

LIC/LON/1011

Dear Sir or Madam,

APPLICATION FOR A LICENCE TO TRAIN 2012/2013
UNDER RULE (C)3 OF THE RULES OF RACING

An application form is enclosed for a Licence to Train for the period from 1st February 2012 until 31st January 2013.

Every application has to be considered individually upon its merits. Additional correspondence will be involved and a personal interview may be necessary. Applications must be received at the Authority's office at least 2 months before the date on which the licence will be required in accordance with Rule (C)5.

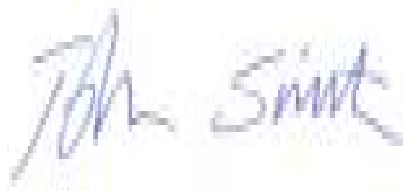
In completing the enclosed form, you are directed to the attached Guidance Notes which should be read in full. You will be required to sign a declaration to confirm that you have read and understood and that you comply with each of the relevant sections.

The enclosed Modular Training Guide gives full details of formal training which the Authority requires of applicants for Licences to Train.

In the event that your application is successful, you will be required to forward a cheque as payment for the Licence, made payable to 'British Horseracing Authority Ltd' (current fees are detailed overleaf).

Should you require any further information or advice regarding renewal of your Licence, please do not hesitate to contact one of the Licensing team on 020 7152 0140 or licensing@britishhorseracing.com.

Yours sincerely,



John Smith
Licensing Team Manager

FEES LAID DOWN BY THE BRITISH HORSERACING AUTHORITY

All licensed trainers are required to subscribe to the Racing Calendar. However, you may choose whether or not to receive a paper version of the Racing Calendar and Programme Books and the charging structure for the 2012 Licence Fee is detailed below.

Option	Subscription	Paper version of Racing Calendar	Paper version of Programme Book	Online only access to Racing Calendar & Programme Book	2012 Subscription Price £	2012 Subscription Price and Other Related Fees	Quarterly Instalments £
1	Online and paper subscription to Racing Calendar & Programme Books	Yes	Yes	Yes	512.40	- 2012 Subscription Price - Other Related Fees: - Licence Fee 394.34 - VAT @ 20% 78.87 - Rules of Racing 10.00 - Retraining of Racehorses 20.00 - Donation to Racing Charities 12.00 Sub-Total: 515.21	512.40
						2012 Total Price:	(1130.37)
2	Combined subscription for Racing Calendar & online Programme Book	Yes	No	Yes	458.40	As above	458.40 514.21
						2012 Total Price:	(1069.87)
3	Online subscription for Racing Calendar and combined subscription for Programme Book	No	Yes	Yes	406.60	As above	406.60 514.21
						2012 Total Price:	(1012.89)
4	Online only subscription to Programme Book and Racing Calendar	No	No	Yes	352.80	As above	352.80 514.21
						2012 Total Price:	(953.71)

For convenience, the relevant fee would be debited from your account on or after Monday 9th January 2012

LIC/LON/0112

**APPLICATIONS FOR A LICENCE TO TRAIN
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 Authority's 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. First time applicants should allow at least two months in order for the application to be considered and applicants for renewal a period of at least one month.
4. Applicants are required to demonstrate or confirm that:
 - They have the competence and capability to train;
 - They have access to appropriate training facilities;
 - They have security of tenure for the premises from which they wish to train;
 - They have a minimum of 3 horses in training;
 - They comply with relevant Health and Safety responsibilities;
 - They provide full details of their employment status;
 - They comply with all relevant employment responsibilities;
 - They have appropriate Public Liability Insurance and, where appropriate, Employers' Liability Insurance;
 - The necessary financial resources are available to the training business; and
 - They are otherwise in all the circumstances suitable to hold a licence (i.e. that they are 'fit and proper').
5. 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

6. Each applicant will have to satisfy the Authority that he/she is competent to and capable of, training horses with due regard to the welfare of the horses in their care, the interests of Owners and the sport as a whole. In determining a person's competence and capability the Authority will have regard to all relevant matters.
7. First time applicants will normally have to demonstrate at least the following:

- 7.1. a minimum of 5 years experience in training establishments including at least 2 years in a responsible and senior position preferably as an Assistant Trainer in a successful racing yard; or
 - 7.2. a track record as a Permit holder consisting of at least 3 wins with a reasonable spread of horses; or
 - 7.3. running a Point to Point yard for at least 2 years and having achieved a minimum of 10 Point to Point/Hunter Chase wins with a reasonable spread of horses.
 - 7.4. The Level 3 Diploma in Work Based Racecourse Care and Management (WBD) via Pathway C, D, or H (see Modular Training Guidance for details).
 - 7.5. Successful completion of Modules 1, 2 and 3 of the training programme held either at the British Racing School, Newmarket or the Northern Racing College, Doncaster (see Modular Training Guidance for details).
 - 7.6. Enrolment or attendance on a one-day training seminar for potential trainers at Weatherbys' offices in Wellingborough, Northamptonshire.
8. A first time applicant will also have to satisfy him/herself and confirm to the Authority that:
- 8.1. They can recognise the signs of normal health, common diseases and ailments in a racehorse.
 - 8.2. They have a sufficient understanding of:
 - 8.2.1. the basic anatomy of horses, of preventative medicine and veterinary treatment;
 - 8.2.2. the principles of exercise physiology related to racehorses and especially the effects of transport and the immediate pre- and post- race periods;
 - 8.2.3. the principles of feeding racehorses;
 - 8.2.4. racecourse procedures, e.g. declarations, saddling up, etc; and
 - 8.2.5. the regulatory requirements of the Authority and the Rules of Racing, particularly in relation to integrity.
 - 8.3. They possess at least a conversant level in the English Language.
9. In relation to persons who have previously been licensed outside Great Britain, a Certificate of Clearance and licensing record from the relevant Turf Authority (under whose Rules they were last licensed) should also be provided.

B. IDENTITY DOCUMENTS

10. First time applicants are required to submit a certified copy of their Passport or Birth Certificate, signed by a professionally qualified person (e.g. lawyer, teacher, local

councillor or police officer) or a person of similar status, who must have known the applicant personally for at least two years.

11. The individual signing the photocopied document must also complete a 'Declaration to Support Identity of Applicant' form.

C. TRAINING YARD AND FACILITIES

12. If a licence to train is granted, it is on the understanding that it is restricted to training horses at or from the stables to which the application relates; it does not permit the applicant to train at or from any other stables. Application forms for the approval of a Change of Stables or a new Additional Yard are available from the Licensing Department.
13. The yard and training facilities must be of a standard (as to suitability and security) that meets the requirements of an inspection to be carried out before any licence is granted by a Stable Inspecting Officer from the Authority's Integrity Services and Licensing Department and, when considered appropriate, a Veterinary Officer. You are required to notify the Licensing Department of any changes to the training yard or stabling facilities.
14. If the applicant is to train horses for Flat Races he/she will be expected to have:
 - 14.1. gallops of approximately 6 furlongs, including 4 furlongs straight, suitable for training young horses in all weathers (although an all-weather surface is not essential) and be within hacking distance of the stables to which the proposed licence relates; and
 - 14.2. proper facilities on the gallops for schooling horses through starting stalls. The Authority has separate notes on the criteria for properly schooled horses and the design of acceptable practice stalls.
15. If the applicant is to train horses for Steeple Chases and Hurdle races he/she must have:
 - 15.1. gallops of approximately 6 furlongs within hacking distance of the stables;
 - 15.2. at least one plain fence and one open ditch with wings over which 2 horses are able to school alongside one another (15 feet in width). Fences should be well-packed and firm, with painted guard rails. If possible, they should form part of an acceptable gallop;
 - 15.3. at least 2 flights of hurdles with wings over which 2 horses can school alongside (15 feet in width); and
 - 15.4. access to 'nursery facilities', e.g. poles, logs, tyres, etc, for teaching young horses to jump or for re-educating older horses.
16. If the applicant intends to use 'central' gallops and/or schooling facilities e.g. Epsom, Lambourn, Malton, Middleham and Newmarket, or facilities owned by another person he/she must obtain provisional approval from the appropriate persons before submitting the application. If the application is subsequently granted, it will be a condition of the

licence that the licensed Trainer obtains written confirmation of the availability of these facilities.

D. SECURITY OF TENURE

17. The applicant or the person(s) who will run the proposed training business must have security of tenure in respect of the yard and training facilities and be entitled to carry on the proposed training business, for a minimum period of 12 months from the date of the issuance of the licence. In the case of a new application a copy of the draft lease or tenancy agreement will be required.

E. NUMBER OF HORSES IN TRAINING

18. An applicant is required to have a minimum of 3 horses in training throughout the year. In the case of first time applicants, the Authority will wish to see as comprehensive a list as possible of the string of horses that are likely to be assembled in the event of the application being successful, with a summary of the form of each horse and a brief outline of the plans for the horses in the training operation.

F. HEALTH AND SAFETY

19. An employer has certain responsibilities for compliance with Health and Safety legislation. Applicants are provided with 'the Red Book' regarding Health and Safety in the Racing Industry. These are guidelines drawn up in collaboration with the Health and Safety Executive (HSE) to show Trainers how to interpret their legal requirements using simple explanations and practical examples. Applicant trainers are also encouraged to seek advice from the National Trainers' Federation (NTF) or their local HSE representative.

G. EMPLOYMENT STATUS

20. Each application must state the employment status of the applicant (applicants who wish to trade as a Limited Company will, for the purposes of their application, be seen as an 'employee'). A licence is issued on the basis that the applicant is training either as a self-employed individual or as an employee. Should the applicant's employment status change, the licence will terminate unless prior approval is given by the Authority.

21. When applying for a licence as an employee of an individual or a company, the applicant must provide full details of the employer. In the case of a company the following additional information is required:

21.1. Memorandum and Articles of Association;

21.2. names and addresses of Directors and Company Secretary;

21.3. names and addresses of beneficial shareholders and their shareholdings.

22. A copy of the draft Contract of Employment or Service Contract must be seen by the Authority prior to consideration of the application and a signed copy will be required prior to issue. Any subsequent amendments will require the Authority's approval. Each

employer must provide certain items of disclosure, details of which is contained within the Application Form.

H. STAFF

23. Applicants are asked to give an undertaking when applying for a licence that the staff of the training business will be employed in accordance with the Racing Industry Minimum Rates of pay Structure and certain standard conditions of employment, established by the National Joint Council for Stable Staff.

I. PUBLIC LIABILITY INSURANCE

24. All licensed Trainers are required to have Public Liability Insurance providing minimum cover of £2 million. This policy must include cover for any awards of damages given to a member of the public arising out of the death, bodily injury or damage to property suffered by members of the general public at a recognised race meeting. Trainers are likely also to require Employers' Liability Insurance in accordance with the Employers' Liability (Compulsory Insurance) Act 1969.

J. GENERAL SUITABILITY ('FIT AND PROPER')

25. In considering any application, the Authority must also be satisfied, taking into account any fact or matter that it considers appropriate, that the applicant is suitable to hold a licence. Relevant considerations include the applicant's honesty and integrity, business competence and capability and financial soundness.

26. In relation to each section below, the Authority expects full and frank disclosure from the applicant, who is required to disclose 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, competence, honesty and integrity.

27. A person whose conduct, behaviour 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.

28. 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.

29. 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.

Honesty and Integrity

30. The criteria to which the Authority will have regard in assessing honesty and integrity include the following:

30.1. Whether the applicant has been convicted of any criminal offence in Great Britain, or a foreign jurisdiction, excluding 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, animal welfare and health and safety.

- 30.2. Whether the applicant is the subject of any proceedings of a criminal nature, has been charged in connection with any alleged criminal offence or is aware of circumstances which may lead to his/her being so charged.
 - 30.3. 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.
 - 30.4. The applicant's record of compliance with the regulatory requirements of the Authority or its predecessors, of any other Racing Authority or of a regulator of any other sport in which he/she has participated or has been otherwise involved.
 - 30.5. Whether the applicant has been candid, open and truthful in all his/her dealings:
 - 30.5.1. With the Authority in relation to the present or relevant past licence applications; and
 - 30.5.2. With any other Racing Authority or other sports regulator.
 - 30.6. 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.
 - 30.7. 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:
 - 30.7.1. Impair significantly his/her ability to safeguard the welfare of the horses in training or meet the regulatory requirements of the Authority; or
 - 30.7.2. Render the applicant a threat to the health, welfare or safety of others involved in horseracing, or to the integrity of the sport.
 - 30.8. 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.
 - 30.9. Whether the applicant has observed the Integrity Provisions contained within these Guidance Notes.
31. 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 has been a director or shareholder of a company that has committed a criminal offence, 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 responsibility (if any) in relation to that offence. Also, where the applicant is to be an employee of a company or other person(s) running the proposed training business, the honesty and integrity of the employer may be relevant to an assessment of the fitness and propriety of the applicant, as may be the honesty and integrity of those associated with or connected to the employer.

32. The Authority has a policy of not granting a trainer's licence to a person actively engaged as a Bookmaker having made the judgement that such a close financial interest, potentially in conflict with his interest as a trainer, is likely to diminish public confidence in the integrity of racing. Other interests of trainers in betting businesses, e.g. shareholdings other than in plcs or in different types of betting (spread betting) will be considered on a case by case basis and a judgement made on whether the interest in question could reasonably cause public concern about the integrity of racing. Factors to be taken into account by the Authority will include the size of the shareholding and the degree of involvement with the management of the business. If it came to the Authority's notice that a trainer had an interest and that interest was subsequently judged to compromise the trainer, he would be given reasonable time to divest himself of the interest in a manner acceptable to the Authority.

Business Competence And Capability

33. The applicant must also demonstrate his/her competence and capability to run the proposed training business or where the business is to be carried on in whole or in part by another person, the competence and capability of the person(s) concerned to run the business. The Rules of Racing require that the training business to which the licence relates must be carried on with reasonable care and skill in addition to the various specific requirements of the Rules of Racing regulating the conduct of a training business.
34. Relevant matters include:
- 34.1. Whether the business will have a competent and prudent management structure; and
 - 34.2. Whether the applicant can demonstrate that the affairs of the business will be conducted with reasonable care, skill and diligence.
 - 34.3. Whether there are or will be in place such measures as may be required:
 - 34.3.1. By the Health and Safety Executive or other competent body pursuant to health and safety legislation; and
 - 34.3.2. In connection with animal welfare.
 - 34.4. Whether there are in place such procedures or measures as will:
 - 34.4.1. Ensure that the employees of the business are from time to time aware and made aware (e.g. by appropriate health and safety induction) of those requirements and standards as they apply to the business; and

34.4.2. Enable the applicant or, where relevant, the person or persons (directors, employees or others) running the business to determine that their employees are acting in the manner required by those standards.

35. Whether there are in place such facilities and procedures as are required by law and/or are reasonable necessary in connection with the provision of a safe system of work and health and safety at the premises where the training business is to be undertaken.

Financial Soundness

36. The Authority will take into account the financial track record of an applicant and (whether or not the business is owned by the applicant) all the relevant circumstances in assessing the likely financial soundness of the proposed training business. First time applicants will be required to satisfy all relevant factors (listed below) however, applicants applying for a renewal of a licence to train may be required to produce documents only upon request.

37. Relevant factors include:

37.1. Whether the applicant has been the subject of any judgement debt or award in Great Britain or elsewhere, which remains unpaid or was not satisfied within a reasonable period.

37.2. Whether the applicant has ever, in Great Britain or elsewhere, made arrangements with his creditors, filed for bankruptcy, had a bankruptcy petition served on him, been adjudged bankrupt, or been the subject of any other bankruptcy process (including any restrictions order or undertaking or sequestration of assets).

37.3. Whether the applicant has been a director or other officer or shareholder of a company which has gone into insolvent liquidation or has been placed into administration while the applicant was so connected to the company or within 12 months of his/her ceasing to be so connected.

37.4. That the training business to which the application relates is solvent and able to pay debts as they fall due.

37.5. Whether the training business to which the application relates is likely to be financially sound, taking into account all relevant matters, including the information that the applicant is required to furnish in support of his application, namely:

37.5.1. A financial reference from a satisfactory source indicating that the applicant or the person(s) who own the training business have available working capital or overdraft facilities of not less than £40,000 or such other amount as may be requested on behalf of the Authority having regard to the circumstances of the application; and

37.5.2. Projected profit and loss accounts for the first 12 months of the training business; and

37.5.3. A cash flow projection for the first 12 months of the training business, setting out in reasonable detail the assumptions on which the projection is based.

37.5.4. Accounts and balance sheets for any prior period of trading of the proposed or of any other relevant business as may be requested by the Authority.

Integrity Provisions

38. The following Integrity Provisions set out the standards of behaviour to be observed by all Licensed Trainers as conditions of their Licence. As a Licensed Trainer, you agree to:

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

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

38.3. 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.

38.4. Ensure that relationships with Betting Organisations or any Person representing a Betting Organisation do not confer special privileges or concessions which may invite adverse inferences to be drawn.

38.5. Report to the Authority any suspicious or unusual financial transactions (for example, cash payments in excess of a total of £10,000 for a transaction connected with the business of training racehorses).

38.6. Ensure that the usage of pass cards and any metal badges within a licensed racecourse complies with the user conditions laid down by the Racecourse Association.

K. SPECIFIED CASES

Absolute Requirements

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

Requirements	Guidance Notes Reference Point
To supply such documentation as detailed in the Guidance Notes & application form (first time applicants only)	
Obtainment of the Level 3 Diploma in Work Based Racehorse Care and Management (WBD) via pathway C, D or H (first time applicants only)	7.4
Completed the mandatory Trainers Modules (unless meeting the requirements for exemption from Module 1 as detailed in the Modular Training Guide and subsequently being granted such	7.5

exemption by the Authority)(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	9
Premises from which to train	10
Access to training facilities specified in the Guidance Notes for Licences to Train	11, 12 & 13
Either legal ownership of or Security of Tenure for, the proposed training premises	15
A minimum of 3 horses to train should the application be granted	16
Confirmation that any staff are employed in accordance with Schedule (C)1 of Rules of Racing	21
Public Liability Insurance which meets those requirements detailed in the Guidance Notes	22

40. 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 37 (as a matter of fact) will enable the Authority to consider their application, the applicant should not presume that will result in a Licence 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

41. 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.

PRACTICE STARTING STALLS

The responsibility for the approval of proper facilities for the schooling of horses through starting stalls in respect of trainers licensed for Flat races has been placed with the Authority.

Criteria for Properly Schooled Horses

Starters have drawn the Authority's attention to the number of horses which are either difficult to load or are unsettled in the stalls once loaded. Therefore, trainers are reminded of their responsibilities laid down under the British Horseracing Authority Rule (C)48 'Schooling horses for all types of start'. The Authority would expect a properly schooled horse to:-

- load into the stalls without hesitation. Ideally it should enter without the aid of pushers but if necessary no more than two pushers should be required;
- be capable of standing in the training stalls with a horse either side for a minimum of two minutes;
- be capable of standing alone in the stalls for two minutes.

All horses which are to run from starting stalls should have experience of being blindfolded prior to their first appearance on a racecourse.

Specification Recommended by the Authority

When applying for licences to train horses for Flat racing, trainers will be required to confirm that they have readily available access to starting stalls of a design acceptable to the Authority.

Training units based on the STERILINE or RaceTech design of starting stalls are considered to be the most suitable.

These practice stalls are built to the same specification as the Official Starting Stalls used in this country. They have the advantage that they fully resemble in structure and operation the larger units used on the Racecourse.

The units are available in various numbers of bays and the 3 or more horse unit is required. Fully portable or static models can be ordered. They incorporate spring loaded front gates, which may be operated by remote control and have a manual lock which will allow for the release of a fractious horse. The rear gates and front gates operate in the same way as the Official design. Full protective padding is standard and incorporates the additional padding to the front and rear crossmembers and rear uprights.

Minimum Acceptable Facilities

A Three Horse Unit made of steel or a suitable alloy would provide the minimum acceptable facilities for practice starting stalls. As far as possible they are to resemble the type of stall that horses will encounter on the racecourse. However, stalls made of wooden construction may be acceptable provided they are carefully designed with a full superstructure. It should be noted however that there is a risk that stalls made of timber may splinter from a severe impact and this could cause serious injury to horse and rider. Furthermore, wooden stalls have the disadvantage that they do not provide the noise level and the "shake" effect which comes from a stall constructed of steel.

All stalls must be padded to protect the horse and for general safety. They must have front gates capable of being opened to simulate starting and have closable rear gates. Wherever possible some form of quick release should be incorporated in the design to permit the release of a fractious horse.

Situation of Stalls

Stalls should be situated with a lead out of at least two furlongs. They should be sited within a reasonable distance of the trainer's licensed yard, on the gallops, so that they are readily available for schooling horses in the use of stalls and for their general use for practice starts.

Where stalls are not of a portable design they should be positioned on a well prepared surface with a suitable lead out of at least two furlongs.

Use of Stalls owned by other Trainers or in areas where Centralised Training Facilities are used

Annual written confirmation of such arrangements must be produced. The stalls used must be of an acceptable standard.

Where stalls are subject to multiple use suitable arrangements for disinfection must be made.

PROJECTED PROFIT AND LOSS ACCOUNT

For the Year ended _____ 20_____

	£	£
<u>Income</u>		
Training Fees		
<u>Less direct expenses</u>		
Wages and Payroll costs		
Feed and Bedding		
<u>Less other expenses</u>		
Rent/Mortgage		
Rates		
Water Rates		
Insurance		
Telephone		
Heat/Light/Power		
Motor Expenses		
Advertising		
Stationary/Postage		
Trainers Licence Fee		
Professional Fees (e.g. Accountant)		
Bank Charges		
Loan Interest		
Personal Drawings		
Sundry Expenses		
Depreciation: Motor Vehicle Equipment		
<u>Net Profit for the Year</u>	£	

Assumptions made:

1. _____ boxes out of _____ will be full throughout the year.
2. Training fees will be £_____ per box, per annum.
3. _____ full-time staff will be required to run the stables from _____ onwards.
4. All bloodstock insurance will be the responsibility of the owners.
5. Transport costs, blacksmiths, vets fees will be recoverable in full from the owners.

Note: No percentage of Trainer's prize money under Rule (F)118 has been included.

DECLARATION TO SUPPORT IDENTITY OF APPLICANT

**FOR A TRAINER UNDER
THE BRITISH HORSERACING AUTHORITY**

RULES OF RACING

SURNAME OF APPLICANT: _____

ALL FORENAME: _____

Declaration

I certify that to the best of my knowledge and belief, the photocopy of the passport/birth certificate (delete as appropriate) which I have signed, is an unaltered photocopy of the original. I also certify that I have known the applicant personally for at least two years.

Signature _____ Date _____

Surname: _____

Forenames: _____

Profession/Business/Occupation: _____

Business Address: _____

_____ Post Code: _____

Home Address: _____

_____ Post Code: _____

Daytime Telephone Number: _____

Mobile Telephone Number: _____

Fax Number: _____

E-mail: _____

(Individuals who certify photocopied documents may be contacted by a member of staff from the Integrity Services and Licensing Team from the British Horseracing Authority).

APPLICATION FORM FOR A TRAINER'S LICENCE

UNDER RULE (C)3 OF THE BHA RULES OF RACING

(For the period to 31st January 2013)



OFFICE USE ONLY

Rec:	Fees:	Prev.:	G:	No:	Key:
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Please read the enclosed Guidance Notes before completing the application form and answer **ALL** questions. Please do not leave any questions unanswered. If a question is not applicable insert "N/A".

LICENCE TYPE

Combined Licence Flat only Licence Jumping only Licence

PERSONAL DETAILS

Surname: _____ All Forenames: _____

Mr/Mrs/Miss/Ms: _____ Date of Birth: _____ Nationality: _____

Any previous surnames eg. Maiden name: _____

Full name of spouse / partner (if applicable): _____

Home Address _____

_____ Postcode _____

Home No _____ Fax No _____ Mobile No _____

Website _____ E-mail _____

Address to which correspondence should be sent if different from above: _____

_____ Postcode _____

EXPERIENCE

Please note that a copy of your full cv should accompany this application

Particulars of any previous licensed/permits held in Great Britain or overseas with dates and training or riding success achieved:

Names of any racehorses you have owned including the approximate dates and names of the Trainers:

QUALIFICATIONS

Please confirm your completion of the Modular Training Programme for New Trainers:

Course	Completed	Date
WBD Level 3: Racehorse Care and Management	Yes <input type="checkbox"/> No <input type="checkbox"/>	_____
Module 1: Racehorse Management	Yes <input type="checkbox"/> No <input type="checkbox"/>	_____
Module 2: Business Skills	Yes <input type="checkbox"/> No <input type="checkbox"/>	_____
Module 3: Staff Management	Yes <input type="checkbox"/> No <input type="checkbox"/>	_____
Weatherbys Open Day	Yes <input type="checkbox"/> No <input type="checkbox"/>	_____

REFERENCES**COMPETENCE AND EXPERIENCE OF TRAINING RACEHORSES** – please list at least two Licensed Trainers:

Name: _____ Address: _____

Name: _____ Address: _____

CHARACTER – please list two persons holding professional qualifications or of professional standing:

Name: _____ Address: _____

Name: _____ Address: _____

TRAINING ESTABLISHMENTName and address of **PRINCIPAL STABLE YARD**: _____Stables Tel. No _____ Number of boxes available in this yard: Is the Principal Yard in your sole ownership? Yes No

If the answer is no, please state details of ownership and arrangements under which it is occupied together with details of any Lease or Tenancy Agreement and date of expiry. A copy of the lease or agreement (or draft copy) should accompany this application:

If your residence and the principal yard are separate, please give details of the individual living at the yard:

Name _____ Position held _____

Has the establishment previously been used as a Racing Stables? Yes No

(If so, please say by whom and the years involved. If not, say for what purpose it has been used previously)

Is any other business, other than the training of racehorses, conducted at these premises?

PLANNING PERMISSION

Yes **Not at present**

Has planning permission been obtained for the construction of the Principal Yard?
Has change of use from Agricultural Building to Commercial Training Establishment been authorised?

If you have answered no to either of the above, please state current position:

OTHER YARDS NOT FOR INCLUSION ON LICENCE

Name & address by which yard is known _____
_____ No of Boxes _____

TRAINING FACILITIES

Note: If you depend upon gallops, starting stalls or schooling facilities owned by someone other than yourself, written confirmation for their use from the owner must be produced annually. If applicable, please state if such authority is enclosed or to follow.

GALLOPS

If applicable, please state the names of the gallops used: _____

Please give brief description of your gallops including length, width, type of surface etc. and their situation

Do you own the main gallops? Yes No

If no, please state the name of the owner and arrangements under which they are used, (eg. leased, central facilities)

Approximate distance to be travelled from your Principal Yard to the main gallops: _____

PRACTICE STARTING STALLS

Description of the type of stalls to be used and the number of bays: _____

Owner of starting stalls used: _____

Please indicate where the unit is sited and the approximate distance from your principle yard: _____

SCHOOLING FENCES & HURDLES

Situation of schooling facilities and approximate distance from your principal yard: _____

Number of schooling fences available to you: _____

Number of flights of hurdles available to you: _____

Owner of schooling facilities used: _____

INSURANCE

Please provide details of your Public and Employers Liability Insurance policy (minimum of £2 million). Is this policy:

Public Liability only

Employers Liability only

Combined Policy

Name of Insurance Company: _____

Policy Number: _____ Date of Expiry: _____

GENERAL

	Yes	No
Have you ever had any disqualification or restriction imposed on you by a Racing Authority?	<input type="checkbox"/>	<input type="checkbox"/>
Have you ever been refused a licence or permit to train or to ride by any Racing Authority?	<input type="checkbox"/>	<input type="checkbox"/>
Are you engaged in any profession, business or occupation other than that of training horses?	<input type="checkbox"/>	<input type="checkbox"/>
Are you actively engaged as a Bookmaker or do you have any financial interest in any betting businesses including spread betting businesses, e.g. as a shareholder or director?	<input type="checkbox"/>	<input type="checkbox"/>
Have you been made the subject of any proceedings of a criminal nature, been charged in connection with any alleged criminal offence or are aware of any circumstances which may lead to your being so charged?	<input type="checkbox"/>	<input type="checkbox"/>
Have you been the subject of any adverse findings by a judge in any civil proceedings, or have settled civil proceedings brought against you relating to Health & Safety or employment legislation?	<input type="checkbox"/>	<input type="checkbox"/>
Have you been made the subject of any judgement debt or court award in Great Britain or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
Have you ever been declared bankrupt, been the subject of an Individual Voluntary Arrangement other statutory based composition with creditors alone?	<input type="checkbox"/>	<input type="checkbox"/>
Have you been the director of any company (either at the time of or within the preceding 12 months) which has gone into receivership, compulsory liquidation, administration, company voluntary arrangement or arrangement with its creditors generally within the last 10 years?	<input type="checkbox"/>	<input type="checkbox"/>
Have you been a partner in any partnership which has gone into compulsory liquidation, administration or partnership voluntary arrangement within the last 10 years?	<input type="checkbox"/>	<input type="checkbox"/>
Have you been disqualified by a court from acting as a director of a company or from acting in the management or conduct of the affairs of any company within the last 10 years?	<input type="checkbox"/>	<input type="checkbox"/>

If you have ticked 'yes' to any of the questions above, please provide full details in a separate letter for consideration by the Authority

CHECKLIST - ENCLOSURES

The following items should be submitted with this form, in support of your application. Please tick to confirm the following documentation is enclosed:

	Yes	n/a
A copy of your current CV	<input type="checkbox"/>	
A summary of any horses trained by you in Point-to-Point Steeplechases and Hunter Chases (including names, dated, etc)	<input type="checkbox"/>	<input type="checkbox"/>
Leases or agreements (or draft copies) to occupy the training establishment and/or use the facilities	<input type="checkbox"/>	<input type="checkbox"/>
A summary of your stable employees experience and qualifications	<input type="checkbox"/>	
A provisional list of horses likely to be trained by you, with a summary of their form and your plans for them	<input type="checkbox"/>	
Letter of support from prospective owners	<input type="checkbox"/>	
A monthly cashflow projection and projected profit and loss account for first 12 months of training operation	<input type="checkbox"/>	
A copy of your employment contract if you wish to train as an employee (if the employer is a company, the information listed in section F of the Guidance Notes should also be submitted)	<input type="checkbox"/>	
A cheque for £214.60 payable to 'British Horseracing Authority Limited' being the Inspection Fee	<input type="checkbox"/>	
A copy of photographic documentation to support your identity and associated Declaration to Support Identity of Applicant form	<input type="checkbox"/>	

DECLARATION

The British Horseracing Authority ("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 (see attached Guidance Notes).

A person who is not a 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.

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

Applicant's Declaration:

To the best of my knowledge and belief the foregoing particulars as completed in this 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 Trainer including but not limited to, if I am convicted of any criminal offence, if I or my employing company become bankrupt or insolvent, or a proposal for an Individual Voluntary Arrangement (IVA) is made against me.

I agree to be bound in all respects by the Rules of Racing, and the Rules of any recognised Turf Authority when racing horses abroad.

I acknowledge that any inspection of my training establishment by the BHA is only for the purposes of assessing the adequacy of the training establishment and its facilities for the activity of training racehorses and that the issuance of a licence to train does not constitute any acknowledgment or indication by the BHA that it considers I have complied with the requirements of Health and Safety legislation or any other statutory requirements. I acknowledge that compliance with such legislation is a matter wholly within my own responsibility.

I agree that in addition to my statutory PAYE records, I will maintain and keep a wages book or other record in which is set out the gross amount earned and net amount paid (with details of all deductions) of all stable staff. Those records will also provide details of overtime payments made, including details of time worked away from the yard and subsistence payments, where applicable, and holiday records (including statutory holidays) each week for each member of my stable staff during the term of my licence. I agree to produce my wages books or other records referred to above if required.

To the best of my knowledge, the business responsible for the finances of the training operation is trading solvently and meeting its liabilities as and when they fall due. Save as otherwise expressly declared by me to the BHA (if applicable), I am not a party to any current litigation and, as far as I am aware, there is no litigation threatened or pending against me or the relevant business which

may have an adverse effect on my ability or the ability of the business to meet my/its commitments. As far as I am aware, there are no issues or circumstances which may adversely affect my ability or the business's ability to trade solvently in the foreseeable future.

I undertake that when my employees are required to attend Apprentice and Conditional Jockeys Licence Courses, Continuation Training Courses or Advanced Courses or a one-day Training Seminar in accordance with Rules (D)5 and (D)10 of the Rules of Racing, they will be paid their normal wages when attending such Courses.

I agree to wear a skull cap or riding hat conforming to the current standard as laid down by the BHA under Schedule (D)2 whenever riding in the course of my work as a trainer.

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 licences, the imposition of conditions on licences or the withdrawal of licences. 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 British Horseracing Authority has the opportunity to use its address list as a source of revenue for the benefit of 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:** _____

This application should be submitted to **The Licensing Department, British Horseracing Authority, 75 High Holborn, London, WC1V 6LS.**