Great Britain from January 1st, 2006 shall be classified in accordance with Table F.

TABLE F	
Classified as	
Pattern and Listed Races run in Ireland	Class 1
Other Steeple Chases (by penalty value)	
£25,000 or more	Class 1
£12,500 to £24,999	Class 2
£7,500 to £12,499	Class 3
£5,000 to £7,499	Class 3
£3,750 to £4,999	Class 4
Below £3,750	Class 4
Other Hurdle Races (by penalty value)	
£17,500 or more	Class 1
£10,000 to £17,499	Class 2
£6,500 to £9,999	Class 3
£4,500 to £6,499	Class 3
£3,250 to £4,499	Class 4
Below £3,250	Class 4
Irish National Hunt Flat Races (excluding Pattern and Listed races run in Ireland)	Class 6
Any jump races run before January 1st, 1995 are unclassified for the purpose of penalties	

#### Schedule 3 - Races Permitted to Divide

1.1 Paragraphs 2 to 5 of this Schedule specify categories of races which are permitted to divide, subject to the provisions of Rules 27, 28, 39 and 40.

2.1 Subject to Paragraph 2.2, at all Afternoon Meetings, and at those Evening or Twilight Meetings outside the period when Evening Meetings on turf are programmed,

2.1.1 weight-for-age Flat races in which the Total Prize Fund is £10,000 or less.

2.1.2 Handicap Flat races in which the Total Prize Fund is £8,000 or less.

2.2 Paragraph 2.1 does not apply to Selling and Class 7 races.

3.1 Subject to Paragraph 3.2, weight-for-age and Handicap Hurdle races in which the Total Prize Fund is £7,000 or less.

3.2 Paragraph 3.1 does not apply to Selling races.

4.1 Subject to Paragraph 4.2, weight-for-age and Handicap Steeple Chases in which the Total Prize Fund is £7,000 or less.

4.2 Paragraph 4.1 does not apply to Selling races or Hunters' Steeple Chases.

5. National Hunt Flat races in which the Total Prize Fund is £5,000 or less.

#### Schedule 4 -Protocol for Claimants

1. This protocol has been designed to assist would-be claimants in a claiming race with the procedures that must be followed if they are to comply with Part 4.

Using the telephone claiming system

2. All claimants must use the telephone claiming system in order to submit a claim.

3. Only a claimant who holds a security code allotted to him for the purposes of Rule 55 can use the telephone claiming system.

4. A security code can be obtained on application to The Racing Calendar Office. The address is Racing Calendar Office, Weatherbys Ltd., Sanders Road, Wellingborough, Northamptonshire, NN8 4BX.

5. A security code will be issued to an applicant only if the applicant is subject to these Rules. Rule 2 of the General Manual (persons subject to the Rules) specifies the persons who are subject to the Rules.

6.1 The telephone claiming system is available

6.1.1 in claiming races, and

6.1.2 for claims in selling races.

7.1 The following persons are entitled to submit any claim by telephone to The Racing Calendar Office (Weatherbys)

- 7.1.1 an Owner who is registered under these Rules on the register of owners,
- 7.1.2 a Person who, in accordance with the requirements of Rule (E)90 (authorised agents of an Owner), is authorised by the Owner to make a claim on the Owner's behalf,
- 7.1.3 a Trainer,
- 7.1.4 an employee of a Trainer authorised to act on the Trainer's behalf,
- 7.1.5 where the claimant is a Recognised Company, a Registered Agent, or
- 7.1.6 where the claim is made on behalf of a multiple-ownership (other than a Recognised Company), a Person who
  - 7.1.6.1 is an Owner or a Trainer, and
  - 7.1.6.2 is nominated to make the claim on behalf of the multiple-ownership.

#### Weatherbys

8. Claims must be made to Weatherbys using the following telephone number: 01933 303080. In the event only that this number is unobtainable then claims should be made on the following telephone number 07554 069475. This number will only be used in the event that the first listed number is out of operation.

9. The telephone operating system is operational every time there is a claiming race or a selling race. This also includes races that taken place on an evening or on Bank Holidays.

10.1 A claimant needs to provide Weatherbys with the following information

- 10.1.1 the security code allotted to the claimant which is referred to above,
- 10.1.2 the name of the horse that is the subject of the claim,
- 10.1.3 whether the claim is a reclaim or a third-party claim,
- 10.1.4 method of payment, and
- 10.1.5 contact telephone number.

11. Weatherbys will telephone the successful claimant as soon as practicable after the outcome of the claim is known. If uncontactable, Weatherbys may at their absolute discretion make further attempts to contact the claimant but if these prove unsuccessful they will move on to the next claimant. In these circumstances the claimant will forfeit the right to the horse.

12. The phone-in system at Weatherbys is for receipt of claims only. Any person using the line for any purpose other than the submission of a claim or seeking the names of the other claimants in order to avoid a potential duplicate claim (see Paragraphs 25 to 29) will be disconnected. Information on claims received will be available on request after the claiming period has ended. Any such requests must be made during office hours on 01933 440077.

13. Claims cannot be withdrawn or altered unless the claimant subsequently realises that their withdrawal or alteration is required to avoid a contravention of these Rules.

#### When can you claim?

14. Claims are accepted on the day of the race but no later than 15 minutes after the start of the race. However, claims are accepted from claimants who have made contact with Weatherbys call centre before the deadline and have been placed in a queue.

15. No claim, regardless of whether it can be shown that the claimant had made contact with Weatherbys before the deadline, will be accepted after the ballot has been conducted or the successful claimant announced.

16. Under Rule 64, where the winner of a selling race is disqualified or its placing altered or the result is delayed due to the Judge consulting the photograph, the time for the selling and claiming will be authorised by the Stewards.

#### Ballot

17. If there are two or more claims for the same horse, the successful claimant will be determined by ballot at Weatherbys.

#### Payment

18. Claimants are expected to ensure that they have made the necessary financial arrangements to enable their claims to be accepted. All details should be readily to hand to enable the claim to be processed swiftly. In the event of any delay, Weatherbys may at their absolute discretion refuse the claim and move on to the next claimant. In these circumstances the claimant will forfeit the right to the horse.

19.1 Except where the claimant is a Licensed Trainer, Weatherbys have been instructed to accept third-party claims only if the caller authorises them to debit funds in the following circumstances and subject to the following conditions.

- 19.1.1 A debit will be accepted from the caller's Weatherbys bank account only if the account has sufficient cleared funds.
- 19.1.2 A debit will be accepted from the caller's sole invoice account with the Authority only if the account has sufficient net cleared credit arising from transactions under these Rules (a joint invoice account with the Authority may not be debited).
- 19.1.3 A debit will be accepted from a charge, credit or debit card supported by Amex, VISA or Mastercard which is in the name of the claimant only if the relevant financial institution sanctions the payment. Only one card may be used on a claim. A claim will not be accepted where payment is split across two or more cards or where it has not been possible to secure payment from the card details given initially. An additional 3% will be added to the total amount due where payment is made by charge or credit card, to cover the commission charges levied by the credit card issuer.

20.1 This Paragraph applies where a payment is made from a joint account by the method in Paragraph 19.1.2.

20.2 Unless the account is in the same sole name as the holder of the security code, the claimant will be required

- 20.2.1 to quote the account number,
- 20.2.2 to quote the name in which the account is held, and
- 20.2.3 to confirm that the appropriate authority has been lodged with Weatherbys for the caller to operate that account.

20.3 Whether such appropriate authority has been lodged will not be corroborated at the time of the call and, if it later transpires that the caller did not hold such authority, the caller may be deemed to have contravened a requirement imposed on him by these Rules.

21. A licensed trainer has two working days after the race to pay or secure the payment of the claim.

22.1 The staff manning the claims line will not have access to detailed account information and will therefore not be able to answer any questions about the account.

22.2. In the event of technical failure, and should Weatherbys be unable to corroborate the amount of funds held in either a Weatherbys or BHA Invoice account, or be unable to satisfy a payment in accordance with Paragraph 19.1.3, then payment will be assumed to have been taken until it can be confirmed as such at the next earliest opportunity.

#### Buyer's/ Seller's premiums

23. Any person who has made a successful claim must pay the appropriate premium. This is usually 5% of the advertised selling price for third-party claims and 10% for reclaims (together with VAT, where applicable). This may be varied by the racecourse for any race. Refer to the race conditions for details.

24. For reclaims, the premium is not levied if no competing claim for the horse is received.

#### Duplicate claims

25. Duplicate claims (i.e. submitting more than one claim per horse) are not permitted.  
26. Any form of collusion by any person (such as by asking other persons to make a claim or to procure any other claim submitted for the horse or to make a frivolous or deliberately misleading claim) shall be taken to be a contravention of a requirement imposed by these Rules.  
27.1 Accordingly

27.1.1 persons who are involved in multi-ownerships and who wish to make a claim should check that no other claim for the same horse has been made by another person involved in the same multi-ownership, and  
27.1.2 trainers should ensure that they and their authorised employees do not make more than one claim for the same horse.

28. Weatherbys screens for duplicate claims made under the same security code.

29.1 Rule 59.3 prevents a horse that is the subject of a successful unfriendly claim from being entered or run, and makes it an offence by the successful claimant and the new owner(s), if the horse is gifted, sold or leased to the original owner or to any of the unsuccessful claimants.

29.2 In order to avoid a breach of Rule 59.3 the names of all claimants will be published on the Authority's website and the Racing Administration Internet Site on the next working day.

Refusal to accept a claim

30. The Authority reserves the right to instruct Weatherbys to refuse any claim at any time.

Void races

31. In the event of a selling or claiming race being declared void, any claims in the race will be annulled.

Annulment of claims

32. Whenever a successful claimant cannot be contacted or payment cannot be secured, resulting in Weatherbys moving on to the next claimant, their claim will be annulled.

33. Any subsequent request for the annulment of a claim under the provisions of Rule (F)65 must be made to the Authority and until such time as the claim has been annulled by the Authority the successful claimant is responsible for the horse.

Responsibilities for claimed horse

33. Weatherbys will provide the successful claimant with the details of the relevant Racecourse Managing Executive. It is the successful claimant's responsibility immediately to contact the Racecourse Managing Executive to confirm travel arrangements and discuss the care of the horse in the interim.

34. The successful claimant is responsible for the claimed horse and is advised to have provisional travel arrangements in place before making a claim.

35. Racecourses that care for horses as referred to in Rule 63.3.2 may make a reasonable charge for this service. It should be noted that many racecourses are not able to provide for overnight stabling.

36. The successful claimant is advised to arrange insurance for the claimed horse as soon as possible.

37. The Clerk of the Scales will inform the trainer, or his representative, on the racecourse of any claimed horse. Weatherbys will also endeavour to contact the trainer of any claimed horse.

38. Any horse sold in a claiming or selling race is sold as it stands and is not returnable.

39. Claimants should be aware that an export certificate will need to be obtained in respect of any claimed horse which is trained outside Great Britain, before the horse will be permitted to run in this country.

Non-compliance

40.1 Failure by any person to comply with this Protocol may result in

40.1.1 disciplinary action being taken against the person (including withdrawal of any licence, permit or registration under these Rules);

40.1.2 the withdrawal of the person's security code;

40.1.3 in the event of non-payment of an amount due, inclusion of the person in the Forfeit List maintained by the Authority under Part (A)8 (specific functions of the Authority).

Discretion in operating the Protocol

41. Weatherbys, in overseeing and operating the claims process may, at their discretion and if the situation demands, amend the operation of the Protocol.

## **Schedule 5 - Requirements for horse to enter race**

*Requirements as to the horse*

1.1 The horse must be the produce of a natural service or covering.

1.2 The sire and dam of the horse must have been the produce of a natural service or covering.

1.3 The horse must

1.3.1 have had a natural gestation in the body of the mare in which it was conceived; and

1.3.2 have been delivered from that body.

1.4 Natural service or covering means the physical mounting of a mare by a stallion and which can include the immediate re-inforcement of the stallion's service or cover by a portion of the ejaculate produced by that stallion during that service or cover of that same mare.

2.1 A horse foaled in Great Britain, Ireland or the Channel Islands may be entered for a race only if its name is entered on the register of horse names in accordance with Chapter 2 of Part (E)2 (registration of names of horses trained in Great Britain).

2.2 Where the name of the horse has been changed, the change must have been made in accordance with the requirements of Chapter 2 of Part (E)2.

2.3 A horse which was foaled outside Great Britain, Ireland or the Channel Islands, and which is also trained or domiciled outside those countries, may be entered for a race only if its name is duly registered in the country of foaling.

3.1 This Paragraph applies to any horse which is trained in Great Britain.

3.2 The horse must have an identifying microchip.

3.3 Where the horse has an identifying microchip, the microchip must have been implanted by a Veterinary Surgeon.

3.4 At any time when a horse which has been declared to run is on Racecourse Property, a Veterinary Officer may examine it for confirmation of the presence of an identifying microchip.

4. The horse must satisfy any other requirement of these Rules that have effect as to the qualification of a horse to enter a race.

4A. The horse must not be the subject of a Non-Racing Agreement registered under Rule (E)26.

4B. In relation to a horse foaled in Great Britain, the application to register the horse must have been made to the Stud Book Authority of Great Britain and Ireland as follows

- 4B.1 for horses foaled in Great Britain on or after 1 January 2015, within twelve months of the horse's birth; or  
4B.2 for horses foaled in Great Britain on or after 1 January 2017, within six months of the horse's birth.

#### *Requirements as to ownership and training*

5. In relation to a horse trained in Great Britain, the name of the Owner must be entered in the register of Owners maintained by the Authority.  
6. In relation to a horse trained outside Great Britain, the name of the Owner must have been recorded in a corresponding manner by the Racing Authority of the country in which the horse is trained.  
7. Where the horse is in the ownership of a Recognised Company, the company must have a Registered Agent.  
8. The horse must not be in the ownership or part-ownership of a Disqualified Person.  
9.1 The horse must not be in the stable of, or under the care and management of a Disqualified Person.  
9.2 But Paragraph 9.1 of this Schedule does not apply where

- 9.2.1 the Disqualified Person is neither the Owner nor part-owner,  
9.2.2 his disqualification was incurred under Rule (A)66 (person whose name appears on the Forfeit List), and  
9.2.3 not more than fourteen days have elapsed since the date of publication of the disqualification in the Forfeit List.

#### *Requirements as to the race*

10. The horse must meet the conditions applying to the race.  
11.1 The horse must not be subject to a suspension imposed by the Authority or by a Recognised Racing Authority which prevents it from running in the race.  
11.2 For the purposes of Paragraph 11.1  
11.2.1 entries for races may be accepted during the period of suspension of the horse if the race is due to be run outside that period, and  
11.2.2 in the case of suspension by a Recognised Racing Authority, the suspension shall be regarded as immediately effective unless the Authority declares otherwise on the application of the Owner or Trainer of the horse.  
11.3 The Owner or Trainer may not make an application under Paragraph 11.2.2 unless all appeal procedures available under the Rules of the Recognised Racing Authority have been exhausted.  
11.4 The application must be made in writing to the Authority's Office before the end of the period of 48 hours starting with the day after that on which  
11.4.1 any appeal under the Rules of the Recognised Racing Authority was finally dismissed, or  
11.4.2 if there is no procedure for appeal, the order for suspension was made.

- 11.5 When that period ends on a day on which the Authority's Office is closed, the application will be made in time if done by 5.00pm on the next day on which the Authority's Office is open.  
11.6 The Authority may also consider an application if the Owner or Trainer satisfies the Authority that it was not possible to comply with Paragraph 11.4 or 11.5 and that the application was made at the earliest opportunity.  
12. Where the horse has been suspended by the Stewards under Rule (B)15 or by the Authority under Rule (A)75 from running, the horse may not be entered or start for any class 1 or 2 flat race Handicap in Great Britain until it has first run in Great Britain in a flat race other than a class 1 or 2 Handicap.  
13. The horse must not have run at an Unrecognised Meeting (other than one which has been granted an exemption under Rule (A)38 (participation at unrecognised meetings)).

(This list of requirements for entry for a race also appears in Schedule (B)2.)

### **Schedule 6 - Illustration of timetable for entries and declarations**

1. A 6 day entry cycle will apply for all non early closing races with the exception of those staged on a Saturday, for which a 5 day cycle will operate.  
2. The arrangements for entries and declarations are summarised in the Table below.  
3. Unless otherwise specified in the individual race conditions, the Scratching Deadline for early closing races and the deadline for initial entries for early closing races will be fixed at 12 noon on Tuesdays.  
4. Declarations of Riders will be fixed on the day set for declarations to run, unless otherwise specified in the individual race conditions.

\*Declarations to run and declarations of Riders for all Grade 1 non Novice Steeple Chases and hurdle races and non Juvenile hurdle races will take place 2 days before running. In addition, Grade 3 steeple chases and hurdle races, and such other races as the Authority may specify, MAY have 48 hour declarations, at the option of the Racecourse Managing Executive.

Note: The above arrangements may be subject to variation over the Christmas and New Year periods. Full details of any alterations will be published in advance in The Racing Calendar and on the Racing Administration Internet Site.

RACEDAY	ENTRIES (Confirmation of Entries/Supplementary Entries for early closing races.(Noon)	CONFIRMED WEIGHTS	DECLARATIONS FOR FLAT RACES (10.00 a.m.)	DECLARATIONS FOR JUMP RACES * (except for specified races) (10.00a.m.)
Monday	Tuesday	Wednesday	Saturday	Sunday
Tuesday	Wednesday	Thursday	Sunday	Monday
Wednesday	Thursday	Friday	Monday	Tuesday
Thursday	Friday	Saturday	Tuesday	Wednesday
Friday	Saturday	Sunday	Wednesday	Thursday



Saturday	Monday	Tuesday	Thursday	Friday
Sunday	Monday	Tuesday	Friday	Friday

## Schedule 7 - Notifying non-runners after declaration to run stage

### Notification

1.1 Where a horse which is declared to run under Part 6 is to be a non-runner, the Trainer must immediately notify that fact in accordance with Paragraphs 2 and 3 of this Schedule.

1.2 This Paragraph applies to any race in which a horse is a non-runner as a result of a double declaration permitted under Rule 98 or 99 as it applies to any other race.

### Notifying The Racing Calendar Office

2.1 The Trainer must, without delay and without exception, inform The Racing Calendar Office in accordance with Paragraph 2.2 where

- 2.1.1 the horse is not at the racecourse, or
- 2.1.2 the horse is at the racecourse but the Clerk of the Scales is not present.

2.2 The Trainer must contact The Racing Calendar Office,

- 2.2.1 by telephone (dedicated telephone number 01933 222377), or
- 2.2.2 through the Racing Administration Internet Site.

### Notifying the Clerk of the Scales

3.1 If the horse is at the racecourse and the Clerk of the Scales is present, the Trainer or his representative must notify the Clerk of the Scales.

3.2 The Trainer or his representative must sign a form indicating that the horse is a non-runner and hand it to the Clerk of the Scales.

3.3 The Clerk of the Scales shall

- 3.3.1 if he receives the form one hour or more before the time fixed for the race, notify The Racing Calendar Office (or cause it to be notified) of the details, and
- 3.3.2 cause an official announcement to be made at the racecourse.

### Onward notification

4. Where notification of a non-runner has been made in accordance with this Schedule

4.1 The Racing Calendar Office shall immediately communicate the information to such Persons and organisations as it considers appropriate,

- 4.2 an official announcement shall be made at the relevant racecourse,
- 4.3 the non-runner notification may not be cancelled, and
- 4.4 the horse shall not be permitted to run.

### Veterinary certificates

5. Paragraphs 6 and 7 of this Schedule apply for the purposes of Rule 97.2.

6.1 All veterinary certificates relating to non-runners must be received within 7 days of the race by the Disciplinary Department at the Authority's Office.

6.2 Each certificate must clearly state

- 6.2.1 the date, time and place of the veterinary examination,
- 6.2.2 the meeting and date for which the horse has been declared to run,
- 6.2.3 the abnormal clinical findings which render the horse unfit to race,

and must be signed by a Veterinary Surgeon.

6.3 The certificate must be completed by a Veterinary Surgeon who is unrelated to and independent of the Owner of the horse, the Trainer of the horse and any Person shown in the Register of Stable Employee Names as being employed by the Trainer.

7.1 When a horse is brought to the racecourse but is considered to be unfit to race only a veterinary certificate issued by a Veterinary Officer shall be acceptable.

7.2 Any such certificate will be forwarded to the Disciplinary Department at the Authority's Office.

8.1 Subject to a review carried out by the Authority at the end of **each quarter**, the restrictions in Paragraphs 8.2 and 8.3 apply where either of the following conditions are met in connection with the horses under the care of a Trainer.

8.2 For any Trainer, where the rate of non-runners in Flat races measured as a percentage of the Trainer's declarations in Flat races is **above the published threshold for Flat races**, the Authority may suspend the Trainer's ability to self-certify non-runners in accordance with Rule 97.3.

8.3 For any Trainer, where the rate of non-runners in Jump races measured as a percentage of the Trainer's declarations in Jump races is **above the published threshold for Jump races**, the Authority may suspend the Trainer's ability to self-certify non-runners in accordance with Rule 97.3.

## Schedule 8 - Elimination or balloting procedures

### Part A

1.1 Part A of this Schedule applies to all flat race Handicaps other than Heritage Handicaps, Nursery Handicaps and such other flat race Handicaps with an advertised rating range of more than 20lb.

1.2 Elimination will occur in the following sequence

1.2.1 Horses rated 1lb or 2lb above the upper rating limit specified in the conditions of the race, with horses rated 2lb above the upper rating limit eliminated ahead of those rated 1lb above the upper rating limit. Horses on the same weight will be eliminated in the published ascending order, such order having been determined by random balloting.

(For the avoidance of doubt, this does not apply to Class 1 and 2 races and does not include those horses within the rating range at time of entry whose rating has subsequently been revised by the addition of a penalty putting them above the Rating range of the race.)

1.2.2 Any horse entered which is below the lower rating range stipulated in the conditions of the race unless it has incurred a penalty which brings it within the rating range of the race. In addition, those with the lowest ratings will be eliminated first sequentially and where it is necessary to eliminate some but not all horses on the same rating, random balloting will apply. Where horses have incurred penalties, the amount of the penalty shall be added to the Handicap Rating in order to determine the elimination sequence.

1.2.3 Horses with the lowest weights and horses which have incurred a penalty bringing them within the rating range of the race - commencing at the bottom of the list but disregarding horses which have incurred penalties unless it is necessary to eliminate these horses at their new weights.

1.2.4 Horses with the same weights - where it is necessary to eliminate some but not all horses with the same weights, those that have incurred penalties will be eliminated first and those without penalties will be eliminated in the published ascending order, such order having been determined by random balloting. Penalised horses with the same weights will also be eliminated in the published ascending order determined by random balloting, unless the horses concerned have different penalties in which case the horse with the lower penalty will be given priority. Any horse previously omitted from a Handicap or given an incorrect weight as provided for under Rule 134 will be added randomly to any horses on the same weight and such horse will be subject to elimination, if necessary, in accordance with that revised random order.

1.3 Those horses with the same weight which have a Handicap Rating of 45 or below shall be published in descending rating order, with the order for those horses with the same rating being determined by random balloting.

#### *Part B*

2.1 Part B of this Schedule applies to all Heritage Handicaps, Nursery Handicaps and such other flat race Handicaps with an advertised rating range of more than 20lb and all steeple chase and hurdle race Handicaps other than the Grand National Steeple Chase and Novices' Handicap steeple chases of Class 3, 4 and 5.

2.2 Elimination will occur in the following sequence

2.2.1 Horses rated 1lb or 2lb above the upper rating limit specified in the conditions of the race, with horses rated 2lb above the upper rating limit eliminated ahead of those rated 1lb above the upper rating limit. Horses on the same weight will be eliminated in the published ascending order, such order having been determined by random balloting.

(For the avoidance of doubt, this does not apply to Class 1 and 2 races and does not include those horses within the rating range at time of entry whose rating has subsequently been revised by the addition of a penalty putting them above the Rating range of the race.)

2.2.2 Horses with the lowest weights - commencing at the bottom of the list but disregarding horses which have incurred penalties unless it is necessary to eliminate these horses at their new weights.

2.2.3 Horses with the same weights - where it is necessary to eliminate some but not all horses with the same weights, those that have incurred penalties will be eliminated first and those without penalties will be eliminated in the published ascending order, such order having been determined by random balloting. Penalised horses with the same weights will also be eliminated in the published ascending order determined by random balloting, unless the horses concerned have different penalties in which case the horse with the lower penalty will be given priority. Any horse previously omitted from a Handicap or given an incorrect weight as provided for under Rule 134 will be added randomly to any horses on the same weight and such horse will be subject to elimination, if necessary, in accordance with that revised random order.

2.3 In respect of flat race Handicaps, those horses with the same weight which have a Handicap Rating of 45 or below shall be published in descending rating order, with the order for those horses with the same rating being determined by random balloting.

#### *Part C*

3.1 Part C of this Schedule applies to the Grand National Steeple Chase.

3.2 Elimination will occur in the following sequence

3.2.1 Horses with the lowest weights.

3.2.2 Horses with the same weights - where it is necessary to eliminate some, but not all, horses with the same weight elimination will be determined by using the horses' current Handicap Rating at the time of elimination, the horse with the lowest Handicap Rating being eliminated first.

#### *Part D*

4.1 Part D of this Schedule applies to all Pattern and Listed Races and Conditions Stakes races other than Handicaps.

4.2 Elimination will occur in the following sequence

4.2.1 Horses which, in the opinion of the Handicapper, have the lowest Handicap Rating or, if they do not qualify for an official rating under these Rules, have the lowest assessment made by the Authority's Handicapper based on races run up to and including the day before that on which entries closed or, in races which closed more than 6 days before running, up to and including the day before the time determined in accordance with Part 6 for confirming entries.

4.2.2 Random balloting will apply where horses have identical Handicap Ratings or assessments.

4.3 Horses which have not run will be eliminated first by random ballot.

4.4 In order for the Handicapper to take account of performances outside Great Britain and Ireland, Trainers of horses trained outside Great Britain and Ireland are advised to notify the Handicapper 10 days in advance of the entry of the intention to make such an entry. Failure to do so may result in such horses being eliminated first by random ballot. The Handicapper's decision to allot a rating or give an assessment when the above notification has not been fulfilled shall be final.

#### *Part E*

5.1 Part E of this Schedule applies to all Classified Stakes races, Rating Related Maiden Races and classified Claiming Races.

5.2 Elimination will occur in the following sequence

5.2.1 Horses which, in the opinion of the Handicapper, have the lowest Handicap Ratings based on races run up to and including the Saturday previous to closing.

5.2.2 Random balloting will apply where horses have identical Handicap Ratings.

#### Introduction to Parts F to M

6. Unless the Authority has given its permission for races in the following Parts of this Schedule (Parts F to M) to be divided, the runners shall be reduced by the elimination of horses by ballot. However, the Authority will endeavour to ensure that horses will be afforded protection from elimination in order of priority as sequenced below in Parts F to M of this Schedule subject to the number of horses remaining engaged being in excess of the Safety Factor/Maximum Figure as applicable or the Field Size Limit. Unless otherwise stated, the time for the criteria applying will be up to and including the day before that on which entries closed or, in races which closed more than 6 days before running, up to and including the day before the time determined in accordance with Part 6 for confirming entries. Random balloting will apply where horses have identical criteria within each category.

#### Part F

7. Part F of this Schedule applies to the following.

8.1 All other flat race categories not listed in Parts A, B, D, E, K, and L of this Schedule.

8.2 Protection from elimination will operate in the following order, based upon races run up to and including the Saturday previous to closing or, in the case of races which closed more than six days before running, up to and including the Saturday before the time determined in accordance with Part 6 for confirming entries

8.2.1 Horses which have won a flat race run under the rules of any Recognised Racing Authority and which have run in or completed fewer than three flat races under such rules.

8.2.1.1 Horses placed second,

8.2.1.2 Horses placed third,

8.2.1.3 Horses placed fourth

in a flat race run under the rules of any Recognised Racing Authority and which have run in or completed fewer than three flat races under such rules.

Note: Priority will be given to those horses with the greater number of placings in the order shown above.

8.2.2 Horses which have not run in a flat race run under the rules of any Recognised Racing Authority.

8.2.3 Horses which have run in or completed fewer than three flat races run under the rules of any Recognised Racing Authority.

8.2.4 Horses which, in the opinion of the Handicapper, have the highest flat race Handicap Ratings or, if they do not qualify for an official rating under these Rules, have the highest assessment made by the Authority's Handicapper;

(Note: With regard to horses not covered under points 1-4 above and which do not have a Handicap Rating at the Time of Entry, the Handicapper may decline to allot a rating or give an assessment of a horse if he does not have sufficient information upon which to make his decision. The Handicapper's decision under such circumstances shall be final).

8.2.5 Horses with the least number of unplaced runs in flat races run under the rules of any Recognised Racing Authority.

8.3 When performances are identical, or where horses have identical Handicap Ratings, horses previously eliminated from a flat race, other than a Handicap, under these Rules during the current year will be protected from elimination first, the greatest number of such eliminations affording greatest protection.

#### Part G

9. Part G of this Schedule applies to the following.

10.1 All National Hunt Flat Races of the following three categories other than Pattern Races and Listed Races.

10.2 For Standard National Hunt Flat Races, protection from elimination will operate in the following order

10.2.1 Horses which have won a National Hunt Flat Race held under these Rules, an Irish national hunt flat race or a French AQPS Flat Race.

10.2.2 Horses placed second, third or fourth in a National Hunt Flat Race held under these Rule, an Irish national hunt flat race or a French AQPS Flat Race (note: priority will be given to those horses with the greater number of placings).

10.2.3 Horses which have not run in a National Hunt Flat Race held under these Rules, an Irish national hunt flat race or a French AQPS Flat Race.

10.2.4 Horses which have run once only in a National Hunt Flat Race held under these Rules, an Irish national hunt flat race or a French AQPS Flat Race.

10.2.5 Horses which have run twice only in a National Hunt Flat Race held under these Rules, an Irish national hunt flat race or a French AQPS Flat Race.

10.3 For Intermediate National Hunt Flat Races, protection from elimination will operate in the following order

10.3.1 Horses which have won a National Hunt Flat Race held under these Rules, an Irish national hunt flat race or a French AQPS Flat Race.

10.3.2 Horses placed second, third or fourth in a National Hunt Flat Race held under these Rules, an Irish national hunt flat race or a French AQPS Flat Race (note: priority will be given to those horses with the greater number of placings).

10.3.3 Horses which have run once only in a National Hunt Flat Race held under these Rules, an Irish national hunt flat race or a French AQPS Flat Race.

10.3.4 Horses which have not run in a National Hunt Flat Race held under these Rules, an Irish national hunt flat race or a French AQPS Flat Race.

10.3.5 Horses which have run twice only in a National Hunt Flat Race held under these Rules, an Irish national hunt flat race or a French AQPS Flat Race.

11.1 For Maiden National Hunt Flat Races, protection from elimination will operate in the following order

11.1.1 Horses which have run twice only in a National Hunt Flat Race held under these Rules, an Irish national hunt flat race or a French AQPS Flat Race.

11.1.2 Horses which have run once only in a National Hunt Flat Race held under these Rules, an Irish national hunt flat race or a French AQPS Flat Race.

11.1.3 Horses which have not run in a National Hunt Flat Race held under these Rules, an Irish national hunt flat race or a French AQPS Flat Race.

11.2 When performances are identical, horses which have been previously eliminated at any time from a National Hunt Flat Race run under these Rules will be given preference in any of the above categories relating to Standard, Intermediate and Maiden National Hunt Flat Races.

#### *Part H*

12. Part H of this Schedule applies to the following.

13.1 All hurdle races, other than Handicaps, Maidens, Pattern and Listed Races, and Classified Stakes Races.

13.2 Protection from elimination will operate in the following order, based upon races run up to and including the Saturday previous to closing, or, in the case of races which closed more than 6 days before running, up to and including the Saturday before the time determined in accordance with Part 6 for confirming entries

13.2.1 Horses which have won a hurdle race run under the rules of any Recognised Racing Authority on or subsequent to January 1st of the year previous to the current year.

13.2.2 Horses placed second, third or fourth in a Hurdle race run under the rules of any Recognised Racing Authority and which have run less than three times under such rules (priority will be given to those horses with the greater number of placings).

13.2.3 Horses which have not run in a hurdle race run under the rules of any Recognised Racing Authority.

13.2.4 Horses which have run less than three times in a hurdle race run under the rules of any Recognised Racing Authority.

13.2.5 Horses which, in the opinion of the Handicapper, have the highest hurdle race Handicap Ratings or, if they do not qualify for an official rating under these Rules, have the highest assessment made by the Authority's Handicapper based on racecourse performances up to and including the Saturday previous to closing.

Note: with regard to horses not covered under Paragraphs 13.2.1 to 13.2.4 above and which do not have a Handicap Rating at the Time of Entry, the Handicapper may decline to allot a rating or give an assessment of a horse if he does not have sufficient information upon which to make his decision. The Handicapper's decision under such circumstances shall be final.

13.2.6 Horses with the least number of unplaced runs in hurdle races run under the rules of any Recognised Racing Authority.

Note: 1. Unplaced runs outside Great Britain and Ireland will be disregarded when determining a horse's protection from elimination once such a horse has been placed second, third or fourth in Great Britain or Ireland and has not received a hurdle race Handicap Rating.

2. When performances are identical, or where horses have identical Handicap Ratings, horses previously eliminated from a hurdle race, other than a Handicap, under these Rules during the current season will be protected from elimination first, the greatest number of such eliminations affording greatest protection.

#### *Part I*

14. Part I of this Schedule applies to the following.

15.1 All steeple chases, other than Handicaps, pattern and Listed Races, Classified Stakes Races and Hunters' Steeple Chases.

15.2 Protection from elimination will operate in the following order, based upon races run up to and including the Saturday previous to closing or, in the case of races which closed more than 6 days before running, up to and including the Saturday before the time determined in accordance with Part 6 for confirming entries

15.2.1 Horses which have won a steeple chase run under the rules of any Recognised Racing Authority on or subsequent to January 1st of the year previous to the current year.

15.2.2 Horses placed second, third or fourth in a steeple chase run under the rules of any Recognised Racing Authority and which have run less than three times under such rules.

Note: Priority will be given to those horses with the greater number of placings.

15.2.3 Horses which have not run in a steeple chase race run under the rules of any Recognised Racing Authority.

15.2.4 Horses which have run less than three times in a steeple chase run under the rules of any Recognised Racing Authority.

15.2.5 Horses which, in the opinion of the Handicapper, have the highest steeple chase Handicap Ratings or, if they do not qualify for an official rating under these Rules, have the highest assessment made by the Authority's Handicapper, based on racecourse performances up to and including the Saturday previous to closing.

Note: With regard to horses not covered under Paragraphs 15.2.1 to 15.2.4 above and which do not have a Handicap Rating at the Time of Entry, the Handicapper may decline to allot a rating or give an assessment of a horse if he does not have sufficient information upon which to make his decision. The Handicapper's decision under such circumstances shall be final.

15.2.6 Horses with the least number of unplaced runs in steeple chases run under the rules of any Recognised Racing Authority.

Note: 1. Unplaced runs outside Great Britain and Ireland will be disregarded when determining a horse's protection from elimination once such a horse has been placed second, third or fourth in Great Britain or Ireland and has not received a steeple chase Handicap Rating.

2. When performances are identical, or where horses have identical Handicap Ratings, horses previously eliminated from a steeple chase, other than a Handicap, under these Rules during the current season will be protected from elimination first, the greatest number of such eliminations affording greatest protection.

#### *Part J*

16. Part J of this Schedule applies to the following.

17.1 All Hunters' Steeple Chases other than Handicaps.

17.2 Protection from elimination will operate in the following order

17.2.1 Horses which have won a steeple chase run under the rules of any Recognised Racing Authority on or subsequent to January 1st of the year previous to the current year. Of these horses, those which in the opinion of the Handicapper, have the highest steeple chase Handicap Rating or, if they do not qualify for an official rating under these Rules, have the highest assessment made by the Authority's Handicapper, based on racecourse performances up to and including the Saturday previous to closing.

17.2.2 Horses placed second, third or fourth in steeple chases run under the rules of any Recognised Racing Authority on or subsequent to January 1st of the year previous to the current year.

Note: priority will be given to those horses with the greater number of placings.

17.2.3 Horses which have won an open point-to-point steeple chase (gentlemen's, ladies' or mixed open races) in Great Britain on or subsequent to January 1st of the year previous to the current year.

17.2.4 Horses which have won any other point-to-point steeple chase in Great Britain on or subsequent to January 1st of the year previous to the current year.

17.2.5 Horses previously eliminated from a steeple chase, other than a Handicap, under these Rules during the current season.

17.2.6 Horses with the least number of unplaced runs in steeple chases under the rules of any Recognised Racing Authority.

#### **Part K**

18. Part K of this Schedule applies to the following.

19.1 Flat Novices races.

19.2 Protection from elimination will operate in the following order

19.2.1 Horses which have won a flat race run under the rules of any Recognised Racing Authority and which have run in or completed fewer than three flat races under such rules.

19.2.2 Horses which have won a flat race run under the rules of any Recognised Racing Authority.

19.2.2.1 horses placed second,

19.2.2.2 horses placed third,

19.2.2.3 horses placed fourth,

in a flat race run under the rules of any Recognised Racing Authority and which have run in or completed fewer than three flat races under such rules.

Note: priority will be given to those horses with the greater number of placings in the order shown above.

19.2.4 Horses which have not run in a flat race run under the rules of any Recognised Racing Authority.

19.2.5 Horses which have run in or completed fewer than three flat races run under the rules of any Recognised Racing Authority.

19.2.6 Horses which have run in and completed three flat races, run under the rules of any Recognised Racing Authority but which have not been placed in the first six.

19.2.7 Horses which, in the opinion of the Handicapper, have the highest flat race Handicap Ratings or, if they do not qualify for an official rating under these Rules, have the highest assessment made by the Authority's Handicapper.

Note: with regard to horses not covered under Paragraphs 19.2.1 to 19.2.6 above and which do not have a Handicap Rating at the Time of Entry, the Handicapper may decline to allot a rating or give an assessment of a horse if he does not have sufficient information upon which to make his decision. The Handicapper's decision under such circumstances shall be final.

19.2.8 Horses with the least number of unplaced runs in flat races run under the rules of any Recognised Racing Authority.

Note: when performances are identical, or where horses have identical Handicap Ratings, horses previously eliminated from a flat race, other than a Handicap, under these Rules during the current year will be protected from elimination first, the greatest number of such eliminations affording greatest protection.

#### **Part L**

20. Part L of this Schedule applies to the following.

21.1 All maiden hurdle races.

21.2 Protection from elimination will operate in the following order, based upon races run up to and including the Saturday previous to closing, or, in the case of races which closed more than 6 days before running, up to and including the Saturday before the time determined in accordance with Part 6 for confirming entries

21.2.1 Horses placed second, third or fourth in a hurdle race run under the rules of any Recognised Racing Authority (priority will be given to those horses with the greater number of placings).

21.2.2 Horses which have run at least three times and for which the Handicapper has declined to allot a rating or give an assessment on the grounds that he does not have sufficient information upon which to make his decision.

21.2.3 Horses which have not run in a hurdle race run under the rules of any Recognised Racing Authority.

21.2.4 Horses which have run less than three times in a hurdle race run under the rules of any Recognised Racing Authority.

21.2.5 Horses which, in the opinion of the Handicapper, have the highest hurdle race Handicap Ratings or, if they do not qualify for an official rating under these Rules, have the highest assessment made by the Authority's Handicapper based on racecourse performances up to and including the Saturday previous to closing.

21.2.6 Horses with the least number of unplaced runs in hurdle races run under the rules of any Recognised Racing Authority.

Note: When performances are identical, or where horses have identical Handicap Ratings, horses previously eliminated from a hurdle race, other than a Handicap, under these Rules during the current season will be protected from elimination first, the greatest number of such eliminations affording greatest protection.

#### **Part M**

22.1 Part M of this Schedule applies to all Novices' handicap steeple chases of Class 3, 4 and 5.

## 22.2 Elimination will occur in the following sequence

22.2.1 Horses with the lowest weights - commencing at the bottom of the list but disregarding horses which have incurred penalties unless it is necessary to eliminate these horses at their new weights.

22.2.2 Horses with the same weights - where it is necessary to eliminate some but not all horses with the same weights, those that have incurred penalties will be eliminated first and those without penalties will be eliminated in the published ascending order, such order having been determined by random balloting. Penalised horses with the same weights will also be eliminated in the published ascending order determined by random balloting, unless the horses concerned have different penalties in which case the horse with the lower penalty will be given priority. Any horse previously omitted from a Handicap or given an incorrect weight as provided for under Rule 134 will be added randomly to any horses on the same weight and such horse will be subject to elimination, if necessary, in accordance with that revised random order.

22.3 Protection from elimination will first be afforded to horses having their first start in a steeple chase but only if, on the initial publication of the weights, they have been allotted a weight no lower than the minimum weight applicable for that race.

22.4 Where elimination of horses having their first start in a steeple chase is necessary, elimination will occur as outlined under Paragraph 22.2 above.

### Schedule 9 - Distribution of prize money

#### 1. The percentage distribution of prize money shall be as follows

#### 2. Flat Pattern and Listed Races

The percentage distribution of prize money shall be as follows

Flat Pattern and Listed Races	2.1	2.2	2.3	2.4	2.5	2.6	2.7
	3 prizes	4 prizes	5 prizes	6 prizes	7 prizes	8 prizes	10 prizes
Owner of the winner	49.6	46.64	45.2	44.56	44.16	44	43.92
Owner of the second	20.27	19.06	18.56	18.29	18.2	18.14	18.08
Owner of the third	10.13	9.53	9.28	9.15	9.1	9.07	9.04
Owner of the fourth	-	4.77	4.64	4.57	4.55	4.54	4.48
Owner of the fifth	-	-	2.32	2.29	2.28	2.27	2.24
Owner of the sixth	-	-	-	1.14	1.14	1.13	1.12
Owner of the seventh	-	-	-	-	0.57	0.57	0.56
Owner of the eighth	-	-	-	-	-	0.28	0.32
Owner of ninth							0.16
Owner of tenth							0.08
Trainer of the winner	5.89	5.65	5.54	5.49	5.45	5.44	5.42
Trainer of the second	1.31	1.26	1.23	1.22	1.22	1.21	1.2
Trainer of the third	0.65	0.63	0.62	0.61	0.61	0.61	0.6
Trainer of the fourth	-	0.31	0.31	0.3	0.3	0.3	0.3
Trainer of the fifth	-	-	0.15	0.15	0.15	0.15	0.15
Trainer of the sixth	-	-	-	0.08	0.08	0.08	0.08
Trainer of the seventh	-	-	-	-	0.04	0.04	0.04
Trainer of the eighth	-	-	-	-	-	0.02	0.03
Trainer of ninth							0.02
Trainer of tenth							0.01
Rider of the winner	4.33	4.15	4.07	4.03	4.01	4	3.97
Rider of the second	0.96	0.93	0.91	0.9	0.89	0.89	0.88
Rider of the third	0.48	0.46	0.45	0.45	0.45	0.45	0.44
Rider of the fourth	-	0.23	0.23	0.22	0.22	0.22	0.22
Rider of the fifth	-	-	0.11	0.11	0.11	0.11	0.11
Rider of the sixth	-	-	-	0.06	0.06	0.06	0.05
Rider of the seventh	-	-	-	-	0.03	0.03	0.04
Rider of the eighth	-	-	-	-	-	0.01	0.03
Rider of ninth							0.02
Rider of tenth							0.01
Stable of the winner	2.95	2.76	2.67	2.63	2.6	2.58	2.56
Stable of the second	1.2	1.14	1.11	1.09	1.09	1.09	1.08
Stable of the third	0.6	0.57	0.56	0.55	0.55	0.55	0.54
Stable of the fourth	-	0.28	0.27	0.27	0.27	0.27	0.26
Stable of the fifth	-	-	0.14	0.14	0.14	0.14	0.14

Stable of the sixth	-	-	-	0.07	0.07	0.07	0.07
Stable of the seventh	-	-	-	-	0.03	0.03	0.04
Stable of the eighth	-	-	-	-	-	0.02	0.03
Stable of ninth							0.02
Stable of tenth							0.01
Industry Training	0.58	0.58	0.58	0.58	0.58	0.58	0.58
Jockeys' Valets Attendance	0.2	0.2	0.2	0.2	0.2	0.2	0.2
PJA Pension Fund	0.6	0.6	0.6	0.6	0.6	0.6	0.6
NASS	0.25	0.25	0.25	0.25	0.25	0.25	0.25

### 3. Flat non-pattern and non-listed races other than flat Amateur Rider races

Flat non-pattern and non-listed races other than flat Amateur Rider races	3.1	3.2	3.3	3.4	3.5	3.6	3.7
	3 prizes	4 prizes	5 prizes	6 prizes	7 prizes	8 prizes	10 prizes
Owner of the winner	53.6	50.64	49.2	48.56	48.24	48	47.92
Owner of the second	17.6	16.78	16.43	16.23	16.13	16.13	16.08
Owner of the third	8.8	8.39	8.21	8.11	8.07	8.06	8
Owner of the fourth	-	4.19	4.11	4.06	4.03	4.03	4
Owner of the fifth	-	-	2.05	2.03	2.02	2.02	2
Owner of the sixth	-	-	-	1.01	1.01	1.01	1.04
Owner of the seventh	-	-	-	-	0.5	0.5	0.48
Owner of the eighth	-	-	-	-	-	0.25	0.24
Owner of ninth							0.16
Owner of tenth							0.08
Trainer of the winner	6.48	6.28	6.19	6.14	6.11	6.1	6.08
Trainer of the second	0.91	0.9	0.89	0.88	0.88	0.88	0.87
Trainer of the third	0.46	0.45	0.44	0.44	0.44	0.44	0.43
Trainer of the fourth	-	0.22	0.22	0.22	0.22	0.22	0.21
Trainer of the fifth	-	-	0.11	0.11	0.11	0.11	0.11
Trainer of the sixth	-	-	-	0.06	0.06	0.06	0.05
Trainer of the seventh	-	-	-	-	0.03	0.03	0.04
Trainer of the eighth	-	-	-	-	-	0.01	0.03
Trainer of ninth							0.02
Trainer of tenth							0.01
Rider of the winner	4.76	4.61	4.55	4.51	4.49	4.48	4.46
Rider of the second	0.67	0.66	0.65	0.65	0.65	0.65	0.63
Rider of the third	0.34	0.33	0.33	0.33	0.33	0.33	0.31
Rider of the fourth	-	0.17	0.16	0.16	0.16	0.16	0.15
Rider of the fifth	-	-	0.08	0.08	0.08	0.08	0.07
Rider of the sixth	-	-	-	0.04	0.04	0.04	0.05
Rider of the seventh	-	-	-	-	0.02	0.02	0.04
Rider of the eighth	-	-	-	-	-	0.01	0.03
Rider of ninth							0.02
Rider of tenth							0.01
Stable of the winner	3.33	3.16	3.07	3.04	3.02	3.01	2.99
Stable of the second	0.95	0.91	0.89	0.88	0.88	0.88	0.87
Stable of the third	0.47	0.45	0.45	0.44	0.44	0.44	0.43
Stable of the fourth	-	0.23	0.23	0.22	0.21	0.21	0.2
Stable of the fifth	-	-	0.11	0.11	0.11	0.11	0.1
Stable of the sixth	-	-	-	0.06	0.06	0.06	0.06
Stable of the seventh	-	-	-	-	0.03	0.03	0.04
Stable of the eighth	-	-	-	-	-	0.01	0.03
Stable of ninth							0.02

Stable of tenth							0.01
Industry Training	0.58	0.58	0.58	0.58	0.58	0.58	0.58
Jockeys' Valets Attendance	0.2	0.2	0.2	0.2	0.2	0.2	0.2
PJA Pension Fund	0.6	0.6	0.6	0.6	0.6	0.6	0.6
NASS	0.25	0.25	0.25	0.25	0.25	0.25	0.25

#### 4. Jump Pattern and Listed Races

In the event of an Amateur Rider being the Rider as shown below the payments due to the Rider shall be paid to the Authority.

Jump Pattern and Listed Races	4.1	4.2	4.3	4.4	4.5	4.6	4.7
	3 prizes	4 prizes	5 prizes	6 prizes	7 prizes	8 prizes	10 prizes
Owner of the winner	48.52	45.62	44.21	43.58	43.19	43.04	42.96
Owner of the second	19.82	18.65	18.15	17.89	17.81	17.74	17.68
Owner of the third	9.91	9.32	9.08	8.95	8.9	8.87	8.84
Owner of the fourth	-	4.66	4.54	4.47	4.45	4.44	4.42
Owner of the fifth	-	-	2.27	2.24	2.23	2.22	2.21
Owner of the sixth	-	-	-	1.12	1.11	1.11	1.1
Owner of the seventh	-	-	-	-	0.56	0.55	0.56
Owner of the eighth	-	-	-	-	-	0.28	0.27
Owner of ninth							0.14
Owner of tenth							0.07
Trainer of the winner	5.89	5.65	5.54	5.49	5.45	5.44	5.42
Trainer of the second	1.31	1.26	1.23	1.22	1.22	1.21	1.2
Trainer of the third	0.65	0.63	0.62	0.61	0.61	0.61	0.6
Trainer of the fourth	-	0.31	0.31	0.3	0.3	0.3	0.3
Trainer of the fifth	-	-	0.15	0.15	0.15	0.15	0.15
Trainer of the sixth	-	-	-	0.08	0.08	0.08	0.08
Trainer of the seventh	-	-	-	-	0.04	0.04	0.04
Trainer of the eighth	-	-	-	-	-	0.02	0.03
Trainer of ninth							0.02
Trainer of tenth							0.01
Rider of the winner	5.64	5.41	5.31	5.25	5.22	5.21	5.19
Rider of the second	1.25	1.21	1.18	1.17	1.17	1.16	1.15
Rider of the third	0.63	0.6	0.59	0.59	0.58	0.58	0.57
Rider of the fourth	-	0.3	0.29	0.29	0.29	0.29	0.29
Rider of the fifth	-	-	0.15	0.15	0.15	0.15	0.15
Rider of the sixth	-	-	-	0.07	0.07	0.07	0.07
Rider of the seventh	-	-	-	-	0.04	0.04	0.04
Rider of the eighth	-	-	-	-	-	0.02	0.03
Rider of ninth							0.02
Rider of tenth							0.01
Stable of the winner	2.95	2.76	2.67	2.63	2.6	2.58	2.56
Stable of the second	1.2	1.14	1.11	1.09	1.09	1.09	1.08
Stable of the third	0.6	0.57	0.56	0.55	0.55	0.55	0.54
Stable of the fourth	-	0.28	0.27	0.27	0.27	0.27	0.26
Stable of the fifth	-	-	0.14	0.14	0.14	0.14	0.14
Stable of the sixth	-	-	-	0.07	0.07	0.07	0.07
Stable of the seventh	-	-	-	-	0.03	0.03	0.04
Stable of the eighth	-	-	-	-	-	0.02	0.03
Stable of ninth							0.02
Stable of tenth							0.01
Industry Training	0.58	0.58	0.58	0.58	0.58	0.58	0.58
Jockeys' Valets Attendance	0.2	0.2	0.2	0.2	0.2	0.2	0.2





## 6. Flat and jump Amateur Riders races

Flat and Jump Amateur Riders Races	6.1	6.2	6.3	6.4	6.5	6.6	6.7
	3 prizes	4 prizes	5 prizes	6 prizes	7 prizes	8 prizes	10 prizes
Owner of the winner	56.05	52.95	51.44	50.78	50.44	50.19	50.11
Owner of the second	18.4	17.54	17.18	16.97	16.87	16.86	16.81
Owner of the third	9.2	8.77	8.59	8.48	8.43	8.43	8.4
Owner of the fourth	-	4.39	4.29	4.24	4.22	4.22	4.2
Owner of the fifth	-	-	2.15	2.12	2.11	2.11	2.1
Owner of the sixth	-	-	-	1.06	1.05	1.05	1.05
Owner of the seventh	-	-	-	-	0.53	0.53	0.52
Owner of the eighth	-	-	-	-	-	0.26	0.26
Owner of ninth							0.13
Owner of tenth							0.07
Trainer of the winner	6.48	6.28	6.19	6.14	6.11	6.1	6.08
Trainer of the second	0.91	0.9	0.89	0.88	0.88	0.88	0.87
Trainer of the third	0.46	0.45	0.44	0.44	0.44	0.44	0.43
Trainer of the fourth	-	0.22	0.22	0.22	0.22	0.22	0.21
Trainer of the fifth	-	-	0.11	0.11	0.11	0.11	0.11
Trainer of the sixth	-	-	-	0.06	0.06	0.06	0.05
Trainer of the seventh	-	-	-	-	0.03	0.03	0.04
Trainer of the eighth	-	-	-	-	-	0.01	0.03
Trainer of ninth							0.02
Trainer of tenth							0.01
Stable of the winner	3.33	3.16	3.07	3.04	3.02	3.01	2.99
Stable of the second	0.95	0.91	0.89	0.88	0.88	0.88	0.87
Stable of the third	0.47	0.45	0.45	0.44	0.44	0.44	0.43
Stable of the fourth	-	0.23	0.23	0.22	0.21	0.21	0.2
Stable of the fifth	-	-	0.11	0.11	0.11	0.11	0.1
Stable of the sixth	-	-	-	0.06	0.06	0.06	0.06
Stable of the seventh	-	-	-	-	0.03	0.03	0.04
Stable of the eighth	-	-	-	-	-	0.01	0.03
Stable of ninth							0.02
Stable of tenth							0.01
Industry Training	0.5	0.5	0.5	0.5	0.5	0.5	0.5
Amateur Jockeys Association	3	3	3	3	3	3	3
NASS	0.25	0.25	0.25	0.25	0.25	0.25	0.25

### Schedule 10 - Deleted

#### Deleted

#### Deleted

### Schedule 11 - Appearance Money Scheme 2018

1. An Appearance Money Scheme subject to the criteria laid down below shall apply for the period from January 1st, **2018** until December 31st, **2018** (both dates inclusive).

2. For all eligible races, a list of which is shown under Paragraphs 9 & 10, it is the racecourse's responsibility to unlock Appearance Money payments for Owners in that race by

2.1 Paying Prize Money down to at least fourth place,

2.2 Ensuring that the Prize Money for an eligible race is at least £900 above the minimum value, and

2.3 Maintaining their average class of race during the relevant Programme Book.

3. Once the racecourse has unlocked Appearance Money payments, and subject to the conditions described in Paragraphs 4 and 5, the Owner of a horse which has finished at least eighth in

3.1 an eligible Jump race on a Friday evening, Saturday evening or Sunday qualifies for a payment of £450 (plus VAT where applicable),

3.2 an eligible Flat race on a Friday evening, Saturday evening or Sunday qualifies for a payment of £400 (plus VAT where applicable),

3.3 an eligible Jump race on all other days and times not previously mentioned in Paragraph 3.1 qualifies for a payment of £350

3.4 an eligible Flat race on all other days and times not previously mentioned in Paragraph 3.2 qualifies for a payment of £300 (plus VAT where applicable)

6. Any payment will be made to the Owner of the horse at the time it qualifies for Appearance Money in accordance with Paragraph 3 of this Schedule.

**7.1.1** 8% to the Trainer of the horse,  
**7.1.2** 6% to the Rider in the race, and  
**7.1.3** 6% to the stable from which the horse was trained.

**7.3 No payment is due under Paragraph 7.1.1 or 7.1.3 of this Schedule where the horse is trained**

**7.3.1** outside Great Britain, or  
**7.3.2** in the circumstances specified in Rule (C)1.1.3 (person without licence or permit training a horse for a limited category of jump races).

9. Eligible Jump races under this Schedule include all Class 3, 4 and 5 races, but not

**9.1 National Hunt Flat races,  
9.2 Hunter Chase races, or  
9.3 Weight-for-age Maiden or Novice Hurdle races.**

**10.1 Weight-for-age Novice, Novice Auction, or Median Auction Novice races, or  
10.2 Weight-for-age Maiden, Maiden Auction, or Median Auction Maiden races.**

**14. For the purposes of this Schedule, all races at twilight fixtures are categorised as evening races.**

## Part 1 - Introductory

1. The weight to be deducted for the purposes of Rules 132.2.2.3, 132.2.2.4, 132.2.2.5, 139.3.1 and 139.3.2 is to be determined in accordance with Parts 2 to 5 of this Schedule.

2.2 Attention is drawn to the provisions of Rule 29.2.

[illegible]

10	3	23	23	22	22	21	20	19	17	15	14	13	12	10	9	8	7	6	5	4	4	3	3	2	2
	4	2	2	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
11	3	24	24	23	23	22	21	20	19	17	15	14	13	11	10	9	8	7	6	5	5	4	4	3	3
	4	3	3	2	2	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
12	3	25	25	24	24	23	22	21	20	19	17	15	14	12	11	10	9	8	7	6	6	5	5	4	4
	4	4	4	3	3	2	2	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
13	3	26	26	25	25	24	23	22	21	20	19	17	15	13	11	10	9	8	7	6	6	5	5	4	4
	4	5	5	4	4	3	3	2	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
14	3	27	27	26	26	25	24	23	22	21	20	18	16	14	12	11	10	9	8	7	7	6	6	5	5
	4	6	6	5	5	4	4	3	2	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
15	3	28	28	27	27	26	25	24	23	22	21	19	17	15	13	12	11	10	9	8	7	6	6	5	5
	4	6	6	5	5	4	4	3	3	2	1	0	0	0	0	0	0	0	0	0	0	0	0	0	
16	3	29	29	28	28	27	26	25	24	23	22	21	19	17	15	13	12	11	10	9	8	7	7	6	6
	4	7	7	6	6	5	5	4	4	3	2	1	0	0	0	0	0	0	0	0	0	0	0	0	
18	3	31	31	30	30	29	28	27	26	25	24	23	21	19	17	15	13	12	11	10	9	8	7	6	6
	4	8	8	7	7	6	6	5	5	4	3	2	1	0	0	0	0	0	0	0	0	0	0	0	
20	3	33	33	32	32	31	30	29	28	27	26	25	23	21	19	17	15	13	12	11	10	9	8	7	7
	4	9	9	8	8	7	7	6	6	5	4	3	2	1	0	0	0	0	0	0	0	0	0	0	
		Note: changes from the previous year are shown in bold																							

### Part 3 - Northern hemisphere bred horses: steeple chases, hurdle races and national hunt flat races

3.1 The tables below specify the scale of weight for age for steeple chases, hurdle races and National Hunt Flat Races for any horse which is bred in the northern hemisphere.

3.2 Attention is drawn to the provisions of Rule 41.2.

Hurdle and NHF	Northern Hemisphere					
Age	3yo			4yo		
Distance	2 miles	2 ½ miles	3 miles	2 miles	2 ½ miles	3 miles
Jan 1-15	-	-	-	12	13	14
Jan 16-31	-	-	-	11	12	13
Feb 1-14	-	-	-	10	11	12
Feb 15-28	-	-	-	9	10	11
Mar 1-15	-	-	-	8	9	10
Mar 16-31	-	-	-	7	8	9
Apr 1-15	-	-	-	6	7	8
Apr 16-30	-	-	-	5	6	7
May 1-15	22	23	24	4	5	6
May 16-31	22	23	24	4	5	6
Jun 1-15	21	22	23	3	4	5
Jun 16-30	21	22	23	3	4	5
Jul 1-15	20	21	22	2	3	4
Jul 16-31	20	21	22	2	3	4
Aug 1-15	19	20	21	1	2	3
Aug 16-31	19	20	21	1	2	3
Sep 1-15	18	19	20	-	1	2
Sep 16-30	18	19	20	-	1	2
Oct 1-15	17	18	19	-	-	1
Oct 16-31	17	18	19	-	-	1
Nov 1-15	16	17	18	-	-	-
Nov 16-30	15	16	17	-	-	-
Dec 1-15	14	15	16	-	-	-
Dec 16-31	13	14	15	-	-	-

Steeple Chases	Northern Hemisphere					
	4yo			5yo		
Distance	2 miles	2 ½ miles	3 miles	2 miles	2 ½ miles	3 miles
Jan 1-15 Jan 16-31	- -	- -	- -	4 3	5 4	6 5
Feb 1-14 Feb 15-28	- -	- -	- -	2 1	3 2	4 3
Mar 1-15 Mar 16-31	- -	- -	- -	- -	1 -	2 1
Apr 1-15 Apr 16-30	- -	- -	- -	- -	- -	- -
May 1-15 May 16-31	18 18	19 19	20 20	- -	- -	- -
Jun 1-15 Jun 16-30	17 17	18 18	19 19	- -	- -	- -
Jul 1-15 Jul 16-31	16 15	17 16	18 17	- -	- -	- -
Aug 1-15 Aug 16-31	14 13	15 14	16 15	- -	- -	- -
Sep 1-15 Sep 16-30	12 11	13 12	14 13	- -	- -	- -
Oct 1-15 Oct 16-31	10 9	11 10	12 11	- -	- -	- -
Nov 1-15 Nov 16-30	8 7	9 8	10 9	- -	- -	- -
Dec 1-15 Dec 16-31	6 5	7 6	8 7	- -	- -	- -

#### Part 4 - Southern hemisphere bred horses: flat races

4.1 The tables below specify the scale of weight for age for flat races for any horse which is bred in the southern hemisphere and which was foaled in the period starting on July 1st and ending on December 31st.

4.2 Attention is drawn to the provisions of Rule 29.2.

[illegible]

14	3	27	27	26	26	25	24	23	22	21	20	<b>18</b>	<b>16</b>	<b>14</b>	<b>12</b>	<b>11</b>	<b>10</b>	<b>9</b>	<b>8</b>	<b>7</b>	<b>7</b>	<b>6</b>	<b>6</b>	<b>5</b>	<b>5</b>
	4	6	6	5	5	4	4	3	2	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
15	3	28	28	27	27	26	25	24	23	22	21	<b>19</b>	<b>17</b>	<b>15</b>	<b>13</b>	<b>12</b>	<b>11</b>	<b>10</b>	<b>9</b>	<b>8</b>	<b>7</b>	<b>6</b>	<b>6</b>	<b>5</b>	<b>5</b>
	4	6	6	5	5	4	4	3	3	2	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0
16	3	29	29	28	28	27	26	25	24	23	22	21	<b>19</b>	<b>17</b>	<b>15</b>	<b>13</b>	<b>12</b>	<b>11</b>	<b>10</b>	<b>9</b>	<b>8</b>	<b>7</b>	<b>7</b>	<b>6</b>	<b>6</b>
	4	7	7	6	6	5	5	4	4	3	2	1	0	0	0	0	0	0	0	0	0	0	0	0	0
18	3	31	31	30	30	29	28	27	26	25	24	23	<b>21</b>	<b>19</b>	<b>17</b>	<b>15</b>	<b>13</b>	<b>12</b>	<b>11</b>	<b>10</b>	<b>9</b>	<b>8</b>	<b>7</b>	<b>6</b>	<b>6</b>
	4	8	8	7	7	6	6	5	5	4	3	2	1	0	0	0	0	0	0	0	0	0	0	0	0
20	3	33	33	32	32	31	30	29	28	27	26	25	<b>23</b>	<b>21</b>	<b>19</b>	<b>17</b>	<b>15</b>	<b>13</b>	<b>12</b>	<b>11</b>	<b>10</b>	<b>9</b>	<b>8</b>	<b>7</b>	<b>7</b>
	4	9	9	8	8	7	7	6	6	5	4	3	2	1	0	0	0	0	0	0	0	0	0	0	0
<i>Note: changes from the previous year are shown in bold</i>																									

## Part 5 - Southern hemisphere bred horses: steeple chases, hurdle races and national hunt flat races

5.1 The tables below specify the Scale of Weight for Age for steeple chases, hurdle races and National Hunt Flat Races for any horse which is bred in the Southern hemisphere and which was foaled in the period starting on July 1st and ending on December 31st.

5.2 Attention is drawn to the provisions of Rule 41.2.

Hurdle and NHF	Southern Hemisphere								
	3yo			4yo			5yo		
Distance	2 miles	2 ½ miles	3 miles	2 miles	2 ½ miles	3 miles	2 miles	2 ½ miles	3 miles
Jan 1-15 Jan 16-31	- -	- -	- -	20 20	21 21	22 22	2 2	3 3	4 4
Feb 1-14 Feb 15-28	- -	- -	- -	19 19	20 20	21 21	1 1	2 2	3 3
Mar 1-15 Mar 16-31	- -	- -	- -	18 18	19 19	20 20	- -	1 1	2 2
Apr 1-15 Apr 16-30	- -	- -	- -	17 17	18 18	19 19	- -	- -	1 1
May 1-15 May 16-31	28 28	29 29	30 30	16 15	17 16	18 17	- -	- -	- -
Jun 1-15 Jun 16-30	27 27	28 28	29 29	14 13	15 14	16 15	- -	- -	- -
Jul 1-15 Jul 16-31	26 26	27 27	28 28	12 11	13 12	14 13	- -	- -	- -
Aug 1-15 Aug 16-31	25 25	26 26	27 27	10 9	11 10	12 11	- -	- -	- -
Sep 1-15 Sep 16-30	24 24	25 25	26 26	8 7	9 8	10 9	- -	- -	- -
Oct 1-15 Oct 16-31	23 23	24 24	25 25	6 5	7 6	8 7	- -	- -	- -
Nov 1-15 Nov 16-30	22 22	23 23	24 24	4 4	5 5	6 6	- -	- -	- -
Dec 1-15 Dec 16-31	21 21	22 22	23 23	3 3	4 4	5 5	- -	- -	- -

Steeple Chases	Southern Hemisphere					
	4yo			5yo		
Distance (furlongs)	2 miles	2 ½ miles	3 miles	2 miles	2 ½ miles	3 miles
Jan 1-15 Jan 16-31	- -	- -	- -	16 15	17 16	18 17
Feb 1-14 Feb 15-28	- -	- -	- -	14 13	15 14	16 15
Mar 1-15 Mar 16-31	- -	- -	- -	12 11	13 12	14 13
Apr 1-15	-	-	-	10	11	12

Apr 16-30	-	-	-	9	10	11
May 1-15 May 16-31	24 24	25 25	26 26	8 7	9 8	10 9
Jun 1-15 Jun 16-30	23 23	24 24	25 25	6 5	7 6	8 7
Jul 1-15 Jul 16-31	22 22	23 23	24 24	4 3	5 4	6 5
Aug 1-15 Aug 16-31	21 21	22 22	23 23	2 1	3 2	4 3
Sep 1-15 Sep 16-30	20 20	21 21	22 22	- -	1 -	2 1
Oct 1-15 Oct 16-31	19 19	20 20	21 21	- -	- -	- -
Nov 1-15 Nov 16-30	18 18	19 19	20 20	- -	- -	- -
Dec 1-15 Dec 16-31	17 17	18 18	19 19	- -	- -	- -

### Schedule 13 - Penalties

#### *Penalty for winning fixed sum*

1. Unless otherwise specified, any reference to a penalty for winning a fixed sum is to a penalty for winning that sum in one race.

#### *Penalty for winning races of specific class*

2.1 Any reference to a penalty for winning a flat race of a specific class is to a penalty for winning a flat race as listed by that class in Schedule 2.

2.2 Where the reference relates to winning a class 4 race, it includes winning any race which is regarded as a class 4 flat race under Paragraph 2.3.

2.3 For the purpose of determining any penalty to be carried, a horse which in Great Britain wins an Open Maiden Race or a Novice Flat Race run (in either case) before April 2nd 2016 shall be regarded as having won a class 4 flat race, regardless of the class of the race that they have won.

2.4 In relation to any flat race run before March 26th, 2005, a reference to a penalty for winning a flat race of a specific class or category is to winning a race of that class or category within the meaning of the Rules of Racing having effect at the time the race was run.

3.1 Any reference to a penalty for winning a steeple chase or hurdle race of a specific class is to a penalty for winning a steeple chase or hurdle race as listed by that class in Schedule 2.

3.2 For the purpose of determining any penalty to be carried, a horse which in Great Britain won a class D Weight-for-Age Novices', Beginners' or Maiden Steeple Chase or Hurdle Race before January 1st, 2006 shall be regarded as having won a class 4 race.

3.3 For the purpose of determining any penalty to be carried, a horse which in Ireland has won:

3.3.1 A Grade A Handicap Steeple Chase or Hurdle Race shall be regarded as having won a Grade 3 Pattern race

3.3.2 A Grade B or C Handicap Steeple Chase or Hurdle Race shall be regarded as having won a Listed race.

#### *Penalty for winning other flat races*

4. This Paragraph applies for the purpose of determining penalties, allowances and qualifications in connection with the winning of any other flat races.

4.1 With effect from January 1st, 2016

4.1.1 Races appearing in Part I of the International Cataloguing Standards Book will be regarded as being of the status (Group/Graded or Listed) as described

4.1.2 Races appearing in Part II of the International Cataloguing Standards Book will be regarded as follows:

4.1.2.1 Races described as Group 1 or Grade 1 will be regarded as of Group 2 status

4.1.2.2 Races described as Group 2 or Grade 2 will be regarded as of Group 3 status

4.1.2.3 Races described as Group 3 or Grade 3 will be regarded as of Listed status

4.1.2.4 Races described as Listed will be regarded as of neither Group nor Listed status.

4.1.3 Races appearing in neither Part I nor Part II of the International Cataloguing Standards Book will be regarded as follows:

4.1.3.1 Races described as Group 1 or Grade 1 will be regarded as of Group 3 status

4.1.3.2 Races described as Group 2 or Grade 2 will be regarded as of Listed status

4.1.3.3 Other races will be regarded as of neither Group nor Listed status.

#### *Provisions applying to all penalties*

5. If in the conditions of a race a fixed penalty has to be carried for winning

5.1 a race specified by name,

5.2 a race of a specific class,

5.3 a Listed Race, or

5.4 a race in a Pattern Race group,

any horse which runs a dead-heat for the race shall carry the penalty as if the race had been won outright.

6.1 Penalties are not cumulative unless so declared by the conditions of the race.

6.2 The winner of a flat race confined to Apprentice Jockeys, which takes place under these Rules or the Rules of the Irish Turf Club, shall not incur a penalty in any flat race unless the race is confined to Apprentice Jockeys and the conditions of the race provide for a specific penalty for winners.

6.3 The winner of

6.3.1 a Conditional Jockeys' race,

6.3.2 a Hands and Heels' steeple chase or hurdle race (as specified in the list of races published annually in The Racing Calendar), or

6.3.3 an opportunity race run under the Irish National Hunt Steeple Chase Rules,

shall not incur a penalty in any steeple chase, hurdle race or National Hunt Flat Race except for conditional jockeys' races and Hands and Heels' races in which the conditions provide for a specific penalty for winners.

6.4 Extra weights shall not be incurred in respect of a Match or Private Sweepstakes including the Newmarket Challenge Whip.

6.5 Any penalty incurred for winning a National Hunt Flat Race shall apply only to other National Hunt Flat Races.

6.6 No penalty shall be incurred in a Handicap Race in respect of winning a walk-over in Great Britain.

6.7 No horse shall carry extra weight for having run second or in any lower place in a race.

#### Schedule 14 - Rates of Exchange

	From 1.1.13	From 1.1.14	From 1.1.15	From 1.1.16	From 1.1.17
Argentine Peso	7.99	10.79	13.19	19.06	19.59
Australian Dollar	1.56	1.86	1.91	2.02	1.71
Bahrain Dinar	0.61	0.62	0.59	0.55	0.47
Brazilian Real	3.33	3.91	4.14	5.84	4.02
Canadian Dollar	1.61	1.76	1.81	2.04	1.66
Chilean Peso	777.67	869.75	944.01	1044.26	828.03
Chinese Renminbi					8.59
Chinese Yuan		10.03	9.69	9.68	8.60
Czech Koruna	30.89	32.94	35.62	36.66	31.66
Danish Krone	9.19	8.99	9.59	10.12	8.72
Euro	1.23	1.20	1.29	1.36	1.17
Hong Kong Dollar	12.59	12.84	12.08	11.42	9.57
Hungarian Forint	358.78	358.02	407.45	428.09	362.79
Indian Rupee	88.93	102.08	98.31	97.99	83.49
Japanese Yen	140.94	174.36	186.58	177.18	144.50
Kazakhstan Tenge		255.48	284.02	501.94	412.10
Malaysian Ringgit	4.94	5.41	5.45	6.37	5.51
Mexican Peso		21.59	22.97	25.36	25.59
Moroccan Dirham	13.74	13.54	14.14	14.61	12.51
New Zealand Dollar	1.96	2.02	2.00	2.16	1.78
Norwegian Krone	9.04	10.05	11.61	13.04	10.64
Peruvian New Sol	4.15	4.63	4.65	5.03	4.14
Polish Zloty	5.03	5.00	5.52	5.79	5.15
Qatar Riyal	5.91	6.03	5.67	5.37	4.50
Russian Ruble	49.64	54.48	94.27	106.42	75.97
Saudi Arabian Riyal	6.09	6.21	5.85	5.53	4.63
Serbian Dinar	138.34	138.03	156.29	164.97	144.32
Singapore Dollar	1.98	2.09	2.07	2.09	1.78
South African Rand	13.74	17.37	18.03	22.8	16.94
South Korean Won	1728.25	1742.84	1704.48	1733.72	1491.09
Swedish Krona	10.57	10.66	12.17	12.44	11.28
Swiss Franc	1.49	1.48	1.55	1.47	1.26
Tunisian Dinar	2.52	2.73	2.91	3	2.84
Turkish Lira	2.9	3.56	3.64	4.3	4.35



U.A.E. Dirham	5.97	6.08	5.72	5.41	4.54
Uruguay Peso	31.16	35.62	37.87	44.08	36.19
US Dollar	1.63	1.66	1.56	1.47	1.23

### Schedule 15 - Opening times of Racing Calendar Office

1. Unless and until the Authority otherwise gives notice, The Racing Calendar Office will open for the receipt of entries and other related transactions during the specific times listed below.

#### RACING OPERATIONS CALL CENTRE

TEL NO:- 01933 440011

Monday - Friday 8.30 a.m. - 4.30 p.m.

Saturday - Sunday 8.30 a.m. - 1.00 p.m.

Entries (see Rules 70 to 72)

2. Entries may be made by telephone from 2.30 p.m. on the day before the day of closing.

Scratchings (see Rules 85, 86 and 95)

3. Scratchings may be made by telephone at any time when The Racing Calendar Office is open and shall not be subject to withdrawal.

Declarations to run (see Rule 89 to 91)

4. Declarations to run may be made by telephone from 12.30 p.m. on the day before the declaration deadline (but from 11.00 a.m. if the day before the deadline falls at a weekend).

Declarations of rider (see Rules 92 and 93)

5. Declarations of Rider will be accepted only from 2.30 p.m. on the day before the day on which entries close (or in the case of races which close more than 6 days before running, from 2.30 p.m. on the day before the confirmation of entry deadline).

Declarations of non-runner (see Schedule 7)

6. Declarations of non-runners should be made via the dedicated telephone number (01933 222377). This is manned between **8.30 a.m.** and **4.30 p.m.** during the week and **8.30 a.m. and 1.00 p.m.** at weekends and Bank Holidays.

### Schedule 16 - Field size limits and stabling capacity

#### Establishing field size limits

1. Where necessary a Field Size Limit will be established for each race at a fixture.

2.1 The Field Size Limit is to be determined as follows.

2.2 All Class 1 Pattern and Listed Races and Heritage Handicaps (and any associated consolation races) and any other race which is authorised by the Authority and specified as such in the conditions of the race, will remain unaffected and the maximum number of runners permitted will be determined by the Safety Factor or Maximum Figure as applicable for the race.

2.3 All Hunters' Steeple Chases in Classes 4, 5 or 6, where programmed, will be reduced to a Field Size Limit down to a figure of nine for the race, as necessary, before the application of Field Size Limit for the remaining races.

2.4 All other races will be divided into the remaining Stabling Capacity for the fixture to give the individual Field Size Limit for each race.

2.5 Any potential race divisions will be included in this calculation on the assumption that they will take place.

3. Once the Field Size Limit has been established for a race it will be advertised in The Racing Calendar or the Racing Administration Internet Site.

4.1 At the 5 or 6 day entry stage or at the time determined in accordance with Part 6 for confirming entries, the Authority will reassess the Field Size Limits and alter accordingly if required.

4.2 In addition, at the time determined in accordance with Part 6 for making declarations to run, the Field Size Limits will be reviewed once the actual number of races to be run is known.

4.3 The individual Field Size Limit for any race will not exceed whichever is applicable of the Safety Factor or Maximum Figure.

4.4 The total of the Field Size Limits for all races at a given fixture will be equal to or less than the Stabling Capacity.

#### Maximising runners in relation to stabling capacity

5.1 At the time determined in accordance with Part 6 for making declarations to run, if the total number of horses exceeds the Stabling Capacity for a meeting, all horses beyond the Field Size Limit for each race will initially be treated as being eliminated from the race.

5.2 Once the final declarations are known, the spare stables created by races with fewer declarations than the Field Size Limit will be filled through a process of adding horses back in, race by race, until whichever is applicable of the Safety Factor or Maximum Figure for each race is reached.

5.3 This process will continue with each race in turn until all available stables have been filled.

6. The protocol for adding horses back in will be made race by race in an order determined by the Authority.

7.1 Where a fixture contains two or more races of the same race and class type, the Authority will select which race is given priority for the re-introduction of horses.

7.2 The precise order of races for each fixture in which such re-introduction will take place (known as the stabling race preference order) will be published on the Racing Administration Internet Site with the 5 or 6 day entries and confirmation of entries.

7.3 Subject to paragraph 7.4, at the time determined in accordance with Part 6 for making declarations to run, if a division occurs, the race in question will be repositioned at the end of the stabling race preference order within races of the same class, in order to ensure a more equitable optimisation of opportunities to run.

7.4 If repositioning the race in question would prevent it from dividing due to a lack of stables, then it will remain in its original position within the sequence and be permitted to divide as advertised.

8. Where elimination sequences are necessary, the horse given 1 in the elimination sequence will continue to be the first horse eliminated and so on as necessary and the sequence will extend beyond whichever is applicable of the Safety Factor or Maximum Figure and down to the Field Size Limit.

### Schedule 17 - British Owners and Breeders Incentive Scheme

1.1 The Table below specifies the relevant races and the value of prizes in respect of which a payment will be made, subject to the provisions of Rules 128A - 128C.

1.2 In the event of any dispute in connection with the Scheme, the decision of the Authority shall be final.

1.3 In the event of the Scheme being withdrawn no further prizes shall be made to the Breeder, Registrant, Owner or Nominator.

2.1 In the event of a dead-heat for first or second place, the full prize will be awarded to the Registrant and Owner as if the horse had won the race or been placed second outright.

3.1 The Stakeholder shall distribute the prizes in the following percentages:-

- 3.1.1 30% to the Registrant
- 3.1.2 60% to the Owner
- 3.1.3 5% to the Trainer
- 3.1.4 3% to the Rider, and
- 3.1.5 2% to the Stable.

3.2 A payment due under Paragraph 3.1.3 shall instead be made to the Owner of the horse in any case where the horse is trained outside Great Britain, France or Ireland.

Flat races - three year olds	Prize Value Winner	
3 year old Maiden Races - Class 2 - 4	£6,000	
3 year old Maiden Fillies only Races - Class 5	£6,000	
3 year old Novice Races - Class 2 - 4	£6,000	
3 year old Handicaps - Class 2 - 4	£6,000	
3 year old Conditions Stakes - Class 2 - 4	£6,000	
<b>3 year old Fillies only Races – Class 2 - 4</b>	<b>£10,000</b>	

### Index of Defined Expressions

1. This index provides a guide to words or expressions which are defined generally and so liable to be met in provisions which do not themselves contain the definition.
2. Where a term is used only in one Rule, the definition will be set out in that Rule. Always check the Rule itself before looking at this index.
3. Where a term is used in more than one place, it will start with a capital letter. The second column of this index tells you where you can find the substantive definition.
4. This index is not part of these Rules.

<i>Defined term</i>	<i>Where term is defined (references are to Rules in this Manual unless other specified)</i>
Advertised Claiming Price	52.1
All Weather Track	152
Amateur Rider	150
Apprentice Jockey	149
Arrears	152
Authorised Agent	152
the Authority	152
the Authority's Office	152
Beginners' Steeple Chase	5.5.3
Claiming Race	3.3
Classification of Races	Schedule 2
Classified Stakes (flat races)	4.4
Classified Stakes (jump races)	5.6
Conditional Jockey	149
Conditions Race	4.3
Conditions Stakes (flat races)	4.4
Disciplinary Action	152
Disqualified Person	152
Eligible Horse (in relation to the Breeders' prize Scheme)	123.2
European Pattern Race Book	9
Field Size Limit	152
The Flat Season	Schedule 1
Free Handicap	3.5
French AQPS Flat Race	9
Guaranteed Minimum Value	2.3
Handicap Race	3.1
Handicapper	132

Handicap Rating	132
Heritage Handicap (flat)	4.8
HFL	66
Hunters' Steeple Chase	5.5.1
Jockey	149
Jockeys' Association Pension Fund	152
Jockey's Valets' Attendance Fund	152
The Jump Season	Schedule 1
Juvenile Horse	9
Listed Race (flat races)	4.2
Listed Race (jump races)	5.2
Maiden Horse	6
Maiden Race (flat races) (open maiden race, Maiden Handicap, Maiden auction race, Median auction Maiden race and rating related Maiden race)	4.5
Maiden Race (jump races)	5.3
Match	2.2
Maximum Figure	152
Money Added to Stakes	9
National Hunt Flat Race	9
Nominator	152
Novelty Race	3.6
Novice Horse	7
Novice Hunters' steeple chase	5.5.2
Novice Race (flat races) (Novice flat race, Novice auction race and Median auction Novice Race)	4.6
Novice Race (jump races)	5.4
Nursery Handicap	4.9
Owner	151
Overseas Rider	150
owners' prize money pool	9
Pattern Race (flat races)	4.1
Pattern Race (jump races)	5.1
Person	152
Prescribed	152
Private Sweepstakes	2.2
Privately Trained Horse	152.3
Prize Money	9
race	2.1
Racecourse Managing Executive	13.2
Racecourse Property	152
Racing Administration Internet Site	152
Racing Calendar	152
The Racing Calendar Office	152
Racing Partnership	152
Recognised Company	152

Recognised Meeting	9
Recognised Club	152
Recognised Stud Company	152
Recognised Racing Authority	152
Register of Stable Employee Names	152
Registered Agent	152
Rider	148
Safety Factor	152
the Scheme (Breeders' Prize Scheme)	123.5
Scratching	152
Scratching Deadline	152
Selling Race	3.4
Stable Staff Association	152
Stabling Capacity	152
Stake	107
Stakeholder	107
Sweepstakes	2.3
these Rules	147
Time of Entry	152
Total Prize Fund	9
Total Prize Fund race	2.2
Trainer	152
Unrecognised Meeting	9
VAT	152
Veterinary Officer	152
Veterinary Surgeon	152
Weight-for Age	3.2
the Winter Flat Season	Schedule 1

1.1 Paragraphs 2 to 5 of this Schedule specifies categories of races which are permitted to divide, subject to the provisions of Rules 27, 28, 39 and 40.

2.1 Subject to Paragraph 2.2, at all Afternoon Meetings, and at those Evening or Twilight Meetings outside the period when Evening Meetings on turf are programmed,

**2.1.1 National Hunt Flat races in which the Total Prize Fund is £5,000 or less.**

**2.1.2 Other weight-for-age races in which the Total Prize Fund is £10,000 or less.**

**2.1.3 Handicap races in which the Total Prize Fund is £8,200 or less.**

2.2 Paragraph 2.1 does not apply to Selling **races**, Class 7 races **and Hunters Steeple Chases**.

## **1. Application and Scope**

These Rules shall be known as the Equine Anti-Doping Rules and shall apply to the following Horses and Persons:

### **1.1 Any Horse which is**

1.1.1 foaled in Great Britain and Notification provided to the General Stud Book. Unless otherwise approved by the Authority, breeders must provide notification to the General Stud Book within 30 days of the Horse's birth;

1.1.2 foaled in Ireland and registered with the General Stud Book, and present in Great Britain;

1.1.3 permanently imported into Great Britain to be trained in Great Britain. Horses permanently imported into Great Britain must have an Export Certificate filed to the General Stud Book within 90 days of their arrival;

1.1.4 trained outside of Great Britain and entered for a race in Great Britain under the Rules;

1.1.5 otherwise present in Great Britain for training or racing purposes.

### **1.2 Responsible Persons and their Support Personnel;**

1.3 Any other Person who agrees or is deemed to have agreed to be bound by the Equine Anti-Doping Rules.

1.4 Persons who are or have been subject to these Equine Anti-Doping Rules are deemed to have knowledge of them, including any amendments, and they agree to comply with them at all times.

## **2. Equine Anti-Doping Rule Violations**

Responsible Persons and their Support Personnel shall be responsible for knowing what constitutes an equine anti-doping rule violation and the substances and methods that have been included on the Prohibited List.

The following constitute equine anti-doping rule violations under these Equine Anti-Doping Rules.

### **2.1 *The presence of a Prohibited Substance in a Horse's Sample.***

2.1.1 It is each Responsible Person's personal duty to ensure that no Prohibited Substance is present in a Horse's body. Responsible Persons are responsible for any Prohibited Substance found to be present in a Horse's Sample. It is not necessary that intent, fault, negligence or knowing Use be demonstrated to establish an equine anti-doping rule violation under Rule 2.1.

2.1.2 The presence of a substance in a Horse's body shall only constitute a violation of Rule 2.1 if it is found to be present at a time at which it is prohibited under these Equine Anti-Doping Rules.

Accordingly, the presence of a substance in a Horse's body Out-of-Competition will not be a violation of Rule 2.1 if the substance concerned is prohibited on Raceday only.

2.1.3 Subject to Rule 2.1.4, sufficient proof of an equine anti-doping rule violation under Rule 2.1 is established by any of the following: presence of a Prohibited Substance in the Horse's A Sample where the Responsible Person waives or is deemed to have waived analysis of the B Sample and the B Sample is not analysed; or where the Horse's B Sample is analysed and the analysis of the Horse's B Sample confirms the presence of the Prohibited Substance found in the Horse's A Sample; or, where the Horse's B Sample is split into two portions and the analysis of the second portion confirms the presence of the Prohibited Substance found in the first.

2.1.4 Rule 2.1.3 shall not apply where the Prohibited Substance is present only in a hair Sample. Nothing however shall prohibit the use of hair Sample Analysis to establish any other equine anti-doping rule violation, whether on its own or in conjunction with other evidence.

2.1.5 Except for those substances for which a quantitative threshold is specifically identified in the Prohibited List, the presence of any quantity of a Prohibited Substance in a Horse's Sample shall constitute an equine anti-doping rule violation.

2.1.6 As an exception to the general rule of Rule 2.1, these Rules may provide for an investigation to be carried out for the evaluation of Prohibited Substances that can also be produced endogenously.

### **2.2 *Use or Attempted Use of a Prohibited Substance or a Prohibited Method.***

2.2.1 It is the personal responsibility of each Responsible Person to ensure that no Prohibited Substance enters a Horse's body and that no Prohibited Method is used. Accordingly, it is not necessary that intent, fault, negligence or knowing Use on the part of the Responsible Person be demonstrated in order to establish an equine anti-doping rule violation for the Use of a Prohibited Substance or Prohibited Method. In accordance with the definition of Attempt, demonstrating the Attempted Use of a Prohibited Substance or Prohibited Method requires proof of intent but that fact does not undermine the strict liability principle established for violations of Rules 2.1 and 2.2 in respect of the Use of a Prohibited Substance or a Prohibited Method.

2.2.2 The success or failure of the Use or Attempted Use of a Prohibited Substance or a Prohibited Method is not material. It is sufficient that the Prohibited Substance or Prohibited Method was Used or Attempted to be Used for an equine anti-doping rule violation to be committed.

2.2.3 Under the strict liability principle, a Responsible Person shall be liable under Rules 2.1 and 2.2 even if the Use or Attempted Use of a Prohibited Substance or a Prohibited Method was undertaken by a member of his Support Personnel. A Responsible Person is ultimately responsible for the actions of his Support Personnel.

2.2.4 The application of Rule 2.2.3 above does not exclude members of a Responsible Person's Support Personnel from being considered additionally liable for other violations of this Rule 2 should the circumstances so warrant.

2.2.5 The Use Out-of-Competition of a Prohibited Substance or Prohibited Method that is not prohibited at all times will not constitute an equine anti-doping rule violation under these Equine Anti-Doping Rules.

**2.3 *Evading or, without compelling justification, Refusing or Failing to Submit to Sample Collection after notification of Doping Control in accordance with the Equine Anti-Doping Rules.***

2.3.1 It is the personal responsibility of each Responsible Person to ensure that a Horse under his care submits to Sample collection after notification of Doping Control in accordance with the Equine Anti-Doping Rules. This responsibility extends even if the Responsible Person is absent at the time of notification and a member of his Support Personnel acts on the Responsible Person's behalf. Responsible Persons are ultimately responsible for the actions of their Support Personnel.

2.3.2 A violation of failing to submit to Sample collection may be based on either intentional or negligent conduct while evading or refusing Sample collection contemplates intentional conduct. Evading Sample collection shall include without limitation hogging a Horse's mane or tail with the intention of preventing a hair Sample from being collected.

**2.4 *Tampering, or Attempted Tampering, with any part of Doping Control.***

2.4.1 Responsible Persons and their Support Personnel shall not Tamper or Attempt to Tamper with any part of the Doping Control process.

2.4.2 Tampering shall include without limitation intentionally interfering or attempting to interfere with a Doping Control Official, altering the integrity or validity of a Sample through its substitution and/or adulteration, providing fraudulent or misleading information to the Authority or intimidating or attempting to intimidate a potential witness.

**2.5 *Administration or Attempted administration of a Prohibited Substance or a Prohibited Method.***

2.5.1 No Person shall administer, Attempt to administer, allow or cause to be administered or connive in the administration to a Horse of any Prohibited Substance or Prohibited Method that is prohibited at all times.

2.5.2 A record pursuant to Rule (C)13 that a Prohibited Substance or Prohibited Method prohibited at all times has been administered to a Horse shall be considered to be evidence of administration for the purposes of this Rule.

2.5.3 Administration shall include actions involving Prohibited Substances and Prohibited Methods which are prohibited on Raceday only unless they are intended for genuine therapeutic purposes.

**2.6 *Possession of a Prohibited Substance or a Prohibited Method.***

No Person shall possess any Prohibited Substance or Prohibited Method unless he can demonstrate acceptable justification for the Possession.

2.6.1 Possession shall mean Possession on a racecourse of any Prohibited Substance or Prohibited Method prohibited on Raceday only.

No Person apart from a Veterinary Officer or racecourse Veterinary Surgeon shall bring onto premises owned, used or controlled by the Racecourse Managing Executive at any time any Prohibited Substance that is prohibited on Raceday only, or any means of administering such substance, unless dispensation is granted by a Veterinary Officer. Premises owned, used or controlled by the Racecourse Managing Executive for this purpose do not include vehicles on such premises under the control of the Responsible Person or his Support Personnel.

2.6.2 Possession shall mean Possession at any time of any Prohibited Substance or Prohibited Method which is prohibited at all times.

The only acceptable justification would be a veterinarian being in Possession of Prohibited Substances or Prohibited Methods for the treatment of animals which are not subject to these Equine Anti-Doping Rules or a Responsible Person or member of his Support Personnel being in Possession of a Prohibited Substance or Prohibited Method for his own personal Use on justifiable medical grounds.

**2.7 *Trafficking or Attempted Trafficking in any Prohibited Substance or Prohibited Method prohibited at all times.***

Responsible Persons and their Support Personnel shall not Traffic or Attempt to Traffic any Prohibited Substance or Prohibited Method prohibited at all times.

## **2.8 *Whereabouts failures***

2.8.1 An equine anti-doping rule violation shall be committed by a Responsible Person if he commits three Filing Failures within a 12-month period.

2.8.2 An equine anti-doping rule violation is deemed to be committed if a Horse is subject to three Missed Tests within an 18-month period.

## **2.9 *Complicity***

No Responsible Person, member of his Support Personnel or other Person shall assist, encourage, aid, abet, conspire, cover up or engage in any other type of intentional complicity involving an equine anti-doping rule violation.



### **3. Proof of Doping**

#### **3.1 *Burdens and Standards of Proof***

The Authority shall have the burden of establishing that an equine anti-doping rule violation has occurred. The standard of proof shall be whether the Authority has established the equine anti-doping rule violation to the civil standard. Where these Rules place the burden of proof upon the Responsible Person or other Person to rebut a presumption or to establish specified facts or circumstances, the standard of proof shall be the civil standard.

#### **3.2 *Methods of Establishing Facts and Presumptions***

Facts related to equine anti-doping rule violations under these Equine Anti-Doping Rules may be established by any reliable means, including but not limited to admissions, witness statements, documentary evidence, conclusions drawn from longitudinal profiling and the analysis of any Sample. The following rules of proof shall be applicable in doping cases:

3.2.1 BHA-approved laboratories are presumed to have conducted Sample Analysis and custodial procedures in accordance with the Laboratory Standards.

The Responsible Person or other Person may rebut this presumption by establishing that there was a departure from the Laboratory Standards which could have reasonably caused the Adverse Analytical Finding. If the Responsible Person or other Person rebuts the presumption, the Authority shall have the burden of establishing that the departure from the Laboratory Standards did not cause the Adverse Analytical Finding. If the Authority discharges that burden, the departure from the Laboratory Standards shall not invalidate the Adverse Analytical Finding.

3.2.2 Departures from the Sample collection procedures or other equine anti-doping standard, rule or regulation which did not cause an Adverse Analytical Finding or other equine anti-doping rule violation shall not invalidate such evidence or results. If the Responsible Person or other Person establishes a departure from the Sample collection procedures or other equine anti-doping standard, rule or regulation which could reasonably have caused an Adverse Analytical Finding or other equine anti-doping rule violation, the Authority shall have the burden to establish that such departure did not cause the Adverse Analytical Finding or the factual basis for the equine anti-doping rule violation.

3.2.3 The facts established by a decision of a court or disciplinary tribunal of competent jurisdiction which is not the subject of a pending appeal shall be irrebuttable evidence against the Responsible Person or other Person to whom the decision related.

## **4. The Prohibited List**

4.1 The Authority shall publish the Prohibited List at least once a year and more frequently as may be required. Each annual version of the Prohibited List and any revisions to it shall be published on the Authority's Rules of Racing website.

4.2 The Prohibited List shall identify those Prohibited Substances and Prohibited Methods which are (i) prohibited at all times (both on Raceday and Out-of-Competition) (ii) which are prohibited on Raceday only and (iii) which are prohibited for the purposes of Stalls Tests. Prohibited Substances and Prohibited Methods may be included in the Prohibited List by general category (e.g., anabolic agents) or by specific reference to a particular substance or method.

4.3 The Authority's determination of the categories of Prohibited Substances and Prohibited Methods on the Prohibited List, the inclusion of specific substances or methods as Prohibited Substances or Prohibited Methods, the classification of substances or methods into categories and the classification of substances and methods as being prohibited at all times, on Raceday only and for the purposes of Stalls Tests is final and not subject to challenge by a Responsible Person or other Person.

## 5. Testing

5.1 The Authority shall have Raceday and Out-of-Competition Testing authority over all Horses which are subject to these Equine Anti-Doping Rules.

5.2 The Authority and its assignees or designees may collect a Sample from any Horse over which it has Testing authority which has not permanently retired from Racing, including from any Horse that is serving a period of suspension under these Equine Anti-Doping Rules. The permanent retirement of a Horse from Racing shall take effect on the registration of a Non-Racing Agreement with the Authority or other notification of retirement as provided for by the Rules of Racing.

5.3 Testing may be conducted at any time and at any place, including Testing on a Raceday and Testing Out-of-Competition. The selection of Horses for Testing may either be random or based on Target Testing. For a Horse foaled in Great Britain and not yet in Training, the Authority will provide the Responsible Person with notice of intention to carry out testing.

5.4 The Authority shall approve Persons to collect Samples under these Rules. An approved Person (or an officer of an approved Person where such Person is a corporate body) must, if required to do so, be able to produce evidence of his appointment and authority to collect Samples under the Equine Anti-Doping Rules.

5.5 All Testing conducted by the Authority or on its behalf shall be conducted in substantial conformity with the Sample collection procedures set out in Schedule 3.

5.6 The Authority may collect Samples at the time of a Stalls Test in accordance with Schedule (C)5 for the detection of Prohibited Substances listed at section 12 of the Prohibited List.

5.7 Whereabouts Information: In order for the Authority to be able to collect Samples from Horses at any time and any place, Responsible Persons shall be required to comply with the whereabouts requirements set out in Schedule 2.

5.7.1 If a Responsible Person fails to notify the Authority of a Horse's whereabouts in accordance with the requirements of Schedule 2, it shall be deemed to be a Filing Failure for the purposes of Rule 2.8 where the relevant conditions for determining a Filing Failure in Schedule 2 have been met. A Responsible Person shall be deemed to have committed an equine anti-doping rule violation if he commits a total of three Filing Failures within a 12-month period.

5.7.2 If a Horse is unavailable for Testing based on whereabouts information provided by the Responsible Person, it shall be deemed to be a Missed Test where the relevant conditions for determining a Missed Test in Schedule 2 have been met. An equine anti-doping rule violation shall be deemed to have occurred if a Horse has been subject to three Missed Tests within an 18-month period.

5.7.3 The Authority may rely for the purposes of Rule 2.8 on Filing Failures or Missed Tests that have been declared by other Recognised Racing Authorities with Testing jurisdiction over a Horse provided that they have been declared on rules the same or similar to those in these Equine Anti-Doping Rules.

5.8 If a Responsible Person knowingly provides inaccurate or misleading information to the Authority about the whereabouts of a Horse, he may further be deemed to have violated Rule 2.3 (Evading Sample Collection) and/or Rule 2.4 (Tampering or Attempting to Tamper with the Doping Control process).

## 6. Analysis of Samples

6.1 For the purposes of Rule 6.2, Samples shall be analysed only in BHA-approved Laboratories or using BHA-approved equipment. The choice of the BHA-approved Laboratory used for Sample analysis shall be determined exclusively by the Authority (except where a Responsible Person or other Person chooses under these Equine Anti-Doping Rules to have a B Sample analysed at a BHA-approved Laboratory different to the one that conducted the A Sample analysis).

6.2 Samples shall be analysed to detect Prohibited Substances and Prohibited Methods identified on the Prohibited List, to assist the Authority in profiling relevant parameters in a Horse's urine, blood, hair or other matrix or for any legitimate anti-doping purpose.

6.3 BHA-approved Laboratories shall analyse Samples and report results to the Authority in conformity with the Laboratory Standards. Compliance with the Laboratory Standards shall be sufficient to conclude that the procedures addressed by the Laboratory Standards have been properly performed.

6.4 All Samples collected from Horses under these Equine Anti-Doping Rules shall be the property of the Authority.

6.5 If, at any stage, any question or issue arises in relation to a Sample, the Authority may require further or other analyses to be conducted as necessary to clarify the question or issue raised and the results of such analyses may be relied upon by the Authority when deciding whether a Sample has given rise to an Adverse Analytical Finding or other equine anti-doping rule violation under these Rules.

6.6 In any case where the analysis of a Sample from a Horse does not give rise to an Adverse Analytical Finding, the Responsible Person or other Person must co-operate if requested by the Authority with

6.6.1 any enquiry by the Authority about substances (including normal nutrients) which are administered to other Horses in the stable from which the Tested Horse has come; and

6.6.2 any other enquiry into the matter that is made by the Authority in exercise of its powers under Part (A)5.

6.7 The Authority may in such circumstances and subject to such procedures as it may specify instruct an BHA-approved Laboratory to re-seal and store Samples from any Horse and to subject stored Samples to analysis. Instructions given by the Authority under this Rule may relate to all Samples collected from a Horse or Horses or to particular Samples or categories of Sample collected. The re-sealing and storage procedures shall be deemed to have been properly carried out by the BHA-approved Laboratory unless the Responsible Person or other Person establishes to the contrary to the satisfaction of the Authority. In the event that a stored Sample gives rise to an Adverse Analytical Finding or other equine anti-doping rule violation, a results management process will be conducted in accordance with the provisions below.

6.8 Any prize or other money to which a Responsible Person or other Person would become entitled in respect of a Horse from which a Sample has been taken does not become payable until the outcome of the analysis is known. Where any such money is credited to a Person in error, the recipient must return it immediately the error becomes known.

## 7. Results Management

7.1 All results management procedures arising out of Testing or other equine anti-doping rule violations shall be conducted by the Authority as provided below.

7.2 **Review of Adverse Analytical Findings:** Upon receipt of an Adverse Analytical Finding, the Authority shall promptly appoint an Approved Person to visit the Responsible Person at his registered premises in order to conduct a first interview.

7.3 Prior to conducting the first interview, the Authority shall notify the Responsible Person in writing of

7.3.1 the Adverse Analytical Finding;

7.3.2 the equine anti-doping rule violated;

7.3.3 the Responsible Person's right to request the analysis of the B Sample within three clear working days or, failing such request, that the B Sample analysis shall be deemed to have been waived and the A Sample results accepted;

7.3.4 the opportunity for the Responsible Person to elect to have the B Sample analysed at Laboratoire Des Courses Hippiques (LCH) or if it is unable to carry out the analysis at Deutsche Sporthochschule Köln Institut für Biochemie - Germany (DSKIB), in which case the Responsible Person will be responsible for all costs associated with the transportation of the Sample to that Laboratory and the subsequent B Sample analysis; and

7.3.5 the opportunity for the Responsible Person to request at his own expense that a witness be present to represent him at the B Sample analysis. To assist the Responsible Person, the Authority will provide him with a list of persons who have the required expertise to act as scientific witnesses and have agreed to act in such capacity, but the Responsible Person will not be bound by the list and may select a witness of his own choice. Whichever witness is chosen by the Responsible Person, he must be available to attend on the designated date for the B Sample analysis.

7.4 In conducting the first interview with the Responsible Person, the Approved Person shall have the powers set out in Rules (A)48 and 49 and the failure or refusal of a Responsible Person to co-operate with the Authority without good cause may result in separate Disciplinary Action being taken under the Rules. For the avoidance of doubt, a request by the Responsible Person for a reasonable delay in conducting the interview with the Approved Person whilst he seeks legal advice and/or representation shall not be considered as a failure or refusal to co-operate with the Authority.

7.5 If the Responsible Person does not accept the A Sample result at the time of the first interview, he shall be required to confirm to the Authority in writing within three clear working days of being notified of the Adverse Analytical Finding whether or not he wishes for the B Sample to be analysed and, if so, at which B Sample Laboratory. Confirmation by the Responsible Person for this purpose may be made by electronic transmission. If the Responsible Person requests for the B Sample to be analysed, the Authority shall instruct the relevant B Sample Laboratory to carry out the B Sample analysis within a maximum of ten days.

7.6 If the Responsible Person accepts the A Sample result or fails to confirm that he wishes to have the B Sample analysed within the stipulated time, the Authority may nonetheless elect at its discretion to have the B Sample analysed promptly. In such case, the B Sample analysis shall only be used to confirm the Adverse Analytical Finding. The Responsible Person is deemed to have waived his right to a B Sample analysis if he does not request the B Sample analysis within the stipulated time-limit.

7.7 Where the B Sample analysis confirms the presence of the Prohibited Substance in the Adverse Analytical Finding, the B Sample Laboratory will issue a Certificate of Analysis together with supporting analytical data. The Certificate of Analysis relating to the A Sample and, where applicable, the B Sample, together with supporting analytical data, will be made available to the Responsible Person at his cost.

7.8 Where the B Sample analysis does not confirm the presence of the Prohibited Substance in the Adverse Analytical Finding, the analysis will be reported as being negative and no Disciplinary Action will be taken unless there are reasonable grounds to believe that the integrity of the B Sample may have been deliberately violated or other evidence of a non-forensic nature is available, in which case the Authority may proceed on the basis of the A Sample alone.

7.9 **Review of Adverse Analytical Findings involving endogenous substances:** Where the Adverse Analytical Finding involves a substance that may be produced endogenously, the Authority may at its discretion decide to conduct any follow-up investigation it deems to be necessary, including but not limited to that provided in 7.10 and 7.11.

7.10 Where the Prohibited Substance is capable of being produced endogenously but may have originated

externally to the Horse

7.10.1 the Authority may direct that the Horse be further examined by an Approved Person appointed by the Authority (including where necessary the collection of a further Sample or Samples) in order to establish whether the quantity of the substance found could have been produced naturally by the Horse; and

7.10.2 if the Authority does not direct such further examination, the Responsible Person for the Horse may request it.

7.11 In exercise of its powers under Part (A)5, the Authority may further decide to enquire into the matter by authorising the removal of samples of any food or other substances found at the Responsible Person's yard or premises and, in such a case

7.11.1 the Responsible Person must, on request, provide samples of any food or substances requested, and

7.11.2 the Authority may retain the samples until the conclusion of the enquiry process and may subject them to such testing as it considers appropriate.

#### 7.12 The Responsible Person

7.12.1 may appoint a witness to observe any analysis of samples obtained under Rules 7.10 or 7.11 which is carried out by staff at a BHA-approved Laboratory, or

7.12.2 on the release to the Responsible Person of samples obtained under Rule 7.11, may arrange for testing to be carried out at a laboratory nominated by him.

7.13 Unless the Authority directs otherwise, the costs of any analysis referred to in Rule 7.10.1 will be divided equally between the Authority and the Responsible Person.

7.14 For the purposes of Rule 7.12.2

7.14.1 the Responsible Person must make a written request to the Authority for the samples to be released,

7.14.2 any laboratory nominated by the Responsible Person must be approved by the Authority, and

7.14.3 if the Authority appoints an analyst to review the laboratory's processes, the analyst must be given the option of witnessing the analysis of the samples.

7.15 Where the Authority decides to investigate an Adverse Analytical Finding involving an endogenous substance, it will not normally provide notice of the Adverse Analytical Finding to the Responsible Person until it has completed its investigation. The Authority may decide however that the B Sample should be analysed prior to the conclusion of the investigation in which case it shall notify the Responsible Person of the Adverse Analytical Finding and of the information set out in Rules 7.3.4 and 7.3.5.

**7.16 Review of Whereabouts Failures:** The results management in respect of an apparent Filing Failure or Missed Test shall be conducted by the Authority in accordance with the provisions of Schedule 2.

**7.17 Review of Other Equine Anti-doping Rule violations:** For apparent equine anti-doping rule violations that do not involve Adverse Analytical Findings or Whereabouts Failures, the Authority shall appoint an Approved Person to conduct any necessary follow up investigation and at such time as the Authority is satisfied that an equine anti-doping rule violation has occurred, it shall promptly notify the Responsible Person of the equine anti-doping rule which appears to have been violated and the basis of the violation. Where appropriate, members of Support Personnel or other Persons who may have committed equine anti-doping rule violations under these Rules shall receive notification of the equine anti-doping rule violation and all relevant corresponding documents.

## **8. Provisional Suspensions**

8.1 When an Adverse Analytical Finding is reported for the presence of any Prohibited Substance prohibited at all times or for the use of a Prohibited Method prohibited at all times, unless Rule 11.6.4.2 applies, the Authority shall provisionally suspend the Horse prior to the opportunity for a full hearing once the notification and interview process described in Rule 7 has been conducted.

8.2 When an Adverse Analytical Finding is reported for the presence of a Prohibited Substance prohibited on Raceday only or where another equine anti-doping rule violation is alleged to have occurred, unless Rule 11.6.4.2 applies, the Authority may provisionally suspend the Horse prior to the opportunity for a full hearing once the notification and interview process described in Rule 7 has been conducted.

8.3 When an Adverse Analytical Finding is reported for the presence of a Prohibited Substance prohibited at a Stalls Test from a Sample collected in connection with a Stalls Test, if the Horse has not run prior to the notification to the Responsible Person of the Adverse Analytical Finding, then the Horse shall be deemed to have failed the Stalls Test and a further Stalls Test must not be carried out until at least 28 days after the date of Sample collection.

8.4 When an Adverse Analytical Finding is reported for the presence of any Prohibited Substance or where another equine anti-doping rule violation is alleged to have occurred, a Trainer may be provisionally suspended following the procedure in Rule (A)63 and Schedule (A)9.

8.5 If a provisional suspension is imposed by the Authority, either the full enquiry before the Disciplinary Panel shall be advanced to a date which avoids substantial prejudice to the Person alleged to have committed the equine anti-doping rule violation or such Person shall be given an opportunity for a preliminary hearing, either on a timely basis after the imposition of the provisional suspension or before imposition of the provisional suspension in order to show cause why the provisional suspension should not be imposed (or should be lifted). Where a Horse is provisionally suspended, the Owner shall have the right to request a preliminary hearing.

8.6 If a provisional suspension is imposed based on an A Sample Adverse Analytical Finding and a subsequent B Sample analysis (if requested by the Responsible Person or the Authority) does not confirm the A Sample analysis, then the Responsible Person or Horse shall not be subject to any further provisional suspension on account of a violation of Rule 2.1. In circumstances where the Horse has been removed from a race based on a violation of Rule 2.1 and the subsequent B Sample analysis does not confirm the A Sample finding then if, without otherwise affecting the race, it is still possible for the Horse to be reinstated, the Horse may take part in the race.

## **9. Retirement from Horseracing**

In accordance with Rule (A)2, if whilst a results management process is underway or before it has begun, a Responsible Person and/or member of his Support Personnel ceases to be subject to the Rules and/or the Horse is retired from Racing, the Authority retains jurisdiction to complete the process as provided in these Equine Anti-Doping Rules.



## **10. Disciplinary Enquiries**

10.1 When it appears to the Authority following any of the results management processes described in Rule 7 that a violation of these Equine Anti-Doping Rules has been committed, then the case shall be submitted to a Disciplinary Panel for enquiry and adjudication.

10.2 The procedures governing the enquiry before the Disciplinary Panel are set out in Schedule (A)6.

## **11. Penalties**

11.1 The Disciplinary Panel shall have power to impose penalties and consequences for equine anti-doping rule violations committed under these Equine Anti-Doping Rules as set out as follows.

### **11.2 Automatic Disqualification of the Horse from the Race**

11.2.1 An equine anti-doping rule violation in connection with a Raceday Test automatically leads to disqualification of the Horse from the race in question pursuant to Rule (A)74 with all resulting consequences for the Responsible Person, member of the Support Personnel and/or the Horse including the forfeiture of all titles, physical prizes and trophies and prize or other money.

### **11.3 Disqualifications/Withdrawals and Fines for Responsible Persons or other Person**

11.3.1 Presence or Use of a Prohibited Substance or Prohibited Method (except in connection with a Stalls Test).

The Authority will impose a penalty on the Responsible Person unless the condition for imposing no penalty on the Responsible Person in Rule 11.4 is met.

11.3.2 Presence or Use of a Prohibited Substance (Stalls Test)

The Authority will impose a financial penalty on the Responsible Person unless the condition for imposing no penalty on the Responsible Person in Rule 11.4 is met.

11.4 If the Responsible Person establishes in an applicable case under Rule 11.3.1 or 11.3.2 that

11.4.1 The Prohibited Substance or Prohibited Method was not administered intentionally by the Responsible Person or by any other Person (whether or not connected to the Responsible Person in any way); and

11.4.2 The Responsible Person had taken all reasonable precautions to avoid violating Rule 2.1 or 2.2

then no penalty shall be imposed on the Responsible Person.

11.5 When deciding the appropriate penalty in a case, the Disciplinary Panel shall have reference to the Authority's Guide to Procedures and Penalties as may be amended from time to time. If the Disciplinary Panel decides to disqualify a Responsible Person or other Person, disqualification shall have the consequences for a Disqualified Person as set out in Rule (A)71.

### **11.6 Consequences for Horses**

11.6.1 Disqualification of the Horses in relation to races already run, subsequent to Sample collection or the commission of another equine anti-doping rule violation

In addition to the automatic disqualification of the Horse from the race in accordance with Rule 11.2.1, all other results obtained by the Horse in races from the date a positive Sample was collected (whether on Raceday or Out-of-Competition) or other equine anti-doping rule violation occurred through to the commencement of any provisional suspension or suspension period shall, subject to Rule 11.6.4.2, be disqualified with all resulting consequences for the Responsible Person, member of the Support Personnel and/or the Horse including the forfeiture of all titles, physical prizes and trophies and prize or other money. Notwithstanding any of the above, a Horse may be disqualified from one or more races already run in such circumstances as the Authority considers it appropriate.

11.6.2 Suspensions/Mandatory Stand Down Periods

11.6.2.1 Subject to Rule 11.6.4, in the case of a violation of Rule 2.1 (Presence of a Prohibited Substance) where the Adverse Analytical Finding is for a Prohibited Substance that is prohibited at all times; or Rule 2.2 (Use of a Prohibited Substance or Prohibited Method) where the Use is of a Prohibited Substance or Prohibited Method that is prohibited at all times; or Rule 2.7 where the Administration of a Prohibited Substance or a Prohibited Method is of a Prohibited Substance or Prohibited Method

that is prohibited at all times; Rule 2.3 (Evading, Refusal or Failure); or Rule 2.8 (Missed Tests), the Horse shall be subject to:

- 14 months suspension from racing; and
- 12 months mandatory stand down,

which shall run concurrently.

11.6.2.2 Notwithstanding Rule 11.6.2.1, a Horse may be suspended from running in such circumstances as the Authority considers it appropriate.

11.6.3 For the purposes of Rule 11.6.2.1,

(a) "suspension from racing" shall mean that the Horse will be suspended from running in races run under the Rules and under the British Horseracing Authority Regulations for Point-to-Point Steeple Chases and under the British Horseracing Authority Regulations for Arabian Horse Racing;

(b) "mandatory stand down" shall mean that the Horse will be excluded from being registered as in training and from being stabled in any yard that is licensed by the Authority. The Horse shall however remain subject to Testing throughout the mandatory stand down period.

11.6.4 The combined period covered by (i) disqualification of all the Horse's results under Rule 11 and (ii) the Horse's provisional suspension and/or suspension from racing shall not exceed 14 months in total.

11.6.4.1 Where by application of this Rule 11.6.4 the suspension to be served by the Horse is reduced to a period of less than 14 months, there shall be an equivalent reduction in the mandatory stand down period;

11.6.4.2 Where the Adverse Analytical Finding for a substance prohibited at all times arises from a Sample that has been stored by the Authority and analysed (or re-analysed) 14 months or more after the date of its collection, or where another equine anti-doping rule violation is discovered 14 months or more after the date of its commission, the disqualification of results obtained by the Horse in races after the Sample was collected or after the other equine anti-doping rule violation was committed shall be limited in time to 14 months following the date of the Sample collection or the commission of the other equine anti-doping rule violation and the Horse shall serve no period of provisional suspension, suspension or mandatory stand down.

## **11.7 Commencement Date of Period of Disqualification/Withdrawal and Suspension/Mandatory Stand Down**

11.7.1 Except as provided in Rules 11.7.1.1 and 11.7.1.2, the period of disqualification/withdrawal or suspension and mandatory stand down imposed on any Person or Horse (as applicable) shall commence on the date of the final hearing decision providing for a disqualification/withdrawal or suspension and mandatory stand down or, if there is no hearing, on the date the disqualification/withdrawal or suspension/mandatory stand down is accepted or otherwise imposed.

11.7.1.1 Credit for Provisional Suspension served

If a provisional suspension is imposed by the Authority, and is respected by the Responsible Person and/or member of the Support Personnel or Horse, then a credit shall be received for such period of provisional suspension against any period of disqualification/withdrawal or suspension/mandatory stand down which may ultimately be imposed as determined by the Disciplinary Panel.

11.7.1.2 No credit against any period of disqualification/withdrawal or suspension/mandatory stand down shall be given for any time period before the

effective date of the provisional suspension regardless of whether the Horse did not compete.

11.8.1 Where this Rule 11 provides for the forfeiture of all titles, physical prizes and trophies and prize or other money, that forfeiture shall apply to any recipient of those prizes or payments, whether or not they are the Responsible Person.

11.8.2 Where this Rule 11 provides for the forfeiture of prize money, that forfeiture shall not apply to money paid to the stable of the horse.

## **12. Appeals**

12.1 Appeals against final decisions or orders of the Disciplinary Panel shall be made to an Appeal Board constituted under the Rules.

12.2 The procedures governing an appeal before an Appeal Board are set out in Schedule (A)7.

12.3 Decisions of the Appeal Board shall be final and binding.

### **13. Recognition**

When an equine anti-doping rule violation is established against a Responsible Person, member of Support Personnel and/or Horse from outside Great Britain, the Authority shall immediately advise the Racing Authority where the Responsible Person, member of Support Personnel and/or Horse is registered or licensed of the violation and seek reciprocation of any penalty or consequence that was imposed.

## **14. Reinstatement Testing**

Where a Horse has served a period of suspension under Rule 11.6, as a pre-condition to regaining eligibility to compete at the end of the specified period, an Out-of-Competition Sample shall be collected from the Horse by the Authority and analysed at a BHA-approved laboratory for the full range of Prohibited Substances and Prohibited Methods. The reinstatement Sample shall be collected and analysed at the Owner's cost and the results sent to the Authority prior to the Horse returning to competition. If the reinstatement test results in an Adverse Analytical Finding or other equine anti-doping rule violation, this will constitute a separate equine anti-doping rule violation and the Responsible Person for the Horse shall be subject to a new results management process in accordance with Rule 7 and further penalties or consequences shall be imposed as appropriate.

## **15. Final Provisions**

15.1 Equine Anti-Doping Rules are, by their nature, competition rules governing the conditions under which the sport of Horseracing in Great Britain is to be conducted. They are not intended to be subjected to or limited by the requirements and legal standards applicable to criminal and civil proceedings or employment matters. The policies and standards set out in these Equine Anti-Doping Rules as a basis for the fight against doping in Horseracing in Great Britain represent a broad consensus of those with an interest in fair sport and should be respected as such by all courts and adjudicating bodies.

15.2 These Equine Anti-Doping Rules shall apply to all Samples collected, and all other equine anti-doping rule violations committed, on or after 2 March 2015 (the "Effective Date").

15.3 These Equine Anti-Doping Rules shall not apply retroactively to matters pending before the Effective Date.

15.4 These Equine Anti-Doping Rules may be amended by decision of the Authority and the amendments shall become effective as stipulated therein.

15.5 The computation of time limits and deemed service of notices, directions and other documents under these Equine Anti-Doping Rules shall be as provided for in the Rules.

15.6 The Definitions and Schedules shall be considered integral parts to these Equine Anti-Doping Rules.

15.7 In case of any conflict between these Equine Anti-Doping Rules and the Rules, these Equine Anti-Doping Rules shall prevail.



## 16. Definitions

**Adverse Analytical Finding** means a report from a BHA-approved laboratory that, consistent with the Laboratory Standards, identifies in the Sample the presence of a Prohibited Substance or evidence of the Use of a Prohibited Method;

**Analysis** means any analysis carried out on a Sample including an analysis of a stored Sample and a B Sample Analysis (if carried out);

**Approved Person** means a person who has been appointed by the Authority under these Equine Anti-Doping Rules and shall have the powers ascribed to such persons as set out in Rules (A)48 and 49 and such other powers as the Authority may have conferred upon him under the Rules of Racing;

**Attempt** means purposely engaging in conduct that constitutes a substantial step in a course of conduct planned to culminate in the commission of an equine anti-doping rule violation;

**Authority** means the British Horseracing Authority;

**BHA-approved Laboratory** means one of the laboratories listed in the list of BHA-approved laboratories in Schedule 5 as it may be updated by the Authority from time to time;

**Breeder** means the person who bred the Horse and who provided Notification, or on whose behalf Notification was provided, to the General Stud Book;

**B Sample Analysis** means an analysis of a B Sample to confirm an A Sample Adverse Analytical Finding;

**B Sample Laboratory** means the laboratory selected to undertake B Sample analysis, either LGC, LCH or DSKIB if LCH is unable to conduct the B Sample analysis;

**British-Based Horse** means a Horse located in Great Britain, other than those falling within paragraphs 1.2 or 1.3 of Schedule 2 or those to which paragraph 2.9 of Schedule 2 applies;

**Business Day** means a day, other than a Saturday, Sunday or public holiday, on which the Authority is open for non-automated commercial business;

**Certificate of Analysis** means a written statement of the result of an Analysis of the Sample which is issued by a BHA-approved Laboratory;

**Clear Day** means, in determining the number of days:

- (i) The day on which the period begins; and
- (ii) If the end of the period is defined by reference to an event, the day on which that event occurs

are excluded.

**Clear Working Day** means, in determining the number of days:

- (i) The day on which the period begins; and
  - (ii) If the end of the period is defined by reference to an event, the day on which that event occurs;
- and
- (iii) Saturday, Sunday, Bank Holiday, or day on which the Authority's office is not open for non-automated commercial business

are excluded.

**Disciplinary Action** means action taken by the Authority under Part (A)6 of the Rules;

**Disciplinary Panel** means a disciplinary panel convened for the purpose of carrying out an enquiry under Part (A)5 of the Rules;

**Doping Control** means all steps and processes from test distribution planning through to ultimate disposition of any appeal under the Equine Anti-Doping Rules including all steps and processes in between such as Sample collection and handling, Laboratory analysis, results management and hearings;

**Export Certificate** in relation to a horse foaled outside Great Britain, Ireland or the Channel Islands, means a certificate of pedigree for the horse which

- (i) states the name, pedigree, age, sex, colour and markings of the horse, and
- (ii) is issued and endorsed by a Recognised Stud Book Authority or, in the absence of such an Authority, the Recognised Racing Authority of the country in which the horse was foaled, and
- (iii) is endorsed by the Stud Book Authority or Racing Authority of any other country which the horse has visited before importation into Great Britain;

**Filing Failure** means a failure by the Responsible Person (or third party to whom the Responsible Person has

delegated the task) to comply with the whereabouts requirements in Schedule 2;

**Fine** means a consequence of an equine anti-doping rule violation whereby a financial penalty is imposed upon a Responsible Person and/or a member of the Support Personnel;

**General Stud Book** means Weatherbys (GSB) Limited, and references to registration with it include the register of thoroughbred horses and the Non-Thoroughbred Register;

**Horse** means any thoroughbred or registered non-thoroughbred horse;

**International Runner** means a Horse trained outside of Great Britain who is entered for a race in Great Britain under the Rules;

**Laboratory** means a laboratory approved by the Authority to analyse Samples;

**Laboratory Standards** mean the Accreditation Requirements and Operating Criteria for Horseracing Laboratories (ILAC-G7:06/2009) as they may be amended from time to time;

**Metabolite** means any substance produced by a biotransformation process;

**Missed Test** means a Horse's unavailability for Testing at the time and location specified by the Responsible Person or their delegate to the Authority in complying with the whereabouts requirements in Schedule 2;

**Non-Racing Agreement** means an agreement by which a Horse which has been retired from racing by its Owner is transferred to another Person subject to a condition that the Horse will not race again in accordance with Rule (E)26;

**Non-Thoroughbred Register** means the work authorised to be published under that name by the Authority;

**Notification** means notification of the birth and whereabouts of any Horse to the General Stud Book as required on the prescribed form with a declaration that the Horse is bound by the Rules of Racing.

**Out-of-Competition** means any Doping Control which is not on a Raceday;

**Owner** means the owner pursuant to Rule (E)96; or, where the Horse is not trained in Great Britain, the Person who is duly registered in the register of Owners or is otherwise registered in the country in which the Horse is trained as being a Horse's owner;

**Person** means a natural person or a body corporate or other entity;

**Possession** means the actual, physical possession, or the constructive possession (which shall be found if the Responsible Person has exclusive control over the Prohibited Substance or Prohibited Method or the premises in which a Prohibited Substance/Method exists); provided however, that if the Person does not have exclusive control over the Prohibited Substance or Prohibited Method or the premises in which a Prohibited Substance or Prohibited Method exists, constructive possession will only be found if the Person knew about the presence of the Prohibited Substance or Prohibited Method and intended to exercise control over it. Provided however, there shall be no equine anti-doping rule violation based solely on possession if, prior to receiving notification of any kind that the Person has committed an equine anti-doping rule violation, the Person has taken concrete action demonstrating that the Person never intended to have possession and has renounced possession by explicitly declaring it to the Authority. Notwithstanding anything to the contrary in this definition, the purchase (including by electronic or other means) of a Prohibited Substance or a Prohibited Method constitutes possession by the Person who makes the purchase;

**Prohibited List** means the Prohibited List at Schedule 1 as may be published by the Authority from time to time;

**Prohibited Method** means a method so described on the Prohibited List;

**Prohibited Substance** means any substance, or class of substances, so described on the Prohibited List. An Adverse Analytical Finding for a Prohibited Substance shall include a finding of the substance itself, a Metabolite of the substance, an isomer of the substance, an isomer of a Metabolite and a pro-drug of the substance;

**Racecourse Managing Executive** means the person who holds a racecourse licence granted by the Authority under Part (F)2

**Racecourse Property** means any property owned, used or controlled by the Racecourse Managing Executive;

**Raceday** means the period commencing at 12.01 am on the day of a race in which a Horse is scheduled to run terminating when the Horse has left the Racecourse Property after the race;

**Racing** means races conducted under the Rules;

**Racing Authority** means the racing authority of the country in which a Horse is trained;

**Racing Calendar Office** means the office for the time being appointed by the Authority as the Racing Calendar Office. The present Racing Calendar Office is at Weatherbys Ltd, Sanders Road, Wellingborough, Northamptonshire NN8 4BX;

**Recognised Racing Authority** means a racing authority of a country which is for the time being recognised by the Authority under the Rules;

**Responsible Person** means either the Trainer, Owner or legal owner who has care or control of the Horse. For the purposes of determining this, the following shall apply

(i) For a Horse which is or has been in training, save as provided below, the Responsible Person shall be the Trainer with whom the Horse is, or has most recently been, registered with the Racing Calendar Office as being in training. The Trainer may transfer his responsibility as a Responsible Person under the Equine Anti-Doping Rules to the Owner when the Horse goes out of his care or control (for example, when the Horse goes out of training) by notifying the Authority through the Racing Calendar Office's horse management system that the Horse has been "Transferred to Owner". In so doing, the Trainer confirms that he has previously notified the Owner of the transfer by a recognised method of service under the Rules and the Owner has accepted that transfer.

Where the Trainer cannot provide evidence of the preceding to the satisfaction of the Authority, the transfer shall not be effected and the Trainer shall remain the Responsible Person, unless he can establish (a) that the Horse was not in his care or control (it either being in the care or control of the Owner, or a third party at the instruction of the Owner), (b) that he has notified the Owner of the transfer by a recognised method of service under the Rules and (c) he has taken reasonable steps to obtain the Owner's acceptance of the transfer.

(ii) Any Horse from outside of Great Britain which is present in Great Britain for a training or racing purpose, and which is not under the care or control of a Trainer (either because the Horse has been transferred to the Owner or otherwise), the Responsible Person shall be the Owner of the Horse.

(iii) For a Horse foaled in Great Britain and Notification provided to the General Stud Book, or foaled in Ireland but present in Great Britain, which has been registered with the General Stud Book but is not yet in training, the Responsible Person shall be the legal owner of the Horse. The Breeder shall be presumed to be the legal owner of the Horse unless he can establish otherwise to the Authority's satisfaction;

**Rules** means the Rules of Racing as they may be amended from time to time;

**Sample** means a quantity of any body fluid, tissue, excreta, hair or skin scrapings or any items in contact with any part of a Horse which are taken at the discretion of the Person collecting the Sample (and which may include the removal of implants) for the purposes of Doping Control;

**Stalls Test** means an official test held in accordance with Schedule (C)5 as a means of testing a horse's tractability in the starting stalls;

**Support Personnel** means any stable employee (whether full or part-time), consultant, volunteer, agent, veterinarian, medical or other Person assisting in any way a Responsible Person participating in or preparing a Horse for racing. Veterinarians are included in the definition of Support Personnel with the understanding that they are professionals subject to professional standards and licences. An allegation that a veterinarian violated an equine anti-doping rule will only be made where the factual circumstances surrounding a case indicate a likelihood that the veterinarian was involved in the equine anti-doping rule violation;

**Tampering** means altering for an improper purpose or in an improper way; bringing improper influence to bear; obstructing, misleading or engaging in any fraudulent conduct to alter results or prevent normal procedures from occurring; or providing fraudulent information to the Authority or other organisation;

**Target Testing** means the selection of Horses for Testing where specific Horses or groups of Horses are selected on a non-random basis for Testing at a specified time;

**Testing or Test** means the part of the Doping Control process involving test distribution planning, Sample collection, Sample handling and Sample transport to the Laboratory;

**Trafficking** means selling, giving, transporting, sending, delivering or distributing (or Possessing for any such purpose) a Prohibited Substance or a Prohibited Method (either physically or by any electronic or other means) by a Responsible Person and/or member of his Support Personnel to a third party; provided, however, this definition shall not include the actions of a veterinarian involving a substance or method prohibited at all times in connection with the treatment of animals which are not subject to these Equine Anti-Doping Rules; and shall not include actions involving substances or methods which are not prohibited in Out-of-Competition Testing unless the circumstances as a whole demonstrate that such substances or methods are not intended for genuine and legal therapeutic purposes or are intended to enhance performance;

**Trainer** means any Person who holds a licence or permit to train which is granted by the Authority or whose authorisation by a Recognised Racing Authority corresponds to such a licence or permit or who is otherwise treated as a trainer under the Rules;

**Use** means the utilisation, application, ingestion, injection or consumption by any means whatsoever of a Prohibited Substance or a Prohibited Method.

# SCHEDULES

## Schedule 1 - Prohibited List

### SUBSTANCES AND METHODS THAT ARE PROHIBITED AT ALL TIMES

#### PROHIBITED SUBSTANCES

The following substances, including other substances with a similar chemical structure or similar biological effect

##### 1.1 Non-approved substances

Any substance not addressed by any of the subsequent classes of substances, and which has no current approval by any government regulatory authority for veterinary use, or any substance not universally recognised by veterinary regulatory authorities as valid veterinary therapeutic treatment.

##### 1.2 Anabolic agents

- (a) anabolic androgenic steroids;
- (b) other anabolic agents, including but not limited to selective androgen receptor modulators (SARMs);
- (c) beta-2 agonists, unless the substance is prescribed by a veterinarian as a bronchodilator at the appropriate dose.

##### 1.3 Peptide hormones, growth factors and related substances (with the exception of oxytocin use in fillies and mares in breeding management or to block oestrus cycling)

- (a) erythropoiesis-stimulating agents, including but not limited to erythropoietin (EPO), epoetin alfa, epoetin beta, darbepoetin alfa, and methoxy polyethylene glycol-epoetin beta, peginesatide, hypoxia inducible factor (HIF)-1 stabilisers;
- (b) growth hormones and growth hormone releasing factors, insulin-like growth factor-1 (IGF-1), and other growth factors;
- (c) synthetic proteins and peptides and synthetic analogues of endogenous proteins and peptides not registered for medical or veterinary use.

##### 1.4 Hormone and metabolic modulators

- (a) aromatase inhibitors;
- (b) selective estrogen receptor modulators (SERMS) and other anti-estrogenic substances;
- (c) agents modifying myostatin function, including but not limited to myostatin inhibitors;
- (d) insulins;
- (e) peroxisome proliferator activated receptor  $\alpha$  (PPAR $\alpha$ ) agonists, including but not limited to GW 1516;
- (f) AMPK activators, including but not limited to AICAR (5-aminoimidazole-4-carboxamide-1- $\beta$ -D-ribofuranoside).

#### 2. Threshold Substances

The concentration specified in relation to each of the following substances is the minimum concentration that, in accordance with Rule 2.1.4, must be present before a sample is regarded as testing positive for the substance.

The substances and the thresholds are

Arsenic - 0.3 microgram total arsenic per millilitre in urine Available

Boldenone - 0.015 microgram free and conjugated Boldenone per millilitre in urine from male horses (other than geldings)

Estradiol in male horses (other than geldings) - 0.045 microgram free and glucuroconjugated 5 $\alpha$ -estrane-3 $\beta$ , 17 $\alpha$ -diol per millilitre in urine\*

Methoxytyramine - 4 micrograms free and conjugated 3-methoxytyramine per millilitre in urine

Testosterone - 0.02 microgram free and conjugated testosterone per millilitre in urine from geldings, or 0.055 microgram free and conjugated testosterone per millilitre in urine from fillies and mares (unless in foal)

Testosterone - 100 picograms free testosterone per millilitre in plasma from geldings, fillies and mares (unless in foal)

\* When, at the screening stage, the free and glucuroconjugated 5 $\alpha$ -estrane-3 $\beta$ , 17 $\alpha$ -diol exceeds the free and glucuroconjugated 5, 10-estrane-3 $\beta$ , 17 $\alpha$ -diol in the urine

NB: The conjugated substance is the substance that can be liberated from conjugates.

#### PROHIBITED METHODS

##### 3. Manipulation of blood and blood components

Withdrawal, manipulation and re-infusion of homologous, heterologous or autologous blood, blood products or blood cells into the circulatory system with the exception of those used for life-saving purposes or as veterinary regenerative therapies for the treatment of musculoskeletal injury or disease.

#### **4. Blood Transfusions**

Giving a blood transfusion to a horse or allowing or causing a blood transfusion to be given for the purposes of enhancing its performance.

#### **5. Genetic and Cellular Manipulation**

Modification of the heritable genome at any time of a Horse's life.

Any gene therapy or cellular manipulation in a Horse must not be capable of

- giving the Horse an advantage or disadvantage in a race contrary to the Horse's inherent merits
- being detrimental to the Horse's welfare

The Authority may, at its discretion, allow or disallow racing by Horses or their offspring after such therapy. Any gene therapy for a Horse intended to race must be fully documented in the Horse's passport or in such manner as required by the Authority and shall be reported immediately to the Authority.

#### **6. Oxygen carriers**

Artificially enhancing the uptake, transport or delivery of oxygen, including, but not limited to: perfluorochemicals, efaproxiral (RSR13) and modified haemoglobin products (excluding the use of licensed veterinary treatments in situations of acute, life-threatening anaemia)

### **SUBSTANCES AND METHODS THAT ARE PROHIBITED ON RACEDAY ONLY**

#### **PROHIBITED SUBSTANCES**

7. Except for the substances and methods (and categories of substances and methods) prohibited at all times, any substance that is capable at any time of causing an action or effect, or both an action and effect, within one or more of the following mammalian body systems

- (a) the nervous system
- (b) the cardiovascular system
- (c) the respiratory system
- (d) the digestive system
- (e) the urinary system
- (f) the reproductive system
- (g) the musculoskeletal system
- (h) the blood system
- (i) the immune system (except for licensed vaccines against infectious agents)
- (j) the endocrine system.

#### **8. Endocrine secretions and their synthetic counterparts**

#### **9. Masking agents**

#### **10. Threshold Substances**

The concentration specified in relation to each of the following substances is the minimum concentration that, in accordance with Rule 2.1.4, must be present before a sample is regarded as testing positive for the substance.

The substances and the thresholds are

Available Carbon Dioxide - 36 millimoles per litre in plasma

Cobalt - 0.1 micrograms (= 100 nanograms) total cobalt per millilitre in urine

Cobalt - 0.025 micrograms (= 25 nanograms) total (free and protein bound) cobalt per millilitre in plasma

Dimethyl Sulfoxide - 15 micrograms per millilitre in urine or 1 microgram per millilitre in plasma

Hydrocortisone - 1 microgram per millilitre in urine

Prednisolone - 0.01 micrograms free prednisolone per millilitre in urine

Salicylic Acid - 750 micrograms per millilitre in urine or 6.5 micrograms per millilitre in plasma

#### **PROHIBITED METHOD**

#### **11. Alkalinisation**

### **SUBSTANCES THAT ARE PROHIBITED AT A STALLS TEST**

12. Any substance which, in the opinion of the Veterinary Officer, falls in the category of

- (a) a sedative
- (b) a tranquiliser
- (c) an hypnotic
- (d) an anxiolytic

## **Schedule 2 - Whereabouts Requirements**

### **1. Application and Scope**

The whereabouts requirements in this Schedule apply to the following Responsible Persons under the Equine Anti-Doping Rules

1.1 Responsible Persons of British-Based Horses;

1.2 Responsible Persons of Horses trained outside of Great Britain which are entered for a race in Great Britain; and

1.3 Responsible Persons of Horses permanently imported into Great Britain to be trained in Great Britain.

Defined terms in this Schedule shall have the same meaning as in the Definitions to the Equine Anti-Doping Rules.

### **2. Responsible Persons of British-Based Horses**

Responsible Persons of British-Based Horses shall be required to comply with the following obligations

#### **2.1 Trainers**

2.1.1 When a Horse is under the care or control of a Trainer, the Trainer must comply with the obligations to provide information on the location of the Horse as set out in Rule (C)16 and as further stipulated in this paragraph 2.1.

2.1.1.1 The obligations on a Trainer to provide information in accordance with Rule (C)16 shall cease upon the Trainer's notification to the Authority that a Horse under his care or control has been transferred to the Horse's Owner. Notification to the Authority for this purpose shall become effective upon the Trainer selecting the "Transferred to Owner" option on the Racing Calendar Office's horse management system. In so doing, the Trainer confirms that he has previously notified the Owner of the transfer by a recognised method of service under the Rules. If, upon the Authority's request, the Trainer is unable to establish to the Authority's satisfaction that due notification to the Owner has been made, the Trainer shall continue to be considered as the Responsible Person.

2.1.1.2 The obligations on a Trainer to provide information on the location of a Horse in accordance with Rule (C)16 shall then resume only if and when notification is made to the Authority that the Horse has been transferred by the Owner back to the Trainer's care or control.

2.1.2 In addition to the obligations to provide information on a Horse's location as set out in Rule (C)16, the Authority may at any time require the Trainer of a Horse to provide such further whereabouts information as may be necessary so that the Authority may conduct Testing of the Horse at any time. The Trainer shall provide such further whereabouts information as may be requested within the time stipulated by the Authority. Where a subsequent change in circumstances means that the further information provided to the Authority becomes no longer accurate or complete, the Trainer must update the information as soon as possible to ensure that it is accurate and complete again.

#### **2.2 Owners**

2.2.1 When a Horse has been transferred from a Trainer to an Owner in accordance with paragraph 2.1, the Owner must comply with the obligations to provide information on the location of the Horse stipulated in this paragraph 2.2.

2.2.1.1 The obligations to provide information shall continue until (i) notification is

made to the Authority that the Horse has been transferred back to the care or control of a Trainer, (ii) the Horse is no longer registered under his ownership with the Racing Calendar Office, or (iii) the Horse is permanently retired from Racing and either a Non-Racing Agreement or other notification of retirement has been filed with the Racing Calendar Office in accordance with the requirements of Rules (E)26 or 26B.

2.2.1.2 Where the Horse is subsequently returned to Racing in accordance with Rules (E)26 or 26B, the Authority may at its discretion impose a period of time prior to the Horse's return to Racing during which the Owner shall be required to provide whereabouts information to the Authority for the purposes of the Horse being subject to Out-of-Competition Testing.

2.2.2 The Authority may at any time require the Owner to provide such whereabouts information as may be necessary so that the Authority may conduct Testing of the Horse at any time. The Owner shall provide such whereabouts information as may be requested within the time stipulated by the Authority. Where a subsequent change in circumstances means that the information provided to the Authority becomes no longer accurate or complete, the Owner must update the information as soon as possible to ensure that it is accurate and complete once again.

## 2.3 Horses not yet in training

2.3.1 For the purposes of this Rule, a Horse not yet in training shall mean a Horse foaled in Great Britain and Notification provided to the General Stud Book; or otherwise a Horse which has been registered with the General Stud Book but is not yet registered with the Authority and in training.

2.3.2 Owners of Horses not yet in training must comply with the obligations to provide information on the location of their Horses as stipulated in this paragraph 2.3.

2.3.2.1 The owner of a Horse not yet in training shall be presumed to be the Breeder of the Horse unless he can establish otherwise to the satisfaction of the Authority.

2.3.2.2 The obligations on an owner to provide information in accordance with this paragraph 2.3 shall continue until (i) notification to the Authority that a Horse under his ownership has been sold to a third party including details of that owner, or the auction house through which it was sold (this can be made at any time, including upon request by the Authority for information under paragraph 2.3.3); or (ii) the Horse has been registered with the Authority and is now in training.

2.3.3 The Authority may at any time require the owner of a Horse not yet in training to provide such whereabouts information as may be necessary so that the Authority may conduct Testing of the Horse at any time. The owner shall provide such whereabouts information as may be requested within the time stipulated by the Authority. Where a subsequent change in circumstances means that the information provided to the Authority becomes no longer accurate or complete, the owner must update the information as soon as possible to ensure that it is accurate and complete again.

2.4 Any Responsible Person of a British-Based Horse may choose to delegate the task of complying with his obligations under paragraph 2 to a third party provided that the third party agrees to the delegation. The Authority may require written notice of any agreed delegation to be filed with it, signed by both the Responsible Person and the third party delegate. In all cases, the Responsible Person remains ultimately responsible at all times for complying with his obligations whether he does so personally or delegates the task to a third party. It shall not be a defence to an allegation of a Filing Failure that the Responsible Person delegated his obligations to a third party and that third party failed to comply with them.

## **3. Responsible Persons of Horses trained outside of Great Britain which are entered for a race in Great Britain**

3.1 Subject to paragraph 3.8, in accordance with Rule (E)24, any Horse trained outside of Great Britain entered for or intending to enter a race in Great Britain must be present in Great Britain for a minimum of ten Business Days before the race for which it is entered, unless otherwise approved by the Authority.

3.2 In any such case, the Trainer shall be required to provide the Authority with whereabouts information as

specified in this paragraph 3 so that the Authority may collect a Sample from the Horse on a timely basis and ensure that a negative analytical result can be confirmed prior to the race in question. In accordance with Rule (E)24, the Horse shall not be eligible to run in the race for which it is entered unless a Sample collected by the Authority and analysed by a BHA-approved Laboratory confirms no evidence of the Presence or Use of a Prohibited Substance or a Prohibited Method prohibited at all times.

3.3 For the minimum ten Business Day period in question, the Trainer shall complete a form prescribed by the Authority including the following information

3.3.1 the full address of the location where the Horse will be staying overnight each night;

3.3.2 the name and contact details (including mobile phone number) of a designated contact person who will be available at all times for Sample notification purposes.

3.4 The Trainer is responsible for ensuring that all information provided is accurate and in sufficient detail to enable the Authority to locate the Horse for unannounced Testing on any given day at the location(s) specified. More particularly, the Trainer must provide sufficient information to enable the Authority to find the location, gain access to the location, find the Horse at the location and make contact with the Responsible Person or his designated contact person (if any).

3.5 The information in paragraph 3.3 must be filed with the Authority no later than 14 Business Days before the first race for which the Horse is entered.

3.6 Where a subsequent change in circumstances means that the information on file at the Authority becomes no longer accurate or complete, the Trainer must update the information as soon as possible to ensure that it is accurate and complete once again.

3.7 A Trainer may choose to delegate the task of complying with his obligations under paragraph 3 to a third party provided that the third party agrees to the delegation. The Authority may require written notice of any agreed delegation to be filed with it, signed by both the Trainer and the third party delegate. In all cases, the Trainer remains ultimately responsible at all times for complying with his obligations whether he does so personally or delegates the task to a third party. It shall not be a defence to an allegation of a Filing Failure that the Trainer delegated his obligations to a third party and that third party failed to comply with them.

3.8 The Authority may choose to waive the whereabouts requirements under paragraph 3 in respect of Horses trained outside of Great Britain which are domiciled in a country that the Authority is satisfied has an appropriate Testing policy in place. In such a case, International Runners from outside any recognised country which travel to that country immediately prior to running in Great Britain shall also be exempt from the whereabouts requirements under this paragraph 3 provided that they are able to produce a Certificate of Analysis issued by a BHA-approved Laboratory reporting no evidence of the Presence or Use of Prohibited Substances or Prohibited Methods prohibited at all times in a Sample collected following a BHA-approved sampling process. Under this provision, International Runners are required to produce a new Certificate of Analysis each time that they leave Great Britain before travelling back via the recognised country immediately prior to racing in Great Britain again.

3.9 The Authority may choose to allow the Sample required in Paragraph 3.2 to be collected prior to arrival to Great Britain, by the Authority or its agents. In such circumstances, it may amend the whereabouts requirements on the Trainer under paragraph 3 to enable such Sample collection to occur. For the avoidance of doubt, the collection of a Sample under this paragraph in no way precludes the Authority also collecting Samples from the Horse upon arrival in Great Britain, as well as requiring the Trainer to provide whereabouts information necessary to allow any such Samples to be collected.

#### **4. Responsible Persons of Horses permanently imported into Great Britain to be trained in Great Britain**

4.1 Any Horse that is permanently imported into Great Britain to be trained in Great Britain must have an Export Certificate filed with the General Stud Book within 90 days of its arrival. At the same time as filing the Export Certificate, a Certificate of Analysis must be provided that has been issued by a BHA-approved Laboratory reporting no evidence of the presence or Use of a Prohibited Substance or a Prohibited Method prohibited at all times in a Sample collected by the Authority following the Horse's arrival in Great Britain.

4.2 Subject to paragraph 4.8, Responsible Persons for Horses permanently imported into Great Britain to be trained in Great Britain are required to provide the Authority with whereabouts information as specified in this paragraph 4 so that the Authority may collect a Sample from the Horse at any time at the Responsible Person's cost.



4.3 The Responsible Person shall complete a form prescribed by the Authority including the following information

4.3.1 the full address of the location where the Horse will be staying overnight;

4.3.2 the name and contact details (including mobile phone number) of a designated contact person who will be available at all times for Sample notification purposes.

4.4 The Responsible Person is responsible for ensuring that all information provided is accurate and in sufficient detail to enable the Authority to locate the Horse for unannounced Testing on any given day at the location(s) specified. More particularly, the Responsible Person must provide sufficient information to enable the Authority to find the location, gain access to the location, find the Horse at the location and make contact with the Responsible Person or his designated contact person (if any).

4.5 The information in paragraph 4.3 must be filed with the Authority within seven Business Days of the Horse's arrival in Great Britain.

4.6 Where a subsequent change in circumstances means that the information on file at the Authority becomes no longer accurate or complete, the Responsible Person must update the information as soon as possible to ensure that it is accurate and complete once again.

4.7 A Responsible Person may choose to delegate the task of complying with his obligations under paragraph 4 to a third party provided that the third party agrees to the delegation. The Authority may require written notice of any agreed delegation to be filed with it, signed by both the Responsible Person and the third party delegate. In all cases, the Responsible Person remains ultimately responsible at all times for complying with his obligations whether he does so personally or delegates the task to a third party. It shall not be a defence to an allegation of a Filing Failure that the Responsible Person delegated his obligations to a third party and that third party failed to comply with them.

4.8 The Authority may elect to waive the whereabouts requirements on Responsible Persons under paragraph 4 if a Horse which is being permanently imported into Great Britain has spent at least 12 consecutive months immediately prior to the date of importation in a country that the Authority is satisfied has an equivalent Testing policy in place to that of the Authority. The Authority may also elect to waive the requirement for the provision of the Certificate of Analysis referred to in paragraph 4.1.

4.9 At such time as a Horse permanently imported into Great Britain is duly registered with the Authority pursuant to Manual (E), Part 2, it shall become a British-Based Horse, and the obligations in paragraph 2 shall apply.

4.10 The Authority may choose to allow the Sample required in paragraph 4.1 to be collected prior to importation to Great Britain, by the Authority or its agents. In such circumstances, it may amend the whereabouts requirements on Responsible Persons under paragraph 4 to enable such Sample collection to occur. For the avoidance of doubt, the collection of a Sample under this paragraph in no way precludes the Authority also collecting Samples from the Horse upon arrival in Great Britain, as well as requiring the Responsible Person to provide whereabouts information necessary to allow any such Samples to be collected.

## **5. Filing Failures**

5.1 The Authority may pursue a Filing Failure against the Responsible Person in the event that he fails to comply with the whereabouts requirements under this Schedule, including without limitation by

5.1.1 failing to file any of the information stipulated in this Schedule; or

5.1.2 failing to file or update the information stipulated in this Schedule on a timely basis; or

5.1.3 filing or updating the information stipulated in this Schedule but failing to include all of the information required; or

5.1.4 including information in the filing or update that is inaccurate or insufficient to enable the Authority to locate a Horse for Testing.

5.2 A Filing Failure may result from an administrative failure of the Responsible Person to comply with the requirements to provide information as required in this Schedule. Alternatively, a Filing Failure may only become apparent once the Authority has sought to test the Horse at the location specified in the information on file.

5.3 If the Authority considers that a Filing Failure has been committed, it shall notify the Responsible Person within 14 days and shall give the Responsible Person a reasonable deadline to respond to the allegation advising whether or not he admits the Filing Failure and, if not, why not. If the Responsible Person does not respond within the specified deadline, the Filing Failure shall be confirmed. If the Responsible Person does respond, the

Authority shall consider all the facts raised by the Responsible Person before reaching its determination whether to record a Filing Failure. If the Authority records a Filing Failure, this shall be confirmed in writing to the Responsible Person, and the Owner or Trainer of the Horse as applicable.

5.4 A second or third Filing Failure may not be pursued against a Responsible Person unless he has been given notice of the previous Filing Failure and, if that Filing Failure revealed deficiencies in a whereabouts filing that would lead to further Filing Failures if not rectified, has been advised in the notice that, in order to avoid a further Filing Failure, he must file the required whereabouts by the deadline specified in the notice. If the Responsible Person still fails to file the required whereabouts within the deadline specified, a further Filing Failure may be pursued (regardless of whether the administrative process for finalising the previous Filing Failure has been concluded or not).

5.5 Where three Filing Failures are recorded against a Responsible Person within a 12-month period, the Authority shall charge the Responsible Person with a violation of Rule (G)2.8. For a violation of Rule (G)2.8 to occur, it is not necessary that the three Filing Failures are committed by a Responsible Person in connection with the same Horse. They may relate to any of the Horses under his care or control within the period in question. For the avoidance of doubt, if a Responsible Person commits a Filing Failure in respect of a number of Horses as part of the same filing (or the same failure to make a filing), it shall only count as one Filing Failure.

5.6 For the purposes of Rule (G)2.8, the 12-month period starts to run on the date when the Responsible Person commits the first Filing Failure. If two or more Filing Failures occur during the ensuing 12-month period, then a violation is committed, irrespective of the Responsible Person's compliance with the whereabouts requirements in between Filing Failures. If, following a Filing Failure, a 12 month period ensues without the occurrence of two subsequent Filing Failures, then the original Filing Failure shall be disregarded (and shall be deemed to have expired) for the purposes of determining whether a violation of Rule (G)2.8 has occurred; and, accordingly, a new 12 month period shall be deemed to have begun from (and including) the date of the next Filing Failure.

5.7 A Responsible Person alleged to have committed an anti-doping rule violation under Rule (G)2.8 shall have the right to have such an allegation determined at a full hearing in accordance with the Equine Anti-Doping Rules. The Disciplinary Panel shall not be bound by any determination made during the results management process and the Authority shall have the burden at the hearing of establishing that three Filing Failures have been committed within a 12-month period. If the Disciplinary Panel decides that one or more of the Filing Failures have not been established then no violation of Rule (G)2.8 will have been committed. However, the established Filing Failures will be carried forward and new proceedings may be brought based on a combination of the Filing Failure(s) established to the satisfaction of the Disciplinary Panel and any new Filing Failure(s) that are subsequently committed.

## **6. Missed Tests**

6.1 The Authority may pursue a Missed Test against a Horse in the event that

6.1.1 The Authority seeks to test a Horse based on the whereabouts information provided by the Responsible Person on file at the Authority; and

6.1.2 The Horse cannot be located for Testing at the information on file.

6.2 Before pursuing a Missed Test, the Authority shall seek a report from the Approved Person into the circumstances of the attempted Test and satisfy itself that reasonable attempts were made to test the Horse based on the information on file with the Authority.

6.3 If the Authority considers that a Missed Test has occurred, it shall notify the Responsible Person for the Horse within 14 days and shall give the Responsible Person a reasonable deadline to respond to the allegation advising whether or not the Missed Test is admitted and, if not, why not. If the Responsible Person does not respond within the specified deadline, the Missed Test shall be confirmed. If the Responsible Person does respond, the Authority shall consider all the facts raised by the Responsible Person before reaching its determination whether to record a Missed Test. If the Authority does record a Missed Test, this shall be confirmed in writing to the Responsible Person of the Horse, and the Owner or Trainer of the Horse as applicable.

6.4 For the avoidance of doubt, a separate Filing Failure and a Missed Test (for the Responsible Person and Horse respectively) may arise out of the same set of facts.

6.5 A second or third Missed Test may not be pursued unless the Responsible Person has been given notice of the previous Missed Test(s).

6.6 Where three Missed Tests are recorded against a Horse within an 18-month period, the Authority shall charge the Responsible Person with a violation of Rule (G)2.8. For a violation of Rule (G)2.8 to occur, it is not necessary that the three Missed Tests take place whilst the Horse is under the care and control of the same Responsible Person. They may occur whilst the Horse is under the care or control of different Responsible Persons and irrespective of whether the Horse is in training or not.

6.7 For the purposes of Rule (G)2.8, the 18-month period starts to run on the date when the first Missed Test occurs. If two or more Missed Tests occur during the ensuing 18-month period, then a violation is committed, irrespective of whether the Horse has been tested in between the Missed Tests. If following one Missed Test, an 18-month period ensues without the occurrence of two subsequent Missed Tests, then the original Missed Test shall be disregarded (and deemed to have expired) for the purposes of determining whether a violation of Rule (G)2.8 has occurred; and, accordingly, a new 18-month period shall be deemed to have begun from (and including) the date of the next Missed Test.

6.8 The Responsible Person of a Horse alleged to have committed an anti-doping rule violation under Rule (G)2.8 shall have the right to have such an allegation determined at a full hearing in accordance with the Anti-Doping Rules. The Disciplinary Panel shall not be bound by any determination made during the results management process and the Authority shall have the burden at the hearing of establishing that three Missed Tests have occurred within a 18-month period. If the Disciplinary Panel decides that one or more of the Missed Tests have not been established then no violation of Rule (G)2.8 will have been committed. However, the established Missed Tests will be carried forward and new proceedings may be brought based on a combination of the Missed Test(s) established to the satisfaction of the Disciplinary Panel and any new Missed Test(s) that subsequently occur.

### **Schedule 3 - Sample Collection Procedures**

#### **1. Sampling at racecourse**

1.1 This Paragraph applies where, in the course of examination by order of the Stewards under Part (B)1, Samples are to be taken from any horse which has been declared to run under Rule (F)89 or is otherwise at a racecourse.

1.2 The sampling must be carried out at the sampling unit at the racecourse, unless the Approved Person directs otherwise.

1.3 The Analysis will be undertaken at such times and in such manner as the Authority may from time to time instruct.

1.4 The Stewards may

1.4.1 direct that the sampling is to include the taking of Samples for subsequent Analysis, and

1.4.2 require that the horse be kept in the official racecourse stables for more extensive examination for any period ending up to 24 hours after the time of the race which the horse ran or was entered to run.

1.5 For the purposes of sampling under this Paragraph, the Trainer of the horse must ensure that

1.5.1 the horse's passport, or

1.5.2 if it does not have one, an equivalent document certifying the horse's identity,  
is available for inspection at the time of the examination.

1.6 Where a horse is ordered to be detained in official racecourse stables under Paragraph 1.4.2, the Trainer may, by application to the Authority to be made through the Clerk of the Course of the meeting, claim for any additional expense incurred.

#### **2. Procedure for racecourse sampling**

2.1 The procedures for the handling of any Sample taken under Paragraph 1 are specified in this Paragraph.

2.2 The Trainer may witness the procedure, either in person or by a representative qualified to enter the official racecourse stables.

2.3 The Trainer or his representative will be expected to observe

2.3.1 the division and transfer of the Sample into the forensic bottles, and

2.3.2 the sealing and labelling, with the appropriate coded label (if applicable), of the forensic bottles.

2.4 After witnessing these procedures the Trainer or his representative will be expected to sign a declaration to the effect that he has witnessed the procedures and that unless he has expressed concerns to the Approved Person who is conducting the sampling, he is satisfied that they have been complied with.

2.5 If a Trainer or his representative chooses not to witness the sampling procedure he must sign a declaration before the Sample is taken in which he agrees that the integrity of the sampling procedure will not be questioned at a later date.

2.6 Where the sampling procedure is not observed for any reason (including in circumstances specified in Paragraph 2.5) and an unsuccessful challenge is made to the integrity of the procedure, the Authority may order the Trainer to pay some or all of the costs of the challenge incurred by the Authority.

### **3. Procedure for Out-of-Competition sampling other than at a racecourse**

3.1 The procedures for the handling of any Out-of-Competition Sample taken other than on a racecourse are specified in this Paragraph.

3.2 For the purposes of sampling under this Paragraph, the Responsible Person of the horse must ensure that

3.2.1 the horse's passport, or

3.2.2 if it does not have one, an equivalent document certifying the horse's identity,

is available for inspection at the time of the examination.

3.3 The Responsible Person or their representative must witness the procedure.

3.4 The Responsible Person or their representative will be expected to observe

3.4.1 the division and transfer of the Sample into the forensic bottles, or bags, and

3.4.2 the sealing and labelling, with the appropriate coded label (if applicable), of the forensic bottles, or bags.

3.5 After witnessing these procedures the Responsible Person or their representative will be expected to sign a declaration to the effect that he has witnessed these procedures, and that save for any concerns expressed on the documentation, he was satisfied with how they have been carried out.

## **Schedule 4 - Procedure for a B Analysis**

### **Procedure for B Sample Analysis**

1. The procedures in this Schedule apply to the handling of any Sample which is subjected to B Sample Analysis in accordance with Rule (G)7.

2. The Authority will instruct the B Sample laboratory nominated in accordance with Rule (G)7.3 by the Trainer (or failing him, the Owner) to conduct and complete the analysis of the B Sample no later than ten working days from receipt of the instruction.

3. If the selected laboratory is Laboratoire Des Courses Hippiques (LCH) and it is unable to carry out the B Sample Analysis, the Authority will make a similar approach to Deutsche Sporthochschule Koln Institut fur Biochemie - Germany (DSKIB).

4. If both LCH and DSKIB are unable to carry out the B Sample Analysis, it will be carried out by LGC under the same terms.

5. The B Sample Analysis will be confined to confirming whether or not the B Sample contains:

5.1. the substance reported in the Certificate of Analysis relating to the A Sample, and

5.2. if the Prohibited Substance is listed as a threshold substance on the Prohibited List, a concentration of the substance that exceeds the concentration specified for that substance.

6. If appropriate, the B Sample will be despatched by LGC to the B Sample Laboratory conducting the analysis under a secure chain of custody.

7. The B Sample shall remain the property of the Authority.

8. Any remaining residue after analysis of the B Sample has been conducted will be retained by the B Sample Laboratory until otherwise instructed by the Authority.

9. Witnessing the B Sample Analysis

- 9.1. One of the Trainer, the owner or an appointed representative may witness the B Sample Analysis, provided they are available within the time frame required.
- 9.2. In the case of a Sample resulting from examination carried out by an Approved Person appointed under Part (A)5 that is subjected to B Sample Analysis, the witness shall either be the Trainer or his appointed representative, and in any other case shall be the Trainer, the Owner, or an appointed representative.
- 9.3. The attendance of any witness is at the expense of the Person nominating him.
- 9.4. If the Authority has ordered the B Sample Analysis, it may nominate a witness to attend the B Sample Analysis.

10. Where the B Sample Analysis confirms the presence of the Prohibited Substance revealed by the Analysis of the A Sample (or its presence at or in excess of the concentration specified in Schedule 1, Paragraphs 2 or 9), the B Sample Laboratory will issue a Certificate of Analysis to the Authority with the supporting analytical data.

11. The Certificate of Analysis relating to the A Sample and, if required, the Certificate of Analysis relating to the B Sample together with the supporting analytical data from both analyses will be made available to the Trainer or owner concerned.

12. Where the B Sample Analysis does not confirm the findings in respect of the A Sample, the Authority will be informed in writing, the Sample will be declared "negative" and no Disciplinary Action will be taken unless there are reasonable grounds to believe that

12.1. the integrity of the B Sample may have been deliberately violated, or

12.2. other evidence of a non-forensic nature is available

in either of which events the Authority may proceed on the basis of the Analysis of the A Sample alone.

13. Where the B Sample Analysis is requested by the Responsible Person, the following costs provisions shall apply

13.1 If the B Sample is analysed at LGC, the Disciplinary Panel, under Rule (A)46.4, may order that a contribution to costs is made if it is satisfied that the result of the A Sample should have been accepted having regard to the knowledge of and information available to the Trainer and/or Owner concerned at the time.

13.2 If the B Sample is analysed at LCH or DSKIB, according to Rule (G)7.3 the Responsible Person will be responsible for all costs associated with the transportation of the Sample LCH or DKSIB and the subsequent B Sample analysis.

## **Schedule 5 - List of BHA-Approved Laboratories**

1. Australian Racing Forensic Laboratory (ARFL), Australia
2. Deutsche Sporthochschule Koln Institut fur Biochemie (DSKIB), Germany
3. Hong Kong Jockey Club Racing Laboratory, Hong Kong
4. Laboratoire Des Courses Hippiques (LCH), France
5. LGC Laboratory, Newmarket, UK
6. Racing Analytical Services Limited (RASL), Australia

## **General Manual (A)**

### **PART 1 – INTRODUCTORY PROVISIONS**

1. The British Horseracing Authority
2. Persons subject to the Rules
3. Arrangement of Rules into Manuals
4. Scheme

### **PART 2 – GENERAL FUNCTIONS OF THE AUTHORITY**

5. General functions of the Authority
6. General Rule-making functions
7. Compliance
8. Authorisations required under these Rules
9. Race administration
10. Appointing officials
11. Fees
12. Supplementary powers

### **PART 3 – LICENCES, PERMITS AND REGISTRATION**

#### ***Introductory***

13. Scheme of this Part

#### ***Licences and permits***

14. Trainer's licences and trainer's permits
15. Rider's licences and amateur rider's permits
16. Licences and permits for Master Valets and their assistants
17. Licences for rider's agents
18. Racecourse licences

#### ***Registration***

19. The Authority's general functions as to registration
20. Register of horse names
21. Register of owners
22. Register of stable employees

#### ***General provisions as to licences, permits and registration***

23. Application procedures for Persons requiring licences, permits or registration
24. The Authority's general powers as to licences and permits
25. The Authority's general powers as to registration
26. Deleted

### **PART 4 – GENERAL REQUIREMENTS AS TO CONDUCT**

27. Deleted
28. Deleted
29. Entering or running a horse not qualified to race
30. Conduct prejudicial to horseracing
31. Conduct obstructing the proper administration or control of racing
32. Violent or improper behaviour on racecourse etc
33. Offering or accepting bribes
34. Offering rewards for amateur riders
35. Placing bets or laying a horse to lose
36. Communication of Inside Information
37. Assisting, encouraging or causing Rule contraventions
38. Participation at unrecognised meetings

#### ***Other provisions as to conduct***

39. Requirement to comply with controls on sponsorship
40. Conviction of criminal offence connected with racing

- 41. Involvement in corrupt or fraudulent practices in relation to racing
- 42. Involvement in contravention of Rules as to betting etc
- 42A. Disclosure of unacceptable conduct

## **PART 5 – ENQUIRIES AND INVESTIGATIONS**

- 43. Application of this Part

### ***Enquiries***

- 44. Enquiries
- 45. Requirement to co-operate with enquiries
- 46. Conduct of enquiries and costs
- 47. Consideration of evidence

### ***Other powers of investigation***

- 48. Appointment of approved persons
- 49. Powers to search training premises
- 50. Requirement to provide information or records
- 51. Rule 50: supplementary provisions

## **PART 6 – DISCIPLINARY ACTION**

### **CHAPTER 1 – GENERAL**

- 52. General power to deal with matters relating to racing

### **CHAPTER 2 – PERSONS**

#### ***Disciplinary action for contravention of these Rules***

- 53. Powers to take Disciplinary Action against a person for contravention of these Rules
- 54. Cautions
- 55. Financial penalties
- 56. Suspension or withdrawal of licence or permit
- 57. Declaration of ineligibility for licence or permit or registration
- 58. Declaration of disqualification of persons
- 59. Additional penalties: trainers
- 60. Additional penalties: rider to attend remedial training
- 61. Additional penalties: rider's suspension extended to all racecourses
- 62. Rule 61: excepted cases

#### ***Authority's other powers to take Disciplinary Action***

- 63. Powers to suspend or withdraw licences on grounds other than Rule contravention
- 64. Power to issue exclusion orders
- 65. Power to prohibit Overseas Riders from riding in races under these Rules

#### ***Events triggering automatic disqualification***

- 66. Person whose name appears on the Forfeit List
- 67. Person whose name appears in official forfeit list of Recognised Racing Authority
- 68. Person disqualified by order of a Recognised Racing Authority

#### ***Rider suspended under other Rules or regulations***

- 69. Jockey or amateur rider suspended by Recognised Racing Authority
- 70. Rider suspended at Arabian horse race or point-to-point steeple chase

#### ***Miscellaneous and supplementary***

- 71. Consequences of being a Disqualified Person
- 72. Withdrawal or suspension of licence or permit: supplementary provisions

### **CHAPTER 3 - HORSES**

- 73. General powers to disqualify a horse or suspend it from running
- 74. Disqualification of horses in races already run
- 75. Suspension of horses from running in future races

## **PART 7 – APPEALS**

### ***Appeals to the Authority from Stewards' decisions***

- 76. Appeals to the Authority from Stewards' decisions
- 77. Requirement to co-operate for the purposes of an appeal
- 78. Bringing an appeal
- 79. Submission of written evidence
- 80. Consideration by the Authority
- 81. Implementation of decision to suspend a horse for future races
- 82. Implementation of decision to suspend a rider

### ***Appeals from decisions of the Authority***

- 83. Power to provide for appeals to an Appeal Board
- 84. Appeal Boards
- 85. Implementing decisions subject to right of appeal
- 86. Implementing decision of Appeal Board

## **PART 8 – SPECIFIC FUNCTIONS OF THE AUTHORITY**

- 87. Maintaining the Forfeit List
- 88. Controls on race conditions, advertising and sponsorship
- 89. The Breeders' Prize Scheme and Appearance Money Scheme
- 90. Managing the numbers of horses running in a race
- 91. Prohibiting certain equipment used for racing
- 92. Requiring stalls test
- 93. Maintaining the list of Recognised Racing Authorities
- 94. Powers in relation to Authorised Agents
- 95. Regulation of Arabian horse racing
- 96. Regulation of point-to-point steeple chasing

## **PART 9 – MISCELLANEOUS**

### ***Equine swimming pools***

- 97. Equine swimming pools: requirement for certificate of approval

### ***Value added tax***

- 98. General liability for value added tax
- 99. Fees for VAT administration
- 100. VAT registration scheme

### ***Publication of information***

- 101. Powers to publish information

### ***Delegation of functions***

- 102. Delegation of functions
- 103. Delegation: right of reconsideration

### ***Exclusion of liability***

- 104. Exclusion of liability

## **PART 10 – SUPPLEMENTARY**

### ***Giving notices etc***

- 105. The giving of notices, directions and other documents
- 106. The giving of notices, directions and other documents in electronic form
- 107. Deemed service of notices, directions and other documents
- 108. Computation of time

### ***Procedure for the making of Rules etc***

- 109. Publication of Rules, regulations or guidance

### ***Interpretation***

- 110. Meaning of rider
- 111. References to Jockeys



- 112. References to other types of rider
- 113. Other definitions

## **SCHEDULES**

- SCHEDULE 1 Fees
  - SCHEDULE 2 Deleted
  - SCHEDULE 3 Deleted
  - SCHEDULE 4 The Bloodstock Industry Code of Practice
  - SCHEDULE 5 Information regarded as in the public domain
  - SCHEDULE 6 Disciplinary Panels
  - SCHEDULE 7 Appeal Boards
  - SCHEDULE 8 Recognised Racing Authorities
  - SCHEDULE 9 Licensing Committees
  - SCHEDULE 10 Protocol in relation to guilty pleas and plea bargaining
- INDEX OF DEFINED EXPRESSIONS**

## **Race Manual (B)**

### **PART 1 – THE STEWARDS**

1. Approval by the Authority of Stewards and Chairmen
2. Requirements as to Stewards and Chairman for a meeting
3. Procedure
4. General powers and duties at meetings
5. Access to all places used for the purposes of a meeting
6. Horses
7. Equipment
8. Riders
9. Abandonment of a day's racing or of a race
10. The race
11. Enquiries
12. Disciplinary action against a person for contravention of these Rules
13. Disciplinary action: supplementary
14. Races already run: disqualifying a horse and changing the placings
15. Powers to suspend a horse from running in future races
16. Making referrals to the Authority
17. Power of Authority to correct decisions of Stewards
18. Other powers of Authority as to Stewards' decisions

### **PART 2 – PREPARATION FOR THE RACE**

#### ***Horses qualifying for a race***

19. Requirements for a horse to enter the race
20. Requirements for a horse to run the race

#### ***Requirements as to equipment***

21. Equipment for horse and rider

#### ***Weighing out and declarations***

22. Weighing out procedure
23. Verifying the Declaration Sheet
24. Persons who may verify the Declaration Sheet
25. Late change of rider
26. Publication of information about changes

#### ***Requirements before proceeding to the Start***

27. Requirements before mounting
28. The Parade Ring
29. After the horse is mounted
30. Requirements applying to parades

### **PART 3 – THE START**

#### ***Conduct***

31. General duty to secure a prompt start
32. Method of start
33. Getting to the start
34. General requirements at the start
35. Power of Starter to withdraw horses
36. The start
37. Timing of the start

#### ***False starts***

38. False starts
39. Effect of Recall Procedures
40. Failure of the Recall Procedures

### ***Starter's reports***

- 41. Requirement to make reports to Stewards
- 42. Power to report misconduct of rider, trainer or his representative
- 43. Power to issue warnings to trainers (criteria failures)
- 44. Effect of a Starter's report

## **PART 4 – THE RACE**

### ***Completing the course***

- 45. Riding to the draw in a flat race with marker poles
- 46. Remounting or Pulling up a horse
- 47. Disqualification of horse not carrying correct weight
- 48. Emergency procedures
- 49. Jump races: directing riders around an obstacle (by-pass procedures)
- 50. Deleted
- 51. Failing to ride the course correctly
- 52. Horse led over an obstacle

### ***Riding***

- 53. Dangerous riding
- 54. Careless riding or improper riding
- 55. Accidental interference
- 56. Rules 53 to 55: supplementary provision
- 57. Assisting another horse in the race
- 58. General requirement for a horse to be run on its merits and obtain best possible placing
- 59. Failure to run a horse on its merits

## **PART 5 – THE RESULT**

### ***Determining the placings***

- 60. The Judge
- 61. The Judge's decision
- 62. Correction by Judge of original decision as to placings
- 63. Powers of Authority to review Judge's decision
- 64. Dead-heats: placing

### ***Walk overs***

- 65. Walk overs

### ***Void races***

- 66. Circumstances in which a race is void

## **PART 6 – AFTER THE RACE**

### ***Weighing-in***

- 67. Procedure for weighing-in
- 68. Announcements etc after weighing-in

### ***Reports***

- 69. Report by the Clerk of Scales
- 70. Report by the Judge

## **PART 7 – DISPUTES AND OBJECTIONS**

- 71. Resolution of disputes
- 72. Deleted

### ***Who decides objections***

- 73. Objections made on certain grounds to be decided by Stewards
- 74. Objections made on any other ground to be decided by the Authority

### ***Deadlines and procedure***

- 75. Deadline and procedure: objections decided by Stewards
- 76. Deadline and procedure: objections decided by the Authority
- 77. Deadline and procedure: objection about a revision of Judge's decision
- 78. Consequences where an objection is made
- 79. Publication of information about objections and enquiries

### **PART 8 – MISCELLANEOUS**

- 80. Movement of injured horses
- 81. Destruction of horses
- 82. Post-mortem examinations of horses
- 83. General duty to comply with Stewards' instructions and other requirements
- 84. Restriction of access to the Weighing Room
- 85. Restriction of access to Riders' Changing Rooms
- 86. Complaints against officials

### **PART 9 – SUPPLEMENTARY**

- 87. Notices, directions and other documents
- 88. Computation of time
- 89. Arrangement of Rules into Manuals
- 90. Meaning of rider
- 91. References to Jockeys
- 92. References to other types of rider
- 93. Other definitions

### **SCHEDULES**

- SCHEDULE 1 Effective days for riding suspensions
  - SCHEDULE 2 Requirements for horse to enter race
  - SCHEDULE 3 Requirements for horse to run
  - SCHEDULE 4 Equipment
  - SCHEDULE 5 Starting procedures
  - SCHEDULE 6 Causing interference and improper use of the whip
  - SCHEDULE 7 Left handed and right handed flat racecourses
- INDEX OF DEFINED EXPRESSIONS

## **Trainer Manual (C)**

### **PART 1 – INTRODUCTORY**

1. Introductory
2. Scheme

### **PART 2 – TRAINER'S LICENCES AND PERMITS FROM THE AUTHORITY**

#### **CHAPTER 1 – OBTAINING A LICENCE OR PERMIT**

##### ***Grant, refusal or withdrawal***

3. Licences to train granted by the Authority
4. Permits to train granted by the Authority
5. Initial application for licence or permit
6. Expiry and renewal of licence or permit
7. Circumstances in which licence or permit ceases to be valid
8. Fees for grant and renewal of licence or permit

##### **Temporary licences**

9. Temporary licences

#### **CHAPTER 2 – LICENSED OR PERMITTED TRAINERS: FURTHER PROVISION**

##### ***Licensed trainers and permitted trainers***

10. General requirements applying to licensed trainers and permitted trainers
11. Deleted
12. Duty to check identity of a horse
13. Duty to keep Treatment records
14. Authorising another trainer to act on a trainer's behalf
15. Information about employees
16. Information about horses under a trainer's care
17. Information about gelding a horse
- 17A. Information about horses of ambiguous sex
18. Information about new horse arriving from outside Great Britain and Ireland

##### ***Licensed trainers, permitted trainers and private trainers***

19. Information about a horse running in a race outside Great Britain and Ireland

##### ***Licensed trainers only***

20. Dealings between licensed trainers and owners
- 20A. Changes in employment status

### **PART 3 – GENERAL DUTIES OF TRAINERS**

#### ***Introductory***

21. Application of Part 3

#### ***General***

22. Duties of care and skill
23. Security of horses
24. Vaccination, passport and identity checks
25. Ensuring protective equipment is worn
26. Restrictions on advertising on clothing or equipment

#### ***Equine welfare***

27. Duty to promote welfare of horses
28. Veterinary treatment and medication
29. Strict liability of trainer on horse's visit to equine swimming pool
30. Duty to report communicable diseases
31. Prohibition on bringing horse affected with ringworm to a racecourse
32. Requirement to use official racecourse stables
33. Restrictions applying in relation to a horse whilst on racecourse property
34. Post-race reports of matters materially affecting a horse's performance

- 35. Avoiding duplication of post-race reporting
- 36. Other requirements relating to equine welfare
- Entry and declaration stages***
- 37. Duties in determining horses to run for a race
- 38. Additional duties when horse trained outside Great Britain
- At the racecourse***
- 39. Access to official racecourse stables by trainer
- 40. Access to official racecourse stables by stable employees when on duty
- 41. Arrangements for access to official racecourse stables by hunters' steeple chase attendants
- 42. Overnight racecourse accommodation for stable employees and horses
- 43. At the racecourse
- 44. Additional responsibilities for apprentice and conditional jockeys
- 45. Duty to secure the best possible placing
- 46. Authorised Trainer's Representative
- Miscellaneous***
- 47. Cases of suspected doping etc
- 48. Schooling horses for all types of start
- 49. Other requirements applying to trainers

#### **PART 4 – DELETED**

##### ***Introductory***

- 50. Deleted
- 51. Deleted
- 52. Deleted

##### ***Consequences of positive test***

- 53. Deleted
- 54. Deleted
- 55. Deleted

##### ***The sampling procedures***

- 56. Deleted
- 57. Deleted
- 58. Deleted
- 59. Deleted
- 60. Deleted
- 61. Deleted
- 62. Deleted
- 63. Deleted

#### **PART 5 – MISCELLANEOUS**

- 64. Restrictions on laying a horse to lose
- 65. Trainer who also holds a rider's licence: restrictions on riding
- 66. Suspending horses from running
- 66A. Payment for non-training services

#### **PART 6 – SUPPLEMENTARY**

- 67. Notices, directions and other documents
- 68. Computation of time
- 69. Arrangement of Rules into Manuals
- 70. Meaning of licensed trainer, permitted trainer and trainer
- 71. Meaning of rider
- 72. References to jockeys
- 73. References to other types of rider
- 74. Definitions

## **SCHEDULES**

SCHEDULE 1 Terms and conditions of service for stable employees

SCHEDULE 2 General duties as to stable employees

SCHEDULE 3 Deleted

SCHEDULE 4 Trainers and owners

SCHEDULE 5 Stalls tests

SCHEDULE 6 Deleted

SCHEDULE 7 Deleted

SCHEDULE 8 Suspending horses from running

SCHEDULE 9 Communicable Diseases

SCHEDULE 10 Deleted

INDEX OF DEFINED EXPRESSIONS

## **Rider Manual (D)**

### **PART 1 – INTRODUCTORY**

1. Introductory
2. Scheme

### **PART 2 – JOCKEY LICENCES FROM THE AUTHORITY**

#### **CHAPTER 1 – OBTAINING A LICENCE**

##### ***General***

3. Licences to ride granted by the Authority
4. Fees for grant and renewal of licence

##### ***Grant, refusal or withdrawal: Jockeys***

5. Initial application for a jockey's licence
6. Expiry and renewal of a jockey's licence
7. Circumstances in which a jockey's licence ceases to be valid

##### ***Grant, refusal or withdrawal: Apprentice Jockeys or Conditional Jockeys***

8. Initial application for an apprentice jockey's licence
9. Initial application for a conditional jockey's licence
10. Expiry and renewal of licences: apprentice jockey or conditional jockey
11. Circumstances in which licence ceases to be valid: apprentice jockey or conditional jockey

#### **CHAPTER 2 – JOCKEYS: FURTHER PROVISIONS**

12. Jockeys to be suitable Persons
13. Reporting any injury or illness
14. Prohibition on owning racehorses
15. Riding outside Great Britain

### **PART 3 – AMATEUR RIDER'S PERMITS FROM THE AUTHORITY**

#### **CHAPTER 1 – OBTAINING A PERMIT**

##### ***General***

16. Permits to ride granted by the Authority for amateur riders
17. Fees etc for grant and renewal of permit

##### ***Grant, refusal or withdrawal***

18. Initial application for an amateur rider's permit
19. Persons ineligible for an amateur rider's permit
20. Expiry and renewal of an amateur rider's permit
21. Circumstances in which an amateur rider's permit ceases to be valid

#### **CHAPTER 2 – AMATEUR RIDERS: FURTHER PROVISIONS**

22. Amateur riders to be suitable Persons
23. Obtaining a medical record book
24. Producing the medical record book before race
25. Reporting any injury or illness
26. Riding outside Great Britain

### **PART 4 – OVERSEAS RIDERS RIDING IN GREAT BRITAIN**

27. Overseas rider qualifying to ride in Great Britain: general provisions
28. Overseas rider riding in races confined to apprentice or conditional jockeys
29. Prohibition on overseas riders owning racehorses



## **PART 5 – GENERAL DUTIES OF RIDERS**

### ***Introductory***

30. Application of Part 5

### ***Changes to riding schedule***

31. Duty to notify changes to riding schedule

### ***The restricted period***

32. Duty to remain on racecourse property during restricted period  
33. General restriction on mobile telephone use during restricted period  
34. Permitted use of registered mobile telephones: jockeys  
35. Permitted use of unregistered mobile telephones

### ***Equipment***

36. Safety vests, skull caps and saddles  
37. Whips used for racing  
38. Other requirements as to equipment etc for racing  
39. Approval of advertising on clothing or equipment

### ***The race***

40. Requirements before leaving the Weighing Room  
41. Duty of declared rider to weigh out  
42. Weighing out  
43. Duties following weighing out  
44. General conduct at the start  
45. Riding to achieve the best possible placing

### ***After the race***

46. Pulling up and dismounting after the race  
47. Weighing-in  
48. Making a report of gurgling by horse during a race  
49. Post-race reports to Stewards  
50. Reporting accidents occurring in a race  
51. Declaration of unfitness to ride

### ***Miscellaneous***

52. Duty to report to Stewards' room  
53. Betting and betting contacts: professional riders  
54. Betting: amateur riders  
55. Accepting rewards: professional riders  
56. Accepting rewards: amateur riders  
57. Requirements in other Manuals applying to all riders

## **PART 6 – BANNED SUBSTANCES AND NOTIFIABLE MEDICATIONS**

### ***Introduction***

58. Application and interpretation of Part 6  
59. Testing positive for banned substance or notifiable medication

### ***Sampling procedures***

60. Procedures for sampling under this Part  
61. Duties as to medical examination and compliance with the Protocol for sampling procedures  
62. Other medical examinations ordered by Stewards

### ***Consequences of positive test for Notifiable Medications***

63. Duty to notify a Notifiable medication and restriction on riding  
64. Consequences of positive test for notifiable medication

### ***Consequences of positive test for banned substance***

65. Consequences of positive test for banned substance  
66. Consequences where positive test is for alcohol  
67. Deleted

## **PART 7 – MASTER VALETS, ASSISTANT VALETS AND AUTHORISED RIDERS’ AGENTS**

### **CHAPTER 1 – OBTAINING A LICENCE OR PERMIT**

#### ***General***

- 68. Licences and permits for master valets, assistant valets and authorised riders’ agents
- 69. Fees for grant and renewal of licence or permit

#### ***Grant, refusal or withdrawal***

- 70. Initial application for licence or permit
- 71. Expiry and renewal of licence or permit
- 72. Circumstances in which a licence or permit ceases to be valid

### **CHAPTER 2 – FUTURE PROVISIONS**

#### ***General***

- 73. Licence or permit holders to be suitable Persons

#### ***Master Valets and Assistant Valets***

- 74. Remaining on racecourse property and mobile telephone use during restricted period
- 75. Restrictions on betting and betting contacts
- 76. Requirements in other Manuals applying to master valets and assistant valets

#### ***Riders’ agents***

- 77. Authorisation to act as agent for a particular rider
- 78. Restrictions on laying a horse to lose

## **PART 8 – MISCELLANEOUS**

- 79. Payment for non-riding services
- 80. Fees for services of riders, master valets and assistant valets

## **PART 9 – SUPPLEMENTARY**

- 81. Notices, directions and other documents
- 82. Computation of time
- 83. Arrangement of Rules into Manuals
- 84. Meaning of rider
- 85. References to jockeys
- 86. References to other types of rider
- 87. Other definitions

## **SCHEDULES**

SCHEDULE 1 Reciprocal clearance agreement when riding overseas

SCHEDULE 2 Equipment

SCHEDULE 3 Banned substances and notifiable medications

SCHEDULE 4 The protocol for the testing of riders for banned substances and procedures for notifiable medications

SCHEDULE 5 Deleted

SCHEDULE 6 Fees

INDEX OF DEFINED EXPRESSIONS

## **Horse and Owner Manual (E)**

### **PART 1 – SCOPE OF MANUAL**

1. Introduction

### **PART 2 – HORSES**

#### **CHAPTER 1 – INTERPRETATION**

2. Interpretation of Part 2

#### **CHAPTER 2 – REGISTRATION OF NAMES OF HORSES TRAINED IN GREAT BRITAIN**

##### ***Applying to register the name of a horse***

3. The register of names of horses trained in Great Britain
4. Making an application to register a horse name
5. Supporting documents: horse foaled in Great Britain, Ireland or Channel Islands
6. Supporting documents: horse foaled elsewhere
7. Age and markings certificates
8. Requirements for an application to be approved
9. Registration of the name

##### ***Further provisions as to names***

10. Changing a name
11. Reserving a name
12. Fees for an application under Rule 10 or 11

#### **CHAPTER 3 – IDENTITY AND VACCINATION OF HORSES**

##### ***Issue of passports by a Stud Book Authority***

13. Requirement for a horse trained in Great Britain to have a passport
14. Issue and replacement of a passport

##### ***Checking the identity of a horse***

15. Identity checks for horses trained in Great Britain
16. Identity check for horse trained outside Great Britain
17. Horses from outside Great Britain or Ireland: export certificates and passports

##### ***Vaccinations against equine influenza***

18. Vaccinations against equine influenza
19. Vaccination checks

#### **CHAPTER 4 – RACING OUTSIDE COUNTRY OF TRAINING**

##### ***Horse trained in Great Britain and Ireland: racing elsewhere***

20. Requirements for racing outside Great Britain and Ireland
21. Racing clearance notifications
22. Passport endorsement
23. Application for passport endorsement

##### ***Horse trained elsewhere: racing in Great Britain***

24. Requirements for racing in Great Britain

#### **MISCELLANEOUS**

25. Reckoning the age of a horse
26. Registration of non-racing agreements
- 26A. Notification of neurectomy operations
- 26B. Retirement from racing under Rules
- 26C. Notification of pregnant horses

### **PART 3 – OWNERS**

#### **CHAPTER 1 – GENERAL**

27. Interpretation of Part 3

## **CHAPTER 2 – OWNER REGISTRATION: INDIVIDUALS, COMPANIES, PARTNERSHIPS AND CLUBS**

28. Scope of Chapter 2

### ***General provisions: all applicants***

29. Making an application to register under Chapter 2

30. Requirement to put in place appropriate financial arrangements

30A. Provisions applying only to individual owners

31. Name to be used when running a horse in ownership of a Sole Owner

32. Deleted

33. Cancellation of registration of individual registered as a Sole Owner

### ***Provisions applying only to stud companies***

34. Registration of Stud Companies

35. Recognised Stud Company and Owner of horse

36. Recognised Stud Company to act through registered nominee

37. Name to be used when running a horse in ownership of a Recognised Stud Company

38. Cancellation of registration of a Recognised Stud Company or nominee

### ***Provisions applying only to companies***

39. Registration of Companies

40. Recognised Company and Owner of horse

41. Recognised company to act through registered agent

42. Appointment of sub-agent

43. Name to be used when running a horse in ownership of a Recognised Company

44. Duty to notify changes as to Company Directors or secretary

45. Cancellation of registration of a Recognised Company

46. Cancellation of registration of a registered agent

### ***Provisions applying only to Business Partnerships***

47. Registration of Business Partnerships

48. Recognised Business Partnership, Business Partners and Owner of horse

49. Recognised Business Partnership to act through Business Partners

50. Name to be used when running a horse in ownership of a Business Partnership

51. Notification of information

52. Cancellation of registration of Business Partnership

53. Deleted

54. Deleted

55. Deleted

56. Deleted

57. Deleted

58. Deleted

59. Deleted

## **CHAPTER 3 – OWNER REGISTRATION: ARRANGEMENTS FOR MULTIPLE OWNERSHIP**

60. Scope of Chapter 3

60A. Requirement to put in place appropriate financial arrangements

61. Deleted

62. Deleted

63. Deleted

64. Deleted

65. Deleted

66. Deleted

### ***Partnerships***

67. Registration of a Partnership

68. Conditions for initial registration

69. Name to be used when running a horse subject to a Partnership

70. Deleted

71. Owner of horse and obligations of Partners

71A. Notification of Information

- 72. Deleted
- 73. Cancellation of registration of a Partnership
- Syndicates***
- 73A Registration of Syndicates
- 73B Syndicator to act through Syndicator
- 73C Name to be used when running a horse subject to a Syndicate
- 73D Cancellation of registration of a Syndicate
- 73E Code of Conduct

#### ***Racing Clubs***

- 73F Registration of Racing Clubs
- 73G Racing Club to act through Club Manager
- 73H Name to be used when running a horse subject to a Racing Club
- 73I Cancellation of registration of a Racing Club

#### ***Leases applying to a single race***

- 74. Registration of single race leasing arrangement

#### ***Other leases and arrangements***

- 75. Registration of leasing and other joint arrangements not within Rule 67, 73A, 73F or 74
- 76. Conditions for initial registration
- 77. Expiry and renewal of registration of lease or other arrangement
- 78. Owner of horse and obligations of parties to lease or other arrangement
- 79. Name to be used when running a horse subject to a lease or other arrangement
- 80. Cancellation of a lease or other arrangement

### **CHAPTER 4 – RACING COLOURS**

- 81. Application of Chapter 4
- 82. Racing colours
- 83. Circumstances in which use of other racing colours is required
- 84. Circumstances in which joint-use of racing colours is permitted
- 85. Application to the Authority to register racing colours

### **CHAPTER 5 – MISCELLANEOUS**

- 86. Application of Chapter 5
- 87. Information about horses of ambiguous sex
- 88. Dealings with licensed trainers
- 89. Owners giving instructions to riders
- 89A. Restriction on owners compensating riders
- 90. Authorised agents of an owner
- 91. Owner's sponsorship agreements
- 92. Restrictions on laying to lose

### **PART 4 – SUPPLEMENTARY**

- 93. Notices, directions and other documents
- 94. Computation of time
- 95. Arrangement of Rules into Manuals
- 96. Meaning of Owner
- 97. Interpretation: general

### **SCHEDULES**

- SCHEDULE 1 Registration of horse names
- SCHEDULE 2 Countries with approved stud books
- SCHEDULE 3 Deleted
- SCHEDULE 4 Trainer-owner agreements
- SCHEDULE 5 Registration of Ownership Names' and Styles
- SCHEDULE 6 Syndicate Code of Conduct
- INDEX OF DEFINED EXPRESSIONS

## **Race Administration Manual (F)**

### **PART 1 – GENERAL INTRODUCTORY**

#### ***The racing seasons***

1. Dates of the racing seasons

#### ***Types of races and related terms***

2. Meaning of race
3. General race categories
4. Categories of flat race
5. Categories of steeple chases, hurdle races and national hunt flat races
6. Maiden horses
7. Novice horses
8. Classification of races
9. Definitions supplementing Rules 2 to 8.

### **PART 2 – FIXTURES AND RACECOURSES**

10. General

#### ***Fixtures***

11. Powers of the Authority in relation to fixtures
12. Fixture fees

#### ***Racecourses***

13. Racecourse licences
14. Circumstances in which a racecourse licence ceases to be valid
15. Duties of racecourse managing executive
16. Inspection of racecourses in connection with licensing
17. Submission of racecourse statement of accounts
18. Approvals required for equine events at racecourses
19. All weather tracks

### **PART 3 – RACING PROGRAMMES**

#### **CHAPTER 1 – GENERAL PROVISIONS**

20. The conditions of the race
21. Conditions of the race: additional requirements for specific categories of race
22. Publication of race programme
23. Cancellation of races with fewer than five entries or declarations
24. Mixed meetings, matches, private sweepstakes or novelty races

#### **CHAPTER 2 – PROVISIONS APPLYING TO FLAT RACES ONLY**

25. Application of Chapter 2
26. Minimum requirements as to races to be included in a flat race programme
27. Maximum number of races in a flat race programme
28. Restrictions on division of flat races
29. General restrictions on flat races
30. Classified stakes races and rating related maiden races: previous experience
31. Handicap flat races other than nursery handicaps: previous experience
32. Nursery handicaps: previous experience
33. Further provision about previous experience required by Rule 30, 31 or 32
34. Handicap flat races: top and bottom weights
35. Handicap flat races: weight adjustments at scratching deadline or at confirmation
36. Handicap flat races: weight adjustments at declaration to run

#### **CHAPTER 3 – PROVISIONS APPLYING TO STEEPLE CHASES, HURDLE RACES AND NATIONAL HUNT FLAT RACES**

37. Application of Chapter 3
38. Minimum requirements as to races to be included in Jump race programme

- 39. Maximum number of races in a race programme
- 40. Restrictions on division of Jump races
- 41. General restrictions on Jump racing
- 42. Jump Handicap or classified races: previous experience
- 43. Jump Handicap races: top and bottom weights
- 44. Jump Handicap races: weight adjustments at scratching deadline or at confirmation
- 45. Jump Handicap races: weight adjustments at declaration to run
- 46. Rules 44 and 45: supplementary

## **PART 4 – SELLING RACES AND CLAIMING RACES**

### **CHAPTER 1 – SELLING THE WINNER IN A SELLING RACE**

- 47. Application of Chapter 1
- 48. The sale process
- 49. The sale price
- 50. The sale transaction

### **CHAPTER 2 – CLAIMING HORSES IN A CLAIMING RACE OR SELLING RACE**

- 51. Application of Chapter 2
- 52. The Advertised Claiming Price
- 53. The claiming process
- 54. Deleted
- 55. Making a claim to The Racing Calendar Office
- 56. Restrictions as to the making and withdrawal of claims
- 57. The claim transaction
- 58. Powers of the Authority to intervene in cases of non-payment
- 59. Restrictions after sale

### **CHAPTER 3 – SUPPLEMENTARY PROVISIONS: SELLING RACES AND CLAIMING RACES**

- 60. Application of Chapter 3
- 61. Horse subject to a lease
- 62. Terms of sale and liability for VAT
- 63. Steps to be taken after sale
- 64. Consequences of disqualification, altered placing or void race
- 65. Consequences of the appeal process

## **PART 5 – RACE ENTRIES**

### ***General***

- 66. Powers of the Authority
- 67. Security codes for making entries
- 68. Prohibition on racecourse managing executives charging for entries

### ***Entries***

- 69. Requirements as to horse being entered
- 70. Making the entry: horse trained in Great Britain
- 71. Making the entry: horse trained outside Great Britain
- 72. Alteration and withdrawal of entry before closing
- 73. Entries for races in Great Britain which close to other Recognised Racing Authorities
- 74. Setting the date for closing
- 75. Closing time for races closing more than 6 days before running
- 76. Closing time for other races
- 77. Re-opening of entry procedure
- 78. Steps for correcting certain errors
- 79. Pre-notification of certain entries
- 80. Void entries

### ***Transfers of engagements***

- 81. Racing Calendar Office to be notified of transfer of engagements
- 82. Effect of a scratching deadline

## **PART 6 – PROCESSING AFTER ENTRY**

### **CHAPTER 1 – GENERAL**

83. Powers of the Authority

### **CHAPTER 2 – SCRATCHING DEADLINES AND STAGES FOR DECLARATIONS AND CONFIRMATION**

84. Overview of scratching deadlines and the stages for making declarations and confirmations

#### ***Scratching deadlines***

85. Scratching deadline

86. Procedure for scratching a horse

#### ***Confirmation of entry***

87. Confirmation of entry

88. Procedure for making or withdrawing a confirmation of entry

#### ***Declaration to run***

89. Declaration to run

90. Extension of deadline for declarations to run

91. Procedure for making or withdrawing a declaration to run

#### ***Declaration of rider***

92. Declaration of rider

93. Procedure for making, withdrawing or altering a declaration of rider

94. Restriction as to number of meetings at which a rider is permitted to ride

### **CHAPTER 3 – FURTHER STEPS**

#### ***Non-runners***

95. Scratching non-runners before declaration to run stage

96. Requirement to run after declaration to run stage

97. Exceptions to Rule 96: non-runners

98. Exceptions to Rule 96: horse declared in two races

99. Exceptions to Rule 96: horse declared in a Saturday race and a Sunday race

- 99A Exceptions to Rule 96: horse declared as a reserve and subsequently allocation a run

100. Procedure for notification of non-runner after declaration to run stage

101. Notifying the death of a horse

#### ***Dividing a race and reducing declarations to run***

102. Steps where declarations to run exceed applicable limit

103. Procedure for division of race and reduction of runners

#### ***The draw in a flat race***

104. The draw

105. Making changes to the draw order

#### ***Payments in respect of an engagement***

106. Fees due in respect of entries

107. The stake and the stakeholder

108. Liability for stake money etc: races with a scratching deadline

109. Liability for stake money etc: races with no scratching deadline

110. Circumstances in which amounts are not payable

111. Race not run following the making of a division

112. Power of the Authority to require earlier payment

113. Failure to pay stake money

#### ***Payments by racecourse managing executive***

114. Payments by racecourse managing executive

## **PART 7 – PRIZES AND SETTLING OF ACCOUNTS**

### ***Distribution of prizes***

115. General

116. Trophies

117. Amount of prize money

118. Distribution of prize money



- 119. Distribution of money payable to stables
- 120. Dead-heats: prizes
- 121. Races with more prizes than declared runners before race is declared off
- 122. Races with more prizes than finishers

***Breeders' prizes***

- 123. Deleted
- 124. Deleted
- 125. Deleted
- 126. Deleted
- 127. Deleted
- 128. Deleted
- 128A. Deleted
- 128B. Deleted
- 128C. Deleted
- 128D. Plus 10 Bonus Scheme

**Settling of accounts**

- 129. Crediting of money due
- 130. Exemptions from payments to be made under Rule 129
- 131. Allocation by stakeholder of payments for sponsorship of number cloths

**PART 8 – HANDICAPPING, PENALTIES, QUALIFICATIONS AND ALLOWANCES**

***Handicaps***

- 132. Making a handicap
- 133. Publication of handicap ratings
- 134. Publication of handicap weights for a race

***Penalties, allowances and qualifications***

- 135. Penalties
- 136. Races relevant to calculation of penalties, allowances and qualifications
- 137. Determining the value of a race
- 138. Determining the value of races and sales outside Great Britain and Channel Islands

***Weight allowances for horses***

- 139. Weight allowances for horses

***Weight allowances for riders***

- 140. Weight allowances in flat races,
- 141. Weight allowances in steeple chases, hurdle races and national hunt flat races open to professional riders
- 142. Weight allowances in steeple chases, hurdle races and national hunt flat races confined to amateur riders
- 143. Rider's allowances: supplementary provisions

**PART 9 – MISCELLANEOUS**

- 144. Opening times of Racing Calendar Office

**PART 10 – SUPPLEMENTARY**

- 145. Notices, directions and other documents
- 146. Computation of time
- 147. Arrangement of Rules into Manuals
- 148. Meaning of rider
- 149. References to jockeys
- 150. References to other types of rider
- 151. Meaning of owner in relation to a horse trained in Great Britain
- 152. Other definitions

## **SCHEDULES**

SCHEDULE 1 The Racing Seasons  
SCHEDULE 2 Classification of Races  
SCHEDULE 3 Races permitted to divide  
SCHEDULE 4 Protocol for Claimants  
SCHEDULE 5 Requirements for horse to enter race  
SCHEDULE 6 Illustration of timetable for entries and declarations  
SCHEDULE 7 Notifying non-runners after declaration to run stage  
SCHEDULE 8 Elimination or balloting procedures  
SCHEDULE 9 Distribution of prize money  
SCHEDULE 10 Deleted  
SCHEDULE 11 Appearance Money Scheme 2016  
SCHEDULE 12 Scale of weight for age allowances  
SCHEDULE 13 Penalties  
SCHEDULE 14 Rates of Exchange  
SCHEDULE 15 Opening times or Racing Calendar Office  
SCHEDULE 16 Field size limits and stabling capacity  
SCHEDULE 17 British Owners and Breeders Incentive Scheme  
INDEX OF DEFINED EXPRESSIONS

## **Equine Anti-Doping Manual (G)**

1. Application and Scope
2. Equine Anti-Doping Rule Violations
3. Proof of Doping
4. The Prohibited List
5. Testing
6. Analysis of Samples
7. Results Management
8. Provisional Suspensions
9. Retirement from Horseracing
10. Disciplinary Enquiries
11. Penalties
12. Appeals
13. Recognition
14. Reinstatement Testing
15. Final Provisions
16. Definitions

## **SCHEDULES**

- SCHEDULE 1 – Prohibited List
- SCHEDULE 2 – Whereabouts Requirements
- SCHEDULE 3 – Sample Collection Procedures
- SCHEDULE 4 – Procedure for a B Analysis
- SCHEDULE 5 – List of BHA-Approved Laboratories

## **BHA Notices Section**

### **Administration of Levamisole/Tetramisole to horses in training**

Levamisole and Tetramisole are sold as wormers for farm livestock, and are almost identical substances sharing the same molecular make-up but differing in their three-dimensional orientation. They are not licensed for use in horses but the British Horseracing Authority is aware that they are being given to horses in training with and without veterinary advice, primarily as 'immune stimulants' or 'pick-me-ups'. Since these have been shown to have an effect on the immune system (in other species), Levamisole and Tetramisole are prohibited substances. Since 1999 these drugs have been found in horses tested on racedays, resulting in disqualifications and fines.

In addition, the Authority is, in some of the more recent cases, also finding the substance Pemoline. This is a drug that stimulates the brain, has historically been used for treatment of serious psychological disorders in people and has been shown to have a specific performance enhancing effect in horses (similar to that seen with Amphetamine). Pemoline was withdrawn from the market as a human drug due to it being linked with liver toxicity.

Finding Levamisole/Tetramisole in racehorses is itself of concern, but finding such a significant performance enhancing drug as Pemoline in racehorses is of great concern. The Authority has investigated the reason for these coincidental findings of Pemoline with Levamisole and Tetramisole. Studies at HFL, have demonstrated a mechanism by which Pemoline is produced in horse liver cells following exposure of these cells to a metabolite of Levamisole and Tetramisole. We therefore believe that the probable source of Pemoline found coincidentally with Levamisole and Tetramisole is from the metabolism in the horse of these two latter drugs.

In view of the association of Pemoline with the administration of Levamisole/Tetramisole we have reviewed the available scientific literature for evidence for the rationale use of Levamisole and Tetramisole in horses. Although Levamisole and Tetramisole have been shown to improve immune function in the laboratory, and under certain conditions in other species, we have not found any material evidence base for the rationale use of Levamisole and Tetramisole in horses for immune modulation (we are of course happy to be advised to the contrary). We would add that there are alternative licensed wormers available for use in the horse and that the drug safety of Levamisole, Tetramisole and Pemoline is not well characterised in horses.

The Rules of Racing state that every treatment must be fully justifiable by the medical condition of the horse receiving the treatment. Given this requirement, the lack of evidence for the rationale use of Levamisole/Tetramisole in horses for immune stimulation, and the likely association between use of Levamisole/Tetramisole in horses and the presence of Pemoline, we wish to issue clear advice to Trainers and their veterinary surgeons.

The Authority's position on this matter is therefore that as there is no material evidence base for the rationale use of Levamisole and Tetramisole in horses for immune modulation, and use of these drugs is associated with the finding of Pemoline, which is known to enhance performance, the Authority strongly advises against the use of Levamisole/Tetramisole in horses in training. Any such use is advised to be under veterinary supervision, following a relevant diagnosis, and should include an extensive withdrawal period. If Pemoline is found in horses, whether related to the use of Levamisole/Tetramisole or not, the Authority will regard this as a serious finding because Pemoline has been shown to have clear performance enhancing effects.

### **Anti-Ulcer Medication in horses - Use of**

The Equine Science and Welfare Department of the British Horseracing Authority would like to draw the attention of Trainers to an important issue relating to anti-ulcer medication - in particular, ranitidine. Complementary information with added veterinary detail has also been made available to veterinary surgeons.

Through on going screening at HFL, and a number of positive tests post race, we are aware that Trainers, advised by their veterinary surgeons, are using ranitidine to prevent and treat gastric ulcers syndrome in their horses (it may be called as such in generic preparation, or by its trade name, for example 'Zantac'). This drug is a preparation for treatment of humans - it is neither intended nor licensed for horses in Great Britain. Whilst veterinary surgeons can prescribe drugs intended for use in other species where there is no alternative, in this case there are other preparations available as licensed horse medicines which make the use of ranitidine subject to the need for justification and veterinary surgeons must obtain written consent from the Trainer to use ranitidine. Importantly the Authority has published a Detection Time for a licensed veterinary medication containing the anti-ulcer drug omeprazole, and details can be found on the Authority's website. Non-medical approaches to managing gastric ulcers in horses should also be borne in mind.

There is very little available information about excretion time of ranitidine in horses; what there is indicates that

under certain circumstances it can be detected for at least 18 days in urine and probably considerably longer. On top of this lack of information, the problem of trying to understand how it is handled by the horse is particularly difficult because:

1. It is usually given by mouth (tablets, paste or syrup) which, particularly with the horses' complex digestive system, results in very variable metabolism.
2. In using human tablets etc, they are given 'word of mouth' doses and in very variable forms, e.g. being broken up and mixed with water and given by syringe, which makes absorption and subsequent metabolism and excretion even harder to predict.

In the light of this it is recommended that extreme care is exercised in any use of ranitidine in horses in training; as with any prohibited substance, ranitidine must not be detectable on raceday.

If Trainers are in any doubt as to whether a horse is clear to race, they are invited to contact Tim Morris (Director of Equine Science and Welfare) or Lynn Hillyer (Veterinary Advisor) on 0207 152 0090 for advice and/or possible facility for Elective Testing.

## **Anti-Viral Drug Amantidine - Use of**

In the context of the Authority's approach to the detection of the use of anti-infective drugs (see BHA Notice 'Detection of the Use of Anti-infective Drugs') it would specifically draw Trainers' attention to the use of the anti-viral drug amantidine. The Authority is aware that amantidine is being used in horses.

Whilst scientific studies have been published referring to its possible activity against the equine influenza virus, all horses racing in Great Britain must be vaccinated against equine influenza. Any use of amantidine would be in the context of treatment of a significant viral disease, and it would be expected that a horse under treatment, and for a time after treatment, must be isolated to protect other horses.

In humans, amantidine has been used to treat diseases of the brain. In horses the use of amantidine does result in seizures in some cases and it may have other effects on the horse's central nervous system, and so could place horse and jockey at risk.

Any use of amantidine as an anti-viral drug is therefore advised to be under veterinary supervision, following a relevant diagnosis, and should include an extensive withdrawal period and include measures to protect other horses. The Authority notifies Trainers that with respect to amantidine it must not be present in horses on a raceday and that the approach of not reporting anti-infective drugs will not be taken with amantidine, which has other effects, and its use will be regarded as for the use of a prohibited substance.

## **Auction Races**

### **Auction Races**

The following guidelines have been drawn up to ensure that the qualification of horses for these races is clear.

The definition of a Maiden Auction race is "a flat race restricted to two year old or to three year old Maiden horses which have been sold or bought in by public auction under the hammer at specified sales".

The definition of a Novice Auction race is "a flat race restricted to two years old horses which have not won a Flat race classified above Class 4 in Schedule (F)2, other than those races which are treated as Class 4 in the conditions of the race, and which have not won more than two races of any class, and which have been sold or bought in by public auction under the hammer at specified sales".

For the avoidance of doubt horses which are unsold having failed to reach their reserves do not qualify, nor do private sales.

(i) The "specified sales" referred to above for these races in 2015 comprise the following:-

a) Those yearling sales administered by Arqana (France), Baden-Badener Auktionsgesellschaft (BBAG) (Germany), Brightwells Ltd. (G.B.), Doncaster Bloodstock Sales Ltd (G.B.), Fasig-Tipton Co. Inc. (U.S.A.), Goffs Bloodstock Sales Ltd. (Ireland), Goresbridge Horse Sales Ltd. (Ireland), Keeneland Association Inc. (U.S.A.), Ocala Breeders Sales Co. Inc. (U.S.A.), Osarus Vente (France), Societa Gestione Aste (SGA) (Italy), Tattersalls Ltd. (G.B.), Tattersalls (Ireland) Ltd. (Ireland).

b) As two years old at any sales administered by the above mentioned sales companies, up to and including May 31st, 2015 or, for the races where the closing date is before June 1st, up to and including the day prior to the closing date of the race.

c) As three years old at any sales administered by the above mentioned sales companies, up to and including the day prior to the closing date of the race.

ii) The last sale will govern the price if the horse is sold more than once, up to and including the relevant qualifying date as stated above.

(N.B. A differential sales price will be applied for qualification purposes for those horses sold as yearlings prior to July 1st of the relevant year. Please refer to the individual race conditions for details).

iii) A horse will only be considered as having been sold by public auction (under the hammer) if that sale is subsequently published, or notified in writing to the Racing Calendar Office, by the Sales Company. The auction price used will be the first published /notified sales price from the relevant auction, unless notification is subsequently received from the Sales company indicating that, for a reason acceptable to the British Horseracing Authority, a different Sales price should be used. An amended Sales price will only be used to calculate a horse's weight in an Auction race if such notification has been received by the Racing Calendar Office and accepted by the British Horseracing Authority no later than 24 hours prior to the first scratching stage deadline in the case of an early closing race or no later than 24 hours before the declaration deadline in the case of a normal closing race.

A horse initially sold under the hammer but whose sale was subsequently cancelled for whatever reason will still be qualified for Auction races. Such instances include the horse failing a veterinary examination, a void sale, disputed bids, etc. The auction price used will be the initial price unless notification has been received from the Sales companies indicating that the horse has been re-submitted as the result of a void sale. If the horse was not re-submitted it will still be qualified but will be assessed on the auction price of its void sale.

iv) In the case of any dispute the official sale return will be used to determine the validity of the sale. The Authority will be the final arbiters of qualification for entry.

v) Any sale conducted outside the sales ring (private sale) will not be considered to qualify the horse for an auction value.

vi) Where horses are sold through the ring at specified sales outside Great Britain, the following procedure will apply:-

1. The purchase price in local currency will be converted to pounds sterling using the rate of exchange shown in Schedule (F)14. The rate of exchange at the time of the sale will not be used.
2. Since practices differ between sales in Great Britain and those staged overseas in the inclusion or otherwise of Buyers' Premiums within the published sales price, and in order to reflect more fairly the total price paid, the appropriate Buyer's Premium, as set out below, will then be added to the converted sterling price. This resulting figure will then be used to determine eligibility, weights, etc., for any relevant race.

vii) For sales staged in Great Britain which sell horses in pounds sterling with an additional Buyer's Premium, in order to reflect more fairly the total price paid, the appropriate Buyer's Premium, as set out below, will be added to the price. This resulting figure will then be used to determine eligibility, weights, etc., for any relevant race.

(viii) For sales staged in Great Britain which sell horses in guineas sterling, the purchase price will be converted to pounds sterling. This resulting figure will then be used to determine eligibility, weights, etc., for any relevant race.

Sales Company	Country	Buyer's Premium %
Arqana	France	6
Baden-Badener AG (BBAG)	Germany	6
Brightwells Ltd	Great Britain	6
Doncaster Bloodstock Sales Ltd	Great Britain	6
Fasig-Tipton Co. Inc	U.S.A	0
Goffs Bloodstock Sales Ltd	Ireland	6
Goresbridge Horse Sales Ltd	Ireland	6

Keeneland Association Inc	U.S.A	0
Ocala Breeders Sales Co. Inc	U.S.A	0
*Osarus Vente	France	6
Societa Gestione Aste (SGA)	Italy	5
Tattersalls Ltd	Great Britain	0
Tattersalls (Ireland) Ltd	Ireland	6
*Osarus Vente (Sales price of 15,000 Euros or below)	France	7

## Carprofen

The British Horseracing Authority wish to draw Trainers attention to advice issued by the manufacturer of Carprofen (currently available as "Rimadyl" granules or injection) in 1997 that, after a course of treatment, the drug may be detected in urine for up to 14 days. There is additional evidence that, under certain circumstances, the drug may be detectable in urine for up to 20 days after administration and Trainers should consult their Veterinary Surgeons before declaring to race any horses that have been recently treated with Carprofen.

## Claiming of Horses from Selling and Claiming Races

It has come to the attention of the British Horseracing Authority that some of the current "Protocol for Claimants" when lodging a claim for a horse are not fully understood by all claimants.

To assist claimants the Authority would like to make clear the protocol for persons who are involved in multi-ownerships. It is an offence under the Rules of Racing to submit or be involved in the submission of a duplicate claim. Accordingly persons who are involved in multi-ownerships and who wish to make a claim should check that no other claim for the same horse has been made by another person involved in the same multi-ownership. Trainers should also ensure that they and their authorised employees do not make more than one claim for the same horse.

Any claimant who may be at risk of an offence under the provisions of the Rules relating to duplicate claims should ask the person with whom they are lodging their claim for the names of the earlier claimants prior to deciding if they wish to proceed to lodge a claim. The onus rests with claimant to make the request to be provided with the names of any earlier claimants.

## Colours - Registration of

- Colours are registered in accordance with Rules (E)82 to 85.
- Where a person or entity declines or fails to apply for re-registration of colours as required or elects to cancel the registration of such colours the British Horseracing Authority will endeavour to confirm the cancellation of the colours registration, through communication to the last known address of the person or entity in whose name the colours had been registered but it is the overriding responsibility of every such person or entity to acquaint himself with the relevant procedures and ensure he makes an application to re-register as required if that is his intention. The date from which the colours will be available for re-registration will be set at the Authority's discretion and, unless the re-registration is offered by the Authority for sale, will normally be three months from the date of de-registration.
- The Authority may invite applications for registration of new or lapsed colours in such manner as they shall think fit including seeking tenders or conducting an auction thereof whereby the successful tenderer or bidder shall be that person or entity which is prepared to pay the largest sum for the first registration fee provided always that the Authority consider such sum to be adequate. A successful tenderer or bidder shall cause full payment of the said sum to be made within 12 days or within such period as the Authority may from time to time require otherwise such tender or bid shall be deemed invalid. Invited applications for registration of new or lapsed colours shall not be approved until such time as payment thereof has been effected.
- Where a person or entity wishes to surrender his registration of colours the Authority may agree in advance to give such person or entity such share of the subsequent first registration fee as they may in their absolute discretion think fit.

## Declaration to run - Extension of the time - Rule (F)90

The British Horseracing Authority gives notice that the procedure to give effect to the extended time period for

declaration referred to in Rule (F)90.2 will operate as shown below where the number of declarations received by the day of the original deadline is

- (a) seven or less for any Flat Race Handicap (including Listed Handicaps)
- (b) five or less for any Pattern Race or Listed Race unless Rule (F)90.2.1 applies, and
- (c) three or less for a race which is to be run on a Monday to Friday (inclusive) or four or less have been received for a race run on a Saturday or Sunday.
- (d) Declarations at the non-preferred meeting (see Rule (F)98.2.3.2) shall not be taken into account for the purposes of the above races.

The Racing Calendar Office will endeavour to contact the Trainer of any horse not declared for which an entry or confirmation of entry had been accepted at either the 5 or 6 day entry stage for the race in question. However, the Authority draws attention to the fact that whilst every effort is made, such contact cannot be guaranteed.

Providing contact has been made with all the Trainers concerned prior to 10.30 a.m. (or such earlier or later time as the Authority shall decide), and they have stated their intention to declare to run or not as the case may be the extended time period for declaration to run will cease. Otherwise the extended time period for declaration to run will apply up to the time indicated above as the case may be, (or such earlier or later time as the Authority shall decide). In addition Trainers should note that when a race is subject to a time extension for declarations this fact will be displayed promptly on the Racing Administration Internet Site by means of a dedicated page. Any necessary raising of weights required in accordance with Rule (F)36 and will be carried out at the time of the revised deadline.

The Authority also gives notice that if a horse is already declared to run under the provisions of Rule (F)89 in another race on the day in question the Trainer of the horse will not be afforded the opportunity to declare for the race for which the time for declaration to run has been extended unless the horse is doubly declared under the provisions of Rule (F)98 or 99.

Where a horse is doubly declared under Rule (F)98 or 99 the preferred meeting for the horse may be changed if the original non-preferred meeting is subject to an extended time period for declaration.

## **Detection of the Use of Anti-Infective drugs**

The overarching policy behind medication control in British horseracing is the principle that 'no horse should run in Great Britain under the effects of medication or have any substance present in its system that can affect performance'. Prohibited substances are defined in the Rules of Racing as substances capable at any time of acting on a broad range of mammalian body systems; these substances must not be present on a raceday.

In the context of anti-infective drugs it is both understood that whilst they act on non-mammalian body systems - antibiotics for example on bacteria, anti-viral drugs on viruses, anti-fungal drugs on fungi, de-worming drugs on parasites etc, these drugs also can have direct and indirect effects on mammalian body systems.

The Authority's position is that it should implement its approach of strict liability for the use of prohibited substances with discretion for such anti-infective drugs. Firstly, because some anti-infective treatments are given for certain durations to avoid the development of drug resistance, low levels of drugs such as antibiotics, may be present after the condition has resolved and it would not be in the public interest to discourage such good practice. Secondly, the use of preventative medication such as de-worming drugs, carefully planned around racedays, is considered good horse husbandry, and again it would not be in the public interest to discourage such good practices.

The approach of recognising the need for the use of anti-infective medication is qualified by several important factors;

- a) such treatments must not allow a horse to run that is unfit to do so,
- b) the horse must not be contagious to other animals or people,
- c) the drug must be being used for an anti-infective indication and not for another reason, and
- d) the drug must be being used appropriately.

Therefore the Authority advises that for anti-infective drugs, with specified exceptions as below, their standing instruction to the testing laboratory in respect of a report of a screening finding of anti-infective drugs is not to produce a Certificate of Analysis.

However at the Authority's absolute discretion, if it considers that such medications are being used in an inappropriate or unsafe manner, as would be judged for example by drug screening findings, medication and veterinary clinical records, disciplinary action will be considered. Importantly the Rules of Racing state that every



treatment must be fully justifiable by the medical condition of the horse receiving the treatment and that Trainers must ensure that all treatments and medication administered to a horse under his care or control are given in the interests of its best health and welfare.

Attention is also drawn to BHA Notices:

- 1) Administration of Levamisole/Tetramisole to horses in training
- 2) Procaine
- 3) Anti-viral drug Amantidine - Use off

(where it should be noted that detection of the use of these medications will be reported and where their use is reported disciplinary action will be taken).

## **Double Engagements**

The British Horseracing Authority inform Stewards that in cases where the horse is engaged on two consecutive days and when the decision to race on the first day has not been made by the Stewards by the time when the declaration must be made for the second day it would be advisable to waive the penalty if the horse does not run for the second day's engagement provided it ran on the previous day.

## **Elective Testing - Procedure for**

In co-operation with the British Horseracing Authority, the Horseracing Forensic Laboratory (HFL) offers an analytical service to Trainers who wish to establish that drugs given in essential veterinary treatment have cleared from a horse's system before a race. This service may also be used when a Trainer suspects inadvertent medication or contaminated feedstuffs have been given to a horse or horses. The tests will be carried out at the discretion of the Authority which may in any case decline to allow the testing to be carried out, without being required to give any reasons. In order to be worthwhile, the results of tests must be available as quickly as possible and to ensure this the following procedure will apply.

The Trainer should telephone HFL (01638 720500) or the Authority (020 7152 2000) and request an Elective Testing Sample Submission Form, leaving his name and fax/telephone number.

HFL or the Authority will send the form to the Trainer by fax.

The Trainer and his Veterinary Surgeon (where applicable) should complete and sign the form and send it by fax to HFL (01638 724200). It is advisable to keep a copy.

The signature of the Veterinary Surgeon is not necessary when the sample relates to suspected inadvertent medication or contaminated feed.

The sample for analysis must be urine and a minimum of 50 millilitres is required.

The urine must be collected in a clean, leakproof container and care should be taken not to contaminate it in any way. Lining the collecting vessel with an unused polythene bag is a good way of achieving this.

(NB Since a sample taken under the Elective Testing Procedure will not be regarded as official the use of tamper evident packaging is not required).

The container used for sending the sample to HFL must be clean but does not need to be sterile. Bottles that have previously contained medicines are not suitable as traces may remain, even after washing. Plastic bottles are safer than glass and it is important to ensure that the bottle can be securely closed and does not leak. The container must be marked (preferably labelled) with the number of the Elective Testing Sample Submission Form.

The sample should be packed securely, together with the original of the completed submission form and credit card details or a cheque to cover the analysis fee laid down in the Terms and Conditions, marked 'Elective Testing' and sent to Horseracing Forensic Laboratory Ltd., Newmarket Road, Fordham, Cambs CB7 5WW.

HFL will contact the Authority upon receipt of the faxed form (Paragraph 3 above) in order to obtain testing approval.

The Authority will endeavour to inform HFL of their decision whether to allow the analysis to proceed as soon as possible so that when the sample is received, the procedure may in appropriate cases be started immediately.

If the Authority refuses approval for the test HFL will return the fee to the Trainer and destroy the sample.

The report will be faxed to the Trainer and the Authority, the original being posted to the Trainer. Wherever possible the report will be ready within three full working days of receipt of the sample.

The testing and analysis shall be carried out by HFL on such Terms and Conditions as may be approved from time to time by the Authority.

The Authority draw attention to the fact that there is no assurance that the results of an analysis will be replicated by an analysis of another sample taken later from the same horse, and that a negative report from Elective Testing does not override the Rules of Racing with regard to the testing of post-race samples and the consequences of the results of such testing being positive.

Following the introduction of the Equine Anti-Doping Rules on 2 March 2015 it is a requirement for Great Britain (GB) bred horses to be registered within a specified period to become eligible to race in GB.

Rule (G)1.1.1 states that "**Breeders must submit a complete application to register Horses with the General Stud Book within 12 months of their birth**".

Schedule (B)2 paragraph 4B states that horses foaled in GB on or after 1 January 2015 are only eligible to race in Britain when the application to register the horse has been made to the General Stud Book (GSB) within twelve months of the horse's birth. Several notices and reminders have been published over the last year in relation to this and other requirements of the Equine Anti-Doping Rules.

The BHA acknowledges that this is the first year that new Rules have been in effect, and whilst the large majority of horses have been registered in accordance with the 12 month deadline, the BHA recognise that there might be a few rare individual circumstances in which the deadline has been inadvertently missed. Therefore the BHA have agreed that it is reasonable and pragmatic to grant a two month extension for the registration to be submitted to the GSB.

By this Notice, **the BHA hereby modifies the requirement for a horse in the 2015 foal crop to be registered by 12 months of birth, to 14 months of birth.** Rule (G)1.1.1 and Schedule (B)2 paragraph 4B shall be applied accordingly.

The key points are:

- The 2015 foal crop must have their application lodged within 14 months of their birth;
- The Breeder must submit a complete application by the registration deadline. The application may still be being processed by Weatherbys at the time the deadline expires -this will not impact on the horse's eligibility to race in GB;
- The two month extension only applies to the GB bred 2015 foal crop. The 2016 foal crop must be registered within 12 months of their birth (reduced to six months for the 2017 foal crop);
- No additional extension will be granted if a horse from the 2015 foal crop is not registered within 14 months of its birth;
- Any horse not registered in the specified time frame will not be eligible to race in GB.

Any questions in relation to this notice should be directed to the BHA at [anti-doping@britishhorseracing.com](mailto:anti-doping@britishhorseracing.com).

15 February 2016

## **Eyeshields - Schedule (B)4**

The attention of Trainers is drawn to the possible dangers involved in equipping horses with eyeshields where the eyes are covered with a transparent material. There has been the occasional instance on the All Weather tracks when a horse's vision has been reduced because the eyeshields have become either caked in wet sand due to kickback or steamed up at the start. To prevent similar situations occurring Trainers are advised to only use eyeshields that have adequate ventilation or, if the conditions are such that the kickback is liable to stick to the transparent material, to use an eyeshield where the eyes are covered with a mesh.

## **French Non-Thoroughbreds**

The Racing Calendar Office have been advised by the French Authorities that it is possible that some registered French non-thoroughbreds may be the result of matings which do not comply with the provisions of Rule (E)8.5 which requires that a horse and its sire and dam are each the product of a natural service or covering.

Therefore when considering the purchase of a French non-thoroughbred for racing/breeding purposes in Great Britain, care should be taken to check with the French Authorities, prior to purchase or importation, that the pedigree of the animal in question is free from artificial breeding.

For further information on this subject please contact France Galop (Tel: 00 33 149 10 20 08).

## **Guide to Procedures and Penalties**

If any question arises as to the level of penalty in force at a particular time, it shall be resolved by reference to the

Guide to Procedures and Penalties as it was published on-line on the Rules Book website at that time, save in respect of any manifest error or mistake.

## **Inspection of Course - Withdrawal of horses (Rules (F)96 and 97)**

The British Horseracing Authority gives notice that if the Clerk of the Course announces an inspection of the course and as a result of the announcement a Trainer decides not to run his horse, Stewards have been advised to waive the imposition of the penalty referred to in Rule (F) 96 and 97 for not running.

## **Irish Martingales**

Trainers are advised to always use stoppers when using Irish Martingales on bridles otherwise the Irish Martingale could get caught up in the buckles of the reins and might lead to an accident.

## **laparoscopic sterilisation**

Trainers are advised that they must inform the Racing Calendar Office of any horse that has undergone laparoscopic sterilisation. Details of all notifications will be included on the Racing Administration Internet Site.

If this involves:

- 1) a horse that has undergone laparoscopic sterilisation before 1st April 2010, or
- 2) a mare or filly that has undergone the procedure for therapeutic reasons as confirmed by a satisfactory veterinary certificate submitted to the Racing Calendar Office, or
- 3) a horse that has undergone the procedure and has subsequently been gelded

the notification must be made no later than noon five days before the running of any race in which the horse has been entered to run in Great Britain

## **Minor Offences**

The British Horseracing Authority give notice that Owners, Trainers and Riders will not necessarily have to appear before the Stewards concerning those breaches of the Rules of Racing for which standard fines or penalties are imposed.

In such cases the Stipendiary Steward will approach the person concerned to ask if he is willing for the matter to be considered by the Stewards in his absence. If he is so willing he will be asked to sign a formal declaration which will also show the notice, including the amount of any fine imposed, which will subsequently be published.

The Authority emphasises, however, that this procedure in no way precludes any person who wishes to make representations personally to the Stewards concerning his case from appearing before them and it does not limit the powers of the Stewards to hold full enquiries.

## **Mounting Horses in the Saddling Boxes or Stable Yard**

Trainers are advised that permission will not be granted for horses to be mounted in the saddling boxes or the stable yard on the grounds of safety.

## **Performances of Horses**

The Authority gives notice that Trainers may be approached by a Stipendiary Steward following the performance of their horse to ask if they are able to account for its running. The Trainer's reply will be passed to the Stewards who will either publicise it or hold a Stewards' enquiry. Failure by the Trainer to disclose such information will result in a report being submitted to the Stewards or the Authority.

The Authority emphasise, however, that this procedure in no way precludes any Trainer who wishes to make representations personally to the Stewards concerning his horse from appearing before them and it does not limit the powers of Stewards to hold full enquiries.

## **Ponying of Horses to the Start - Protocol**

The British Horseracing Authority draw Trainers' attention to the following Protocol drawn up between the RCA and the NTF for the 'ponying' of horses to the start.

### **INTRODUCTION**

1. Trainers should notify the Clerk of the Course by no later than the time for declarations under Rule (F)89 of the Rules of Racing if they wish to 'pony' a specified runner to the start.
2. Permission will only be granted on the basis that the runner will be led to the start by use of a tether from the 'pony' and under no circumstances will the 'pony' be allowed to proceed loose in front of the runner.

3. All 'ponies' shall be geldings and vaccinated in accordance with Rule (E)18.

4. The 'pony' will not be able to use the racecourse stables without permission from the Racecourse Executive, and only once a stable has been allocated to every runner engaged at the meeting. If the 'pony' uses the racecourse stables it can only be attended by authorised stable employees.

#### **RACEDAY**

5. All horses to be 'ponied' should go down early and at a normal pace so that the other runners are not delayed at the start. They should pass the stands in the same way as all other runners (if required to do so by the Racecourse Executive). In the case of races with a parade, the trainer must comply with the instructions from the Stewards and the Clerk of the Course, in accordance with Rules (B)29 and (B)30.

6. The 'pony' should wait outside the paddock until the jockeys are instructed to mount, when it may enter the paddock to join up with the runner. Alternatively, the 'pony' may wait at the entrance onto the racecourse before joining up.

7. On arrival at the start the 'pony' may stay with the runner until the horses go behind the stalls or may immediately separate and proceed behind the stalls, where it should wait at a safe distance until the runners are dispatched. It should then exit from the track by the shortest route which also avoids interference with the running of the race. The rider of the 'pony' will at all times obey the instructions of the Starter, his assistants or other relevant Officials.

8. The trainer will be responsible at all times for the conduct of the 'pony' and its rider while on racecourse property. The rider and the 'pony' should be of smart appearance and the rider wearing a skull cap and safety vest that meet current safety standards.

9. The trainer will in all cases be responsible for the provision and associated costs of the 'pony'.

10. The Stewards have the authority to cancel any 'ponying' arrangements if they believe the normal conduct of the meeting is likely to be, or is being, compromised.

#### **Previous runs: Examination of**

In order to establish compliance with Rules (B)58, 59 and (C)45, the British Horseracing Authority give notice that, whilst there will be no departure from the current practice of Stewards enquiring on the day of the race when a horse appears not to have been run on its merits, it is not always until an apparent improvement is revealed that there is sufficient evidence to warrant an enquiry. The Authority have therefore decided to look more closely at a horse's previous runs after the circumstances listed in either paragraphs 1 (a) or (b) below have occurred:

(a) If a horse wins, or is placed in a Handicap, Classified Stakes or Rating Related Maiden Race without having previously been placed in the first 4, a Stewards' enquiry may be held to ascertain whether the connections wish to put on record anything relating to earlier races or the past well-being of the horse which in their view might have a significant bearing on any subsequent enquiry. The Stewards will either note what is said, or they will forward the comments of the connections to the Authority's Office so that the riding of the horse in its earlier races can be reviewed in conjunction with this evidence;

(b) Other cases of marked improvement of any sort will be dealt with as above, unless there was a Rule (B)58, 59 or (C)45 enquiry after the horse's previous race which led to an offence under the Rules being proved.

After the video recordings have been examined at the Authority's Office, either the case will be referred to the Disciplinary Panel for an enquiry under Rules (B)58, 59 or (C)45 and connections will be notified accordingly, or, because there is no case to answer, the matter will be closed.

#### **Private Sampling of Horses on Racecourses**

Private samples may be taken by Veterinary Officers at the request of Owners or Trainers where conditions permit. In addition, such samples may be analysed by the Official Analyst at the Horserace Forensic Laboratories on payment of a fee. The samples will not be regarded as official, and no action will be taken under the Rules of Racing if substances other than normal nutrients are found, although in such cases Trainers will be asked to give their co-operation to establish the source of the substance as this will obviously be in the interests both of greater security and research. Any Trainer or Owner who wishes to have samples taken from his horse after a race should apply to the Stewards, who will decide whether or not it will be possible for the Veterinary Officer to deal

with the matter. Should it not be possible for the Veterinary Officer to do so facilities will be made available for a Veterinary Surgeon of the Owner's or Trainer's choice to take the samples but in these cases arrangements for analysis must be made privately.

## **Prohibited Substances**

The British Horseracing Authority wishes to remind Trainers of the need to allow adequate time to elapse between the termination of a legitimate course of veterinary treatment and a horse's next race. This is true for all veterinary drugs, but is more likely to be a problem with those that are in regular use, for example non-steroidal anti-inflammatory drugs (phenylbutazone, flunixin etc). It is unwise to allow less than 8 days to elapse after any treatment and this may be inadequate for some drugs. Trainers should always consult their Veterinary Surgeons for advice and may, when appropriate, choose to have a horse tested electively before it runs. (See Notice headed "Elective Testing - Procedure for").

## **Prohibited Substances- Natural Products and Supplements (including Devil's Claw)**

The British Horseracing Authority wishes to inform trainers that where natural products, as well as manufactured products and medicines, do affect a specified body system referred to in Schedule (C)6 they are also regarded as prohibited substances.

As an example, Devil's Claw (or products containing Devil's Claw) may produce a positive test for harpagoside and similar substances, and great care should be taken over its use. Following research by the Authority together with other European Racing Authorities on the detection of harpagoside, the Authority recommends that the use of such products is withdrawn 48 hours before racing.

Similarly, great care should be exercised with the use of feed supplements. The Authority's website contains information on safe and proper use of supplements and describes how advice can be obtained (LINK). In general it is prudent to record all supplement use, as with feed, in case problems arise. Furthermore the use of supplements which contain prohibited substances should be recorded in the medication records as required by Rule (C)13.

<http://www.britishhorseracing.com/resources/equine-science-and-welfare/medication-and-doping-faqs.asp>

## **Prohibited Substances - Precautions relating to**

The British Horseracing Authority draw the attention of Trainers to the following:-

1. The necessity for taking all reasonable precautions to ensure that those manufactured compound feeds which Trainers use for their horses are free from Prohibited Substances. Trainers should note that the British Equestrian Trade Association has introduced two assurance schemes designed to reduce the risk of naturally occurring prohibited substances (NOPS) in equine feeds. Precautions are particularly important in the case of feedstuffs not specifically manufactured for horses racing under the Rules of Racing, since they may contain substances prohibited under the Rules.

2. The Disciplinary Panel has adjudicated upon several cases where Prohibited Substances have been found in the urine of the horse and in some cases the source of the substance has not been established.

The failure to trace the substance has been exacerbated in each instance by the fact that when Integrity Services Department Investigating Officer carried out his investigations the Trainer no longer had any of the feedstuffs in his yard that he was feeding to the horse at the time of the race in question. Furthermore, he had usually destroyed all the sacks in which the food was delivered and it was not possible, via the sack coding, to trace the contents back to a particular delivery from the mill.

To alleviate the problem, and to ensure that the waiver provided for in Rule (C)53 can be exercised if justified, the Authority strongly recommend that Trainers retain details of any coding that appears on the sacks used for delivery, together with samples of all those feedstuffs which they use for their horses. Then in the event of a positive report on a sample of urine, the coding and samples of feedstuffs can be handed over to the Investigating Officer for laboratory examination.

3. Many substances can be absorbed through the skin of the horse and lead to positive findings in the urine. Trainers are therefore advised to exercise care with shampoos and with any other preparation applied to the skin, both as to what is used and when it is used, and should consult their Veterinary Surgeon if they have any doubt on this matter. For example the non-steroidal anti-inflammatory agent Ibuprofen, which is available from pharmacists as topical gels (e.g. Ibuprofen, Proflex) intended to treat musculoskeletal pain in humans can be

absorbed through the skin and lead to positive findings in urine.

4. The need to ensure that medicines are only administered to the horses for which they are prescribed and to avoid any cross contamination of feed.

5. The need for great care when administering medication by inhalation, including using nebulisers, to avoid contamination of the horse or its local environment. Such contamination may result in extended detection of the medication in the horse being treated, or unexpected detection in other horses. Veterinary advice should be sought to avoid such problems.

## **Riding to Achieve the Best Possible Placing - Rule (D)45**

For the avoidance of doubt the general requirement that a Rider must ride his horse throughout the race in such a way that he can be seen to have made a genuine attempt to obtain from his horse timely, real and substantial efforts to achieve the best possible placing, applies in all cases. This includes cases of gurgling or other breathing difficulties. It is not considered contrary to the welfare of the horse with symptoms of breathing difficulty to be ridden in accordance with the general requirement unless or until such time as the horse is shown to be unable to continue racing in which case it should be pulled up. Riding such horses tenderly as the race develops in the belief that this will give the horse a better chance of achieving its best possible placing is not acceptable.

## **Rules of Racing**

If any question arises as to the form of any Rule in force at a particular time it shall be resolved by reference to the Rules as they were published online on the Rules Book website at that time, save in respect of any manifest error or mistake.

## **Saddling in Stables**

Rule (B)27.3 requires that every horse be saddled in the appointed place except that horses which are difficult to saddle may be saddled in the official racecourse stables provided permission is obtained from the Stewards. The appointed place is the saddling boxes, except at:

Ayr

Bath

Beverley

Brighton

Carlisle

Catterick Bridge

Exeter

Doncaster

Fakenham

Ffos Las

Fontwell Park

Hamilton Park

Haydock Park

Hexham

Kelso

Kempton Park

Lingfield Park

Market Rasen

Mussleburgh

Newcastle

Newton Abbot

Perth

Plumpton

Redcar

Salisbury

Sandown Park

Sedgefield

Southwell

Stratford

Thirsk

Towcester  
Wetherby  
Wincanton  
Wolverhampton and  
Yarmouth

where it is both the saddling boxes and the official racecourse stables. It therefore follows that permission is not required to saddle in the official racecourse stables at these racecourses.

Trainers should note that if having saddled their horse in the official racecourse stables they fail to bring their horse into the Parade Ring by the time stipulated on the Timetable Plan for Start Times displayed in the Weighing Room and the official racecourse stables before the signal to mount is given, they will be fined as follows:

1st Offence - £140  
2nd Offence - £280  
3rd Offence - £560  
4th Offence - Refer

### **Safety of a Course on Raceday - Procedure when doubts expressed**

The British Horseracing Authority wishes it to be known that if Jockeys or Trainers wish to draw attention to any matter relating to the safety of the course, they should first approach the Stipendiary Steward. The Stipendiary Steward will arrange a meeting with the Stewards at which nominated representatives will be invited to put their case. After the Stewards have reached their decision, it will be communicated to the complainants.

### **Transactions between Countries - Arrangements**

The following arrangements apply where an entry or similar transaction is received in one country for transmission to a second country, in which the race is to be staged. Where such transactions involve a financial commitment equal to or greater than £10,000 (or equivalent), the Nominator may be required to provide sufficient funds in advance. In the event of failure to do this, the Turf Authority staging the race may not accept the entry. Additionally, the British Horseracing Authority may require the Nominator and/or Owner to provide sufficient funds in advance for the initial Stake and/or any additional sums laid down in the conditions of any race staged in this country.

### **Tubed horses**

The British Horseracing Authority (the Authority) has recently considered the current position where tubed horses (horses with a tracheostomy) are able to participate in turf races in Great Britain. In considering this matter the Authority took into account the effect on the horse, the appearance of this surgical procedure, international harmonisation and how this procedure, as distinct from procedures designed to restore usual function of the horse's airway ("wind ops"), should be assessed. The Authority consulted the BHA's Veterinary Committee who advised that it was an increasingly uncommon salvage procedure, whose use would likely be to die out of its own accord over a period time.

The Authority has decided that it wishes to phase out the use of tubing from 1st October 2012. Using the Authority's normal Rule making procedures a Rule will be introduced that states that horses that have been tubed will not be allowed to run in all races under Rules. However the Rule will also state that it will not apply to turf races where the tubing took place before 1st October 2012 and the trainer is able to produce a certificate, signed by a veterinary surgeon, to this effect. In practical terms, horses entered in races after that date should have available on request a straightforward veterinary certificate stating that a tracheostomy was present before 1st October 2012 to allow them to run. It is also the Authority's intention to work with the Point to Point Authority to introduce a similar Regulation for horses competing in Point to Points at a time to be announced.

The intention of this advance notice of the change is to recognise that the decision to tube a horse is one taken over a period of time and so to allow the necessary forward planning for the small number of horses that are tubed or where tubing is already an option under consideration.

### **Vaccination endorsements**

The Royal College of Veterinary Surgeons has instructed its members that they should only transfer into a passport the record of vaccinations against equine influenza by other Veterinary Surgeons if details of those vaccinations are contained in a document identifying the horse concerned, its breeding and including both written and diagrammatic descriptions of its markings, or by reference to its microchip number.

Owners and Trainers are advised that if they take a horse into their care and its vaccination details are shown on a separate document, which may be attached to the passport, but without the details having been transferred into the appropriate page of the passport they should initially seek the advice of their Veterinary Surgeon. If he is unable to transfer the details of the vaccinations it will either be necessary to have the passport completed by the Veterinary Surgeon who vaccinated the horse or a new programme of vaccination must be started.

The British Horseracing Authority give notice that whenever a horse which is due to carry top weight (or joint top weight) in a

- Class 1 Handicap Steeple Chase or Hurdle race or
- Class 2 Open Handicap Steeple Chase or Hurdle race

does not run in that race, other than as permitted under Rule (F)98 or 99, a Stewards' enquiry may be held to ascertain the reasons for not running. The Stewards will merely note what is said and forward any comments to the BHA's Head Office so that the Authority can examine the circumstances more closely. Furthermore, Trainers should note that the Authority may, under Rule (A)48, require a Veterinary Officer to carry out an examination of the horse.

After the investigation has been completed, either the case will be referred to the Disciplinary Panel to hold an enquiry under Rule (F)96, or, because there is no case to answer, the matter will be closed and the Trainer informed of the outcome.