



Dear Sir/Madam,

**APPLICATION FOR A RIDER'S AGENT'S LICENCE 2011/2012**

Please find enclosed the Guidance Notes and an Application Form for a Riders' Agent's Licence under Rules (D)68-73 and (A)17 of the Rules of Racing **for the period commencing 1<sup>st</sup> December 2011.**

Every application for a licence, whether it is a new application or an application for the renewal of a licence previously held, has to be considered individually upon its merits. In some cases a personal interview with the applicant may be required. Therefore the British Horseracing Authority has directed that **applications for licences must be received at least two weeks in advance of the date required.**

**FEES LAID DOWN BY THE BRITISH HORSERACING AUTHORITY**

The fees for a Riders' Agent's licence are as follows:

Licence:	£159.83
Vat @ 20%:	£31.97
<b>Total</b>	<b>£191.80</b>

This fee can be debited directly from your Weatherby's account or alternatively please forward a cheque made payable to 'British Horseracing Authority Limited'.

Registration of Authority to Act for a Rider:	£46.83
Vat @ 20%:	£9.37
<b>Total:</b>	<b>£56.20</b>

You should arrange to pay fees for Jockeys represented by you to Weatherbys – Tel: 01933 440077 (please contact Kerry Atherton).

However, the said fee will be waived where the application is made by:

- (a) A person who is either a spouse, parent, son or daughter of the Rider in question, and
- (b) Such person is only acting as an Authorised Rider's Agent for a Rider(s) to whom he is so related as stated in (a) above.



If you require further information or assistance, please contact Jo Crawforth in the Licensing Department – Tel: 020 7152 0148  
Fax: 020 7152 0141  
Email: [jcrawforth@britishhorseracing.com](mailto:jcrawforth@britishhorseracing.com)

Yours faithfully,

John Smith  
Licensing Team Manager

Tel: 020 7152 0146  
Fax: 020 7152 0141  
Email: [jsmith@britishhorseracing.com](mailto:jsmith@britishhorseracing.com)



---

## APPLICATIONS FOR AGENTS LICENCES GUIDANCE NOTES

---

1. These Guidance Notes should be read before completing the Application Form to which they relate. They are designed to assist but should any matter be unclear, applicants are encouraged to contact the Licensing Team for further confidential guidance.
2. Applications are considered on their individual merits but within the framework of these Guidance Notes.
3. Applications should be sent to the Licensing Department, 75 High Holborn, London, WC1V 6LS.
4. Licences may be issued to Riders' Agents only on application on the prescribed form.
5. The fees for licences are laid down by the British Horseracing Authority.
6. Applicants are required to demonstrate or confirm that:
  - They are otherwise in all the circumstances suitable to hold a licence (i.e. that they are 'fit and proper')
  - That they are not actively engaged as a Bookmaker.
7. The detailed guidance contained in the remainder of this document sets out what is required and what each applicant will need to show.

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

8. Each applicant will have to satisfy him/herself and confirm to the Authority, that:
  - 8.1. They have a basic understanding of the racing industry, its aims and standards;
  - 8.2. Save in exceptional circumstances they possess at least a conversant level in the English language;
  - 8.3. They have familiarised themselves with the Rules of Racing in so far as they relate to Agents. The Rules of Racing are available online at <http://rules.britishhorseracing.com>
  - 8.4. They have familiarised themselves with the Agent's Code of Conduct as laid out in Section G of these Guidance Notes.

9. In relation to persons who have not been licensed by the Authority in the preceding two years, the Authority will require full particulars of that person's experience and employment to date.
10. In relation to persons who have previously been licensed outside Great Britain, a Certificate of Clearance and licensing record from the relevant Turf Authority (under whose Rules they were last licensed) should also be provided.

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

11. In considering any application, the Authority must be satisfied, taking into account any fact or matter that it considers appropriate, that the applicant is suitable to hold a licence.
12. The Authority expects full and frank disclosure from the applicant, who is required to disclose all matters known to him/her and those which he/she can be expected to discover by making enquiries. Failure to do so will be a relevant factor in the assessment as to an applicant's honesty and integrity.
13. A person whose conduct or character is not in accordance with that which, in the opinion of the Authority, should be expected of a licensed person, may not be considered suitable and therefore may be refused a licence.
14. In some cases a single factor may lead to the conclusion that someone is not suitable, whereas in another case the determination of whether someone is not suitable may depend upon the cumulative assessment of a number of matters.
15. It is not possible to produce a definitive list of all matters that would be relevant to a particular application. This document should be considered a guide as to the sorts of considerations that the Authority will have in mind when making such an assessment.
16. The criteria to which the Authority will have regard in assessing honesty and integrity include the following:
  - 16.1. Whether the applicant has been convicted of any criminal offence in Great Britain, or a foreign jurisdiction, excluding road traffic offences and offences which are spent under the Rehabilitation of Offenders Act 1974 and in the case of foreign offences, such as may be appropriate. Particular consideration will be given to offences of dishonesty, fraud and those relating to sexual conduct, violence, and animal welfare.
  - 16.2. Whether the applicant is the subject of any proceedings of a criminal nature or has been charged in connection with any alleged criminal offence involving dishonesty, fraud or those relating to sexual conduct, violence, or animal welfare.

- 16.3. Whether the applicant has been the subject of any adverse finding by a judge in any civil proceedings, or has settled civil proceedings brought against him/her relating to any matter which could reasonably be said to materially affect his/her suitability to hold a licence.
- 16.4. The applicant's record of compliance with the regulatory requirements of the Authority or its predecessors, of any other Turf Authority or of a regulator of any other sport in which he/she has participated or has been otherwise involved.
- 16.5. Whether the applicant has been candid, open and truthful in all his/her dealings:
  - 16.5.1. with the Authority in relation to the present or relevant past licence applications; and
  - 16.5.2. with any other Turf Authority or other sports regulator.
- 16.6. Whether or not the applicant has been dismissed from any previous employment or position of trust or has been asked to resign or resigned on grounds connected with his/her honesty or integrity.
- 16.7. Whether an applicant has been convicted of, or dismissed or suspended from employment for drug or alcohol abuses or other abusive acts or has other lifestyle or social issues, which are likely either to:
  - 16.7.1. Impair significantly his/her ability to meet the regulatory requirements of the Authority; or
  - 16.7.2. Render the applicant a threat to the health, welfare or safety of others involved in horseracing, or to the integrity of the sport.
- 16.8. Whether the applicant has engaged in conduct or there are circumstances which may render the applicant susceptible to pressure from persons seeking to corrupt horseracing and whether the applicant is likely to or may engage in such conduct.
- 16.9. An applicant's fitness and propriety includes assessment of the fitness and propriety of those with whom he/she is or may be associated or connected with in their personal or business dealings. For example, if the applicant is known to remain associated with person(s) who are considered by the Authority to pose an unacceptable risk to the integrity of horseracing notwithstanding specific warnings issued by the Authority about such association, that matter will be taken into account and its ultimate relevance to his/her suitability will be assessed in the light of the applicant's attitude to the association.
- 16.10. The Authority has a policy of not granting an agent's licence to a person actively engaged as, or otherwise associated with, a Bookmaker, having made the judgement that such a close financial interest, potentially in conflict with his interest as a agent, is likely to diminish public confidence in the integrity of racing.

16.11. Whether the applicant has observed the Integrity Provisions contained within section G of these Guidance Notes.

### **Integrity Provisions**

17. The following Integrity Provisions set out the standards of behaviour to be observed by all Riders Agents as conditions of the grant of their Licence. As a Riders Agent, you agree to:

17.1. Avoid the company of Persons whose conduct, character or reputation indicate that they may pose a threat to the integrity of horseracing

17.2. Make sure you have read and understood the definition of Inside Information in Rule (A)36.

17.3. Refrain from regularly passing Inside Information to anyone other than the connections of the horse, even where there is no reward except in cases specifically allowed for in the Rules.

### **F. SPECIFIED CASES**

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

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

19. The mere provision of the documents required above may not be sufficient to ensure that an application is considered by the Authority. Such documents must also be complete and fit for purpose. Similarly, whilst satisfaction by the applicant of the other requirements in paragraph 18 (as a matter of fact) will enable the Authority to consider their application, the applicant should not presume that will result in a Permit being granted. The manner in which such requirements are met will be one of the factors for the Authority to consider in assessing the applicant's suitability in accordance with these Guidance Notes, and in deciding whether or not to grant a Licence.

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

20. For the full procedural guidelines relating to applications to the Authority for Licences, Permits and Registrations and procedural guidelines for hearings of the Licensing Committee, where it is considered appropriate to convene a hearing pursuant to the Rules of Racing please visit <http://rules.britishhorseracing.com//> - General Manual (A) Schedule 9.

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

21. Report to the relevant Trainer(s) or Owner(s) at the earliest available opportunity if it becomes necessary to replace the intended rider.
22. Avoid failing to declare the intended rider having advised the trainer or owner that they would declare the intended rider in accordance with Rule (F)92.
23. Avoid advertising and remove the availability of a rider on the British Horseracing Authority/Weatherbys Racing Administration Internet Site after the rider has accepted rides at another meeting on the same day unless another meeting is within an achievable travelling distance.
24. Ensure the best available information is maintained on the British Horseracing/Weatherbys Racing Administration Internet Site regarding rider bookings.
25. Ensure that ample time is provided for jockeys to travel between meetings to fulfil bookings.

OFFICE USE	
Fee	
Disq.	
SD Clear	
Ser No.	
G	
Key	
No.	



**APPLICATION FOR A RIDERS' AGENT'S LICENCE**  
**under Rule (A)17 of the Rules of Racing**  
**for the period 1st December 2011 to 30th November 2012**  
**FEE : £191.80 (incl. VAT)**

I enclose a cheque made payable to British Horseracing Authority Limited  (Please tick appropriate box)  
Please debit my account

Surname: \_\_\_\_\_ All Forenames: \_\_\_\_\_

Title (Mr/Mrs/Miss/Ms): \_\_\_\_\_ Nationality: \_\_\_\_\_

Any previous surnames, eg. maiden name: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Home Address: \_\_\_\_\_

Postcode: \_\_\_\_\_ E-mail Address: \_\_\_\_\_

Home Telephone Number: \_\_\_\_\_ Mobile Telephone Number: \_\_\_\_\_

Full name of spouse/partner: \_\_\_\_\_

**For first time applicants only.**

Please state the names of the Rider(s) you will be representing: \_\_\_\_\_

Are you actively engaged as a Bookmaker or do you have any financial interest in any betting businesses including spread betting businesses, eg. as a Shareholder or Director? Yes  No

If yes, please provide full details in a separate letter for consideration by the Authority to include the size of your shareholding (if applicable) and the degree of your involvement with the management of the business.

Are you engaged in any other profession, business or occupation? Yes  No

If so, please state details including name and address of business/employer, etc:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Are you or your spouse engaged in any form of equine business enterprise? Yes  No

If yes, give particulars: \_\_\_\_\_

---

---

Details of previous employment in the horseracing industry including dates: \_\_\_\_\_

---

---

Have you previously been issued with a licence by another Turf Authority? Yes  No

If yes, give particulars: \_\_\_\_\_

---

---

Have you ever had any disqualification or restriction imposed on you by a Turf Authority? Yes  No

If yes, give particulars: \_\_\_\_\_

---

---

---

**For all applicants**

Have you ever appeared on the Forfeit List, either here or abroad, been declared bankrupt or had any criminal convictions (other than a minor motoring offence) recorded against you? Yes  No

If yes, give particulars: \_\_\_\_\_

---

---

---

**Declaration**

A person who is not party to this application has no right under the Contracts (Rights to Third Parties) Act 1999 to enforce any term of the agreement resulting from the application.

I hereby apply for a Riders' Agent's Licence for the period 1<sup>st</sup> December 2011 until 30<sup>th</sup> November 2012 under the provision of Rules (D)68-73 and (A)17 of the British Horseracing Authority (BHA) Rules of Racing, in accordance with the terms of issue laid down by the BHA and I declare that, should a Licence be granted to me, I agree to be bound in all respects by the BHA Rules of Racing in force from time to time and the Riders' Agents' Code of Conduct.

I undertake to advise the Authority if I propose to enter into any betting business including spread betting business after my licence is granted.

I undertake to notify the BHA within 7 days if I am convicted of any criminal offence (other than motoring offences), or I become bankrupt or a proposal for an Individual Voluntary Arrangement is made after my licence is granted.

I undertake to notify the BHA within 7 days of any change to my home address, registered mobile or home phone number.

To the best of my knowledge and belief the foregoing particulars as completed in the Application Form are accurate and true. I have read and understood the Guidance Notes which accompany this form. I confirm that I have disclosed any

information known to me which might reasonably be said to be relevant to the consideration of my application and that I meet each criteria relevant to my application. I understand that if the Authority considers that I have knowingly omitted material information, it may reject my application. I further understand that the Authority reserves the right to factor any relevant information into the assessment of my suitability for a licence. During the currency of my licence, I undertake to notify the BHA immediately of any matter or change of circumstance which, on the basis of the Guidance Notes, could reasonably be said to be relevant to my position as a Licensed Agent

I acknowledge and accept that it is the policy of the BHA to publish its licensing decisions. This includes giving reasons for the refusal of licenses, the imposition of conditions on licenses or the withdrawal of licenses. I agree that the BHA may publish any information concerning me which it has considered in reaching such decisions.

I consent and authorise the BHA or its agents to make enquiries to and ascertain from, all appropriate authorities whether there is anything known or shown on records which could be relevant to the decision to grant me a licence or not. Such authorities shall include, but are not limited to, credit reference agencies, Criminal Records Bureau and/or any police authority in other jurisdictions, and any turf authority in other jurisdictions. Further, I hereby consent to and authorise such authorities to provide such information about me to the BHA.

The BHA undertakes to consider this application in accordance with and subject to the Rules of Racing and the criteria and procedures approved from time to time by the BHA.

### **DATA PROTECTION**

Any information (including personal data and sensitive personal data) provided by the applicant will be held by the BHA (or Weatherbys Group Ltd) and such information may be properly disclosed to other agencies in connection with the management, regulation and integrity of horseracing or otherwise used or disclosed by the BHA in connection with the regulation of horseracing generally.

The BHA has the opportunity to use its address list as a source of revenue for the racing industry by undertaking mailings on behalf of selected companies: individual addresses are not divulged. Please tick here if you do not wish to receive such mailings.

**Signature of Applicant:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Please return the completed form to:  
The Licensing Department  
British Horseracing Authority  
75 High Holborn  
London  
WC1V 6LS**