

LIC/LON/296/0909

Dear Sir/Madam

APPLICATION FOR TRAINER'S LICENCE 2009/2010
UNDER RULE (C)3 OF THE RULES OF RACING

An application form for a trainer's licence, under Rule (C)3 of the Rules of Racing, is enclosed.

Before making formal application, the Licensing Committee strongly advises that, if you are in any doubt about what is involved, you should have a preliminary discussion with a member of the Licensing Department, either by telephone, correspondence or interview, before committing yourself to any additional expenditure or contracts.

Your application must be received at least two months in advance of the date for which the licence is required.

Please enclose your CV with your application and a summary outlining the experience and/or qualifications of your stable staff.

CRITERIA FOR A TRAINER'S LICENCE

Your application will be considered on its own merits but within the framework of the policy and criteria set out below. You should have either:

- several years experience in training establishments including a minimum of 2 years in a responsible and senior position preferably as an Assistant Trainer in a successful racing yard; or
- achieved a successful track record as a Permit holder including at least 3 or 4 wins with a spread of horses; or
- achieved a successful track record running a Point to Point yard including a minimum of 10 Point to Point/Hunter Chase wins with a spread of horses.

In addition to the above, the Committee would expect you to:

- recognise the signs of normal health, common diseases and ailments in a racehorse
- understand the importance of preventive medicine and veterinary treatment
- understand basic anatomy

- understand the principles of exercise physiology related to racehorses and especially the effects of transport and the immediate pre and post race periods
- understand the principles of feeding racehorses
- have practical knowledge of racecourse procedures, e.g. declarations, saddling up, etc.
- display sufficient knowledge of the Rules of Racing

Mandatory Training

New applicants must attain the National Vocational Qualification (NVQ) Level 3 in 'Racehorse Care and Management' and successfully complete Modules 1, 2 and 3 of the training programme held at either the British Racing School, Newmarket or the Northern Racing College, Doncaster. However, completing the mandatory training programme will not confer an automatic right to a licence. Further information and advice regarding the NVQ and training programme is enclosed.

You will be expected to complete Modules 1, 2 and 3 prior to being interviewed by the Licensing Committee.

You are also required to attend a one day training Seminar for potential trainers at Weatherbys' offices in Wellingborough, Northamptonshire. You are welcome to attend with your spouse, partner, Assistant Trainer or Secretary and should make arrangements with Emma Day at Weatherbys Tel: 01933 440077 – E-mail: eday@weatherbys.co.uk. Unlike the remainder of the modular training programme, this Seminar may be attended following an interview with the Licensing Committee.

Supporting References

You are required to nominate at least two licensed trainers who can speak as to your competence and experience of training racehorses. You will also be required to nominate at least two persons holding professional qualifications or of professional standing who can speak as to your character. References will not be accepted by the Licensing Committee from members of the applicant's family.

Training Establishment

If you wish to train horses for **Flat races** you will be expected to have:

- gallops of approximately 6 furlongs, including 4 furlongs straight. These gallops should be suitable for the training of young horses in all weathers (although an all-weather surface is not essential) and be within hacking distance of your stables;
- proper facilities on the gallops for schooling horses through starting stalls. For guidance, notes on the criteria for properly schooled horses and the design of practice stalls acceptable to the Licensing Committee are attached.

If you wish to train horses for **Steeple Chases and Hurdle races** you will be expected to have:

- gallops of approximately 6 furlongs within hacking distance of the stables;
- at least one plain fence and one open ditch with wings, over which two horses are able to school alongside one another. Fences should be well-packed and firm, with painted guard rails, of a minimum width of three hurdles. If possible, they should form part of a decent gallop and at least one of them should be an "island fence";
- at least two flights of hurdles with wings over which two horses can school alongside
- access to 'nursery facilities', e.g. poles, logs, tyres, etc. for teaching young horses to jump or re-educating older horses.

Inspection

The Committee will wish to be satisfied as to the suitability and security of your establishment. Therefore, an inspection of your yard and facilities (e.g. stables, feed room, tack room, gallops, schooling facilities, etc.) will be made by an Investigating officer from Integrity Services and, when considered appropriate, a Veterinary Officer. A convenient time for this will be arranged with you beforehand. If your application is granted, routine inspections will be carried out periodically thereafter. There are a number of bodies and establishments e.g. Racing Schools, which may, from time to time, place individuals with training establishments and may require information from the British Horseracing Authority about a yard's facilities and arrangements from a Health and Safety viewpoint. Applicants for Licences may therefore expect the British Horseracing Authority to share with such bodies relevant information on these matters whether gathered in the course of an inspection or otherwise.

You will be advised on matters of security when an inspection of your premises is carried out. It is a basic security requirement that you either live at the premises or have a suitably experienced and responsible employee living there. Applications for licences cannot be considered for a yard which is not under the full control of the trainer. If you propose to make use of any additional premises for stabling horses they must be clearly indicated on the enclosed application form.

If a licence to train is granted to you, it will be on the understanding that you are restricted to training horses at or from the stables appearing on the licence, and it will not permit you to train from any other stables.

Leases/Agreements

If you have leases for your establishment or your gallops you should submit copies of these (or draft copies) with the application. You are encouraged to have security of tenure of the yard and facilities for a minimum period of three years in the first instance.

Central Training Facilities

If you intend to use 'central' gallops and/or schooling facilities e.g. Epsom, Lambourn, Malton, Middleham, Newmarket, etc you should seek provisional approval from the appropriate authorities prior to submitting your application for a Trainer's Licence. If your application is subsequently granted, written confirmation will be required before the licence is issued.

Financial Reference

The Licensing Committee will require a substantial financial reference from your bank (or your employer's bank) in support of this application. This reference will pertain to unencumbered assets, available working capital or overdraft facilities. The amount requested will depend upon the circumstances of your application but will be not less than £40,000.

In order to assist the Committee when considering your application, you are required to prepare a monthly cashflow projection and a projected profit and loss account for the first 12 months of your intended training operation. Your financial adviser will be able to assist you to prepare these details. You may find the enclosed documents a useful guide-line.

General

The Licensing Committee will normally wish to interview you and you will be notified as soon as a time and date can be fixed for this following completion of your training programme and the inspection of your training establishment. If you intend to train as an employee of a Company, or of an individual, the Committee will also wish to interview a Director of the Company or the individual employer.

You should not take into your care a string of horses to justify the issue of a licence at the time of the interview. It would be unwise for you to do so, until such time as the Committee has indicated, in principle that a licence will be issued, subject to normal licensing considerations. Nevertheless, you should submit with the application as full details as possible as to the string of horses you are likely to assemble in the event of your application being successful. Written confirmation from prospective owners should be submitted with the application. Please also include a summary of the horses form and a brief outline of your plans for the horses.

A licence will normally only be granted providing that you have at least three horses in training. Restrictions on the licence may be imposed at the direction of the Licensing Committee or at your own request.

You must signify your intention of applying either for a Combined Licence or for a Restricted Licence at the time of application.

When applying for a licence as an employee of a Company, or of an individual, you must not only satisfy the Licensing Committee of your knowledge and experience but also provide full details of the employer. In the case of a Company the following information is required:

- i) Memorandum and Articles of Association
- ii) Names and addresses of Directors and Company Secretary
- iii) Names and addresses of beneficial shareholders and their shareholdings.

A copy of the draft Contract of Employment or Service Contract must be seen by the Licensing Committee prior to the interview. Any subsequent amendments require the Committee's prior approval.

The British Horseracing Authority has an established 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 Licensing Committee will include the size of the shareholding and the degree of involvement with the management of the business. If it came to the British Horseracing 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 British Horseracing Authority.

Refusal, withdrawal or suspension of a licence

Under the Rules of Racing, the Licensing Committee may refuse to renew a licence to train or to suspend or withdraw a licence. An application may be refused where the applicant fails to satisfy the criteria required by the Committee. Apart from disciplinary sanctions for breaches of the Rules of Racing which are a separate matter, a licence may be suspended or withdrawn by the Licensing Committee if good cause is shown. Examples, which are not exhaustive, of when this action may be taken are if a trainer no longer had general control and management of the stables or due to enforced absence from the training establishment. All decisions concerning suspension or withdrawal of a licence would be taken only after allowing oral submissions with legal representation except in cases of emergency rendering a hearing impracticable.

HEALTH AND SAFETY

You are reminded that as a current or potential employer, you have certain responsibilities for compliance with Health and Safety legislation.

You will receive guidance on this subject when attending Module 3 (Staff Management) of the training programme and you will be provided with the British Horseracing Authority's guidelines on good practice 'Health and Safety in the Racing Industry', which is often referred to as 'the Red Book'.

If you have not already done so, you should also seek advice from your local Health and Safety Executive (HSE) representative. The addresses and telephone numbers of local offices are enclosed. You may also wish to visit the HSE Web Site: www.hse.gov.uk

It is appreciated that at this stage of your application you may not be in a position to provide positive answers to all the questions regarding Health and Safety on page 6 of the application. For example, if you have no employees at present you will not have Employer's Liability Insurance. However, prior to the issue of a Licence, you will have to provide positive answers and a sample of these answers will be checked for accuracy when your establishment is inspected. You will also require Public Liability Insurance. It is strongly advised that this insurance includes protection for your owners from third party claims.

Please note that all employers of five or more staff are required to prepare a written Health and Safety Policy. Where less than five members of staff are employed it is good practice to have a written policy but, as a minimum, a Health and Safety Statement and the appropriate risk assessments are necessary.

PUBLIC LIABILITY INSURANCE

All Licensed Trainers are required to have Public Liability Insurance. Prior to the issue of a Licence you will be required to confirm full details of your Insurance Policy, which must provide minimum cover of £2 million.

FEES LAID DOWN BY THE BRITISH HORSERACING AUTHORITY

When submitting your application you should send a fee of £200.70 (inc. VAT). This fee will be payable if an inspection of your establishment is carried out, whether or not a licence is subsequently granted to you. Should a licence be granted there will be a further fee payable of either £822.34; £872.84; £921.34 or £ 971.84 dependent upon which subscription to the Racing Calendar and Programme Books you wish to receive. The annual fees will be reduced if a licence is applied for later in the year.

The above fees will increase for those trainers who train (on average) in excess of 25 horses per month during the period of the licence. The fees payable in those circumstances are as follows:

<u>Average number of horses in training per month</u>	<u>Additional Fee (including VAT)</u>
26 - 50	£ 89.71
51 - 100	£223.56
101+	£357.10

If you train in excess of 25 horses per month (on average), you will receive notification of the additional fee payable following expiry of the licence in 2010.

The licence period is from 1st February in any year, until 31st January the following year.

You will be required to pay a further fee of £200.70 (inc. VAT) if at any time you wish to apply to move establishment, as a contribution towards the cost of inspecting the yard and facilities.

SUBMITTING YOUR APPLICATION/CHECKLIST

Should you require any further advice regarding your application, please contact Annette Baker: Tel: 020 7152 0143 – E-mail: abaker@britishhorseracing.com who will be pleased to help you. In the meantime, please ensure the following documents are submitted with your application:

- a cheque for £200.70 payable to 'British Horseracing Authority Limited' being the Inspection fee
- your CV
- summary of your stable employees experience and qualifications
- leases or agreements (or draft copies) to occupy the training establishment and/or use the facilities
- provisional list of horses likely to be trained with a summary of their form and your plans for them
- letters from prospective owners
- summary of horses trained by you in Point to Point Steeple Chases and Hunter Chases (including names, dates, etc) - if applicable
- monthly cashflow projections and projected profit and loss account for first 12 months of training operation
- service agreement if you wish to train as an employee (if the employer is a company, the information mentioned on page 4 should also be submitted)

When submitting your application, please state in a covering letter if any of the above documents are 'to follow'.

Yours sincerely,



John Smith
Licensing Team Manager

Direct Line: 020 7152 0146
Direct Fax: 020 7152 0141
Email: jsmith@britishhorseracing.com

LICENSING COMMITTEE

CONSIDERATION OF APPLICATIONS

Failure to Meet Non-medical Criteria

1. Where on the ground of a failure to meet non-medical licensing criteria an application is refused or is to be granted subject to conditions, the applicant will be notified by the Licensing Department of the British Horseracing Authority of those respects in which the applicant has failed to satisfy the criteria required by the Licensing Committee for the type of licence or permit in question and/or of the conditions. The applicant may within 14 days of the said notification lodge with the Licensing Department written submissions seeking a reconsideration of the licence application on the basis that the criteria have been misapplied or that the conditions are unnecessary and unduly onerous or there are exceptional circumstances why the criteria should be modified or waived in the case of the applicant. The Licensing Committee will consider such submissions at its convenience and its decision in the matter shall be final.

On Medical Grounds

2. Where on medical grounds an application for a rider's Licence or permit is refused or a Licence is revoked the rider may apply for review in accordance with the procedure approved by British Horseracing Authority from time to time. A copy of the said procedures currently approved may be obtained from the Licensing Department at the Registry Office.

Applicant not a "fit and proper" Person

3. Where the Licensing Department receives an objection or wishes to oppose the granting of an application or to recommend the revocation of a licence or permit on the grounds that the applicant is not a fit and proper person to hold the licence the following procedures shall apply:-
 - (a) the Licensing Committee will be provided with a summary of the matters relied upon by the Licensing Department;
 - (b) if it is satisfied that the matters raise material questions as to the fitness of the applicant, the Licensing Committee will fix a time and place for a private hearing to be attended by the applicant who may be legally represented;
 - (c) the Chairman will describe the nature of the matters which are of concern to the Committee with such particularity as will enable the applicant to deal with those concerns but consistent with protecting the British Horseracing Authority's confidential sources of information;
 - (d) because of the need in most cases to protect confidential sources, evidence as such will not normally be presented by the Integrity Services Department although where information before the Committee has been provided by the Integrity Services Department a senior member of the department will be present to answer any questions which Committee members may have concerning the quality and reliability of the information which they are being asked

to consider. Such a person shall decline to answer any question if he considers that to do so poses an unacceptable risk that confidential sources of information may be compromised;

- (e) the applicant will be invited to address the Committee in regard to the concerns summarised by the Chairman. The Chairman shall adjourn the hearing whether on an application or not for such period and upon such terms as he considers appropriate if he considers the applicant requires time to prepare his address or to present any evidence;
 - (f) the Licensing Committee shall be entitled to exercise its discretion concerning whether a person is a fit and proper person to hold a licence on the basis of information having taken such steps as it considers expedient in the circumstances to be satisfied that the information is from a reliable source;
 - (g) the Chairman of the Licensing Committee in any particular case may amend or waive any of the above requirements save for the requirement at sub-paragraph (c);
 - (h) the proceedings shall be confidential, but arrangements will be made for the hearing to be recorded. The recording made shall be the sole property of the British Horseracing Authority;
 - (i) the decision of the Licensing Committee which shall be on a simple majority basis shall be final, and in the event of a refusal or a revocation will not be accompanied by reasons. At the request of the applicant received within 7 days of notification of the decision, the Chairman will set out the nature of the matters which remained of concern to the Committee having heard what was said on behalf of the applicant.
4. An applicant who remains aggrieved by a decision to refuse a licence on grounds which are or which include the Licensing Committee not being satisfied that the applicant is a fit and proper person to hold the licence or permit in question may appeal to the Appeal Board in the manner and on the grounds provided for from time to time by the British Horseracing Authority Appeal Board Regulations. There is no appeal from refusals on other grounds.

Note:

The procedures set out under 3 involve an inevitable compromise between the interests of applicants who wish to challenge the basis of the objections to their application or revocation of an existing licence and the need to protect confidential sources which make up the intelligence network relied upon by the British Horseracing Authority in its effort to protect the integrity of racing. Applicants for licences and permits must recognise and accept that protecting the integrity of horseracing is an overriding concern of the British Horseracing Authority and that in consequence the Licensing Committee requires that licence and permit holders are at all times persons of high standards of honesty and personal integrity whose behaviour invites no contrary suspicion nor renders them susceptible to pressure from elements seeking to corrupt racing.

**Facts and matters which are relevant to the question
of whether an applicant is a fit and proper person**

Conduct which is not unlawful, either criminally or in conflict with the civil law, can be relevant to a consideration by the Licensing Committee of whether someone is or is not a fit and proper person to hold a licence or permit.

In the case of a person who is known to be subject of an ongoing criminal investigation as a potential suspect or who is facing criminal charges, the Licensing Committee may postpone consideration of an application until those matters are concluded and the matters may remain relevant to a licensing decision even if the matter is not pursued to charges or a conviction.

In some cases a single factor may lead to the conclusion that someone is not a fit and proper person, in other cases the determination of whether someone is not a fit and proper person may depend upon the cumulative effect of a number of matters.

The following examples, which are not exhaustive, are matters which the Licensing Committee considers relevant to the question of whether an applicant is a fit and proper person:

Applicant for a Trainer's Licence or Permit

- serious or repeated failure to observe the standards laid down in the Integrity Code of Conduct – Rule (C)11 of the Rules of Racing. With regard to individuals applying for a licence or permit having not been subject to a Code of Conduct immediately prior to the application, the Committee will want to be satisfied that the individual has not associated with persons whose conduct, character or reputation indicate that they pose a threat to the integrity of horseracing
- repeated failure to comply with the Rules of Racing
- previous declaration as a Disqualified Person for a breach of the Rules of Racing, previous Exclusion under Rule (A)64 or previous suspension or withdrawal of a licence or permit by the Disciplinary Panel or Licensing Committee
- unspent criminal convictions
- serious or repeated failure to comply with Health and Safety legislation or employment legislation
- some other compromising behaviour which in the view of the Licensing Committee may render the applicant susceptible to pressure from elements seeking to corrupt horseracing.

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 Licensing Committee.

Criteria for Properly Schooled Horses

Starters have drawn the Committee'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 Licensing Committee 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 Licensing Committee

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 Licensing Committee.

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 closeable 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.

CONTACTS AND FURTHER INFORMATION

Health and Safety Executive

Website: www.hse.gov.uk

HSE BOOKS

HSE BOOKS
PO Box 1999
Sudbury
SUFFOLK
CO10 2WA
Tel: 01787 881 165
Fax: 01787 313 995
Email: hsebooks@prolog.uk.com
Website: www.hsebooks.co.uk

HSE INFOLINE

HSE Infoline
Caerphilly Business Park
CAERPHILLY
CF83 3GG
Tel: 0846 345 0055
Fax: 0846 408 9577
Email: hse.infoline@natbnt.com

HSE INCIDENT CONTACT CENTRE

HSE Incident Contact Centre
Caerphilly Business Park
CAERPHILLY
CF83 3GG
Tel: 0845 300 9923
Fax: 0845 300 9924
Email: riddor@natbrit.com

HSE Local Offices

Wales and South West Division

Government Buildings
Phase1
Ty Glas
Llanishen
CARDIFF
CF14 5SH
Tel: 029 2026 3000
Fax: 029 2026 3120

4th Floor
The Pithay
All Saints Street
BRISTOL
BS1 2ND
Tel: 01179 886 000
Fax: 01179 262 998

Ballard House
West Hoe Road
PLYMOUTH
PL1 3BL
Tel: 01752 276 300
Fax: 01752 226 024

Unit 718
Edison Court
Ellice Way
Wrexham
Clwyd
LL13 7YT
Tel: 01978 316 000
Fax: 01978 355 669

3rd Floor
Darkgate Buildings
3 Red Street
Carmarthen
DYFED
SA31 1QL
Tel: 01267 244 230
Fax: 01267 223 267

14 New Fields
Stinsford Road
Nuffield Industrial Estate
Poole
DORSET
BH17 0NF
Tel: 01202 634 400
Fax: 01202 667 224

East & South East Division

AW House
6-8 Stuart Street
LUTON
LU1 2SJ
Tel: 01582 444 200
Fax: 01582 444 320

Priestley House
Priestly Road
BASINGSTOKE
RG24 9NW
Tel: 01256 404 000
Fax: 01256 404 100

Wren House
Hedgerows Business Park
Colchester Road
Springfield
CHELMSFORD
CM2 5PF
Tel: 01245 706 200
Fax: 01245 706 222

Phoenix House
23-25 Cantelupe Road
East Grinstead
WEST SUSSEX
RH19 3BE
Tel: 01342 334 200
Fax: 01342 334 222

Lakeside 500
Old Chapel Way
Broadland Business Park
Norwich
NORFOLK
NR2 1DA
Tel: 01603 828 055

International House
Dover Place
Ashford
KENT
NR2 1DA
Tel: 01233 653 900
Fax: 01233 634 827

London Division

Rose Court
2 Southwark Bridge
LONDON
SE1 9HS
Tel: 020 7556 2100
Fax: 020 7556 2102

Midlands Division

1 Hagley Road
BIRMINGHAM
B16 8HS
Tel: 0121 607 6200
Fax: 0121 607 6349

900 Pavillion Drive
Northampton Business Park
NORTHAMPTON
NN4 7RG
Fax: 01604 738 333

City Centre West
Level 6 (First Floor)
Toll House Hill
NOTTINGHAM
NG1 5AT
Tel: 01159 971 2800
Fax: 01159 971 2802

Lyme Vale Court
Lyme Drive
Parklands Business Park
Newcastle Road
Trent Vale
STOKE-ON-TRENT
ST4 6BW
Tel: 01782 602 300
Fax: 01782 602 400

Haswell House
St Nicholas Street
WORCESTER
WR1 1UW
Tel: 01905 723 406
Fax: 01905 725 300

Yorkshire & North East Division

Marshall's Mill
Marshall Street
LEEDS
LS11 9YJ
Tel: 0113 283 4382
Fax: 0113 283 4382

Edgar Allen House
241 Glossop Road
SHEFFIELD
S10 2GW
Tel: 0114 291 2300
Fax: 0114 291 2379

Arden House
Regent Centre
Regent Farm Road
Gosforth
NEWCASTLE-UPON-TYNE
NE3 3JN
Tel: 0191 202 6200
Fax: 0191 202 6300

North West Division

Grove House
Skerton Road
MANCHESTER
M16 0RB
Tel: 0161 952 8200
Fax: 0161 952 8222

Marshall House
Ringway
PRESTON
PR1 2HS
Tel: 0161 952 8200
Fax: 01772 836 222

2 Victoria Place
CARLISLE
CA1 1ER
Tel: 01228 634 100
Fax: 01228 548 482

Scotland

Belford House
59 Bedford Road
EDINBURGH
EH4 3UE
Tel: 0131 247 2000
Fax: 0131 247 2121

1st Floor
Mercantile House
53 Bothwell Street
Glasgow
G2 6TS
Fax: 0141 275 3100

Lord Cullen House
Fraser Place
ABERDEEN
AB25 3UB
Tel: 01224 252 500
Fax: 01224 252 525

Longman House
28 Longman Road
Longman Industrial Estate
INVERNESS
IV1 1SF
Tel: 01463 723 260
Fax: 01463 713 459

PROJECTED CASHFLOW (MONTH) 2009 TO (MONTH) 2010

	Month												
	1	2	3	4	5	6	7	8	9	10	11	12	Total
INCOME													
Training fees													
@ £ p w													
EXPENDITURE													
Labour													
Feed & Bedding													
Rent/Mortgage													
Rates													
Water Rates													
Insurance													
Light & Heat													
Telephone													
Motor Expenses													
Postage													
Stationary													
Advertising													
Licence Fees													
Prof. Fees													
Equipment													
Personal													
Drawings													
Sundries													
Opening Balance													
Income													
Expenditure													
Difference													
Closing Balance													
Overdraft Facility													

PROJECTED PROFIT AND LOSS ACCOUNT

For the Year ended _____ 200__

	£	£
<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.



**APPLICATION FORM FOR A TRAINER'S LICENCE
UNDER RULE (C)3 OF THE BRITISH HORSERACING AUTHORITY
RULES OF RACING**

2009/2010

(For the period to 31st January 2010)

OFFICE USE ONLY

Rec:	Fees:	Wthbys/NTF:	G:	No:	Key:
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Application for:	COMBINED LICENCE <input type="checkbox"/>	FLAT ONLY LICENCE <input type="checkbox"/>	JUMPING ONLY LICENCE <input type="checkbox"/>
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(BLOCK CAPITALS AND BLACK INK PLEASE)

Surname: All Forenames:

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

Any previous surnames eg. maiden name:

Full name of spouse/partner (if applicable):

Permanent Home Address:

.....

Postcode: Home Tel No: Mobile Tel No:

Fax No: E-mail address:

Address to which correspondence regarding this application should be sent if different from home address:

.....

EXPERIENCE AND QUALIFICATIONS

Summary of experience and qualifications including past employment, names and addresses of employers, dates, etc: (Please also enclose your C.V.)

.....

Particulars of any previous licences/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:

.....
.....
.....

REFERENCES

FINANCIAL

Give name and full address of your Bankers who can be approached:
(If you wish to train as an employee give name and address of your employer's Bankers)

.....
..... Postcode:

COMPETENCE AND EXPERIENCE OF TRAINING RACEHORSES

Give names and addresses of at least two Licensed Trainers who can be approached:

(1)
.....
(2)
.....

CHARACTER

Give names and addresses of at least two persons holding professional qualifications or of professional standing, who can be approached:

(1)
..... Postcode:
(2)
..... Postcode:

QUALIFICATIONS

Have you attained the National Vocational Qualification (NVQ) Level 3 in Racehorse Care and Management?

Yes No

Have you completed Modules 1, 2 and 3 of the mandatory training programme held at either the British Racing School or Northern Racing College?

Yes No

Dates attended (or to be attended):

Module 1 : Racehorse Management

Module 2 : Business Skills

Module 3 : Staff Management

Have you attended a one day training seminar for potential trainers at Weatherbys, Wellingborough?

Yes No Date attended:

PROPOSED TRAINING ESTABLISHMENT

Name and address of PRINCIPAL STABLE YARD:

.....

Postcode: Grid Ref: Tel. No:

Number of boxes available in this yard:

Is the Principal Stable 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:

.....
.....

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

.....

Who will be in overall charge in your absence?

Name: Position held:

If your residence and the stable yard are separate, give name and position held by employee living at this yard:

.....

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

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

.....
.....

Accommodation for Stable Staff:

.....

PLANNING PERMISSION

Has planning permission been obtained for the construction of the Principal Yard?

Yes No

If no, please state current position:

.....
.....

Has change of use of Agricultural Building to Train Stables been authorised?

Yes No Not Applicable

OTHER YARDS NOT FOR INCLUSION ON LICENCE

Details of any other yards under your control that are used for horses not in training, young stock, etc.

Name and address by which the yard is known:

Postcode: Grid Ref: Tel. No:

Number of boxes available:

TRAINING FACILITIES

FULL DETAILS REGARDING YOUR GALLOPS

GALLOPS - give their situation and a brief description with length, width, type of surface, etc:

.....
.....
.....

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

Do you own the main gallops? Yes No

If no, please state the name of the owner and arrangements under which they are available to you, eg. leased, central facilities: (A copy of any lease or agreement should accompany this application)

.....
.....

If applicable, please state the names of gallops used:

.....

APPLICANTS WISHING TO TRAIN FOR FLAT RACING

PRACTICE STARTING STALLS

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

.....

In the case of a static unit, please indicate where it is sited:

.....

Approximate distance to be travelled from the principal yard to where the stalls unit is normally sited:

.....

Owner of the starting stalls used:

.....

When stalls used are owned by another trainer or used under other arrangements, written confirmation as to your use of them must accompany this application.

APPLICANTS WISHING TO TRAIN FOR STEEPLE CHASES AND HURDLE RACES

SCHOOLING FENCES, HURDLES AND NURSERY FACILITIES

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

Number and type of fences available to you:

Number of flights of hurdles:.....

Do you own your own fences and hurdles? Yes No

If not, under what arrangement are they used?

Please state what nursery facilities are available to you eg. poles, logs, tyres, etc., where they are sited and on which type of surface:

ARRANGEMENTS UNDER WHICH YOU INTEND TO TRAIN

Do you intend to train as a self-employed person or as an employee?

If the answer to the above question is "as an employee", please state by whom you will be employed:

Names of any staff whom you employ at present and who will be assisting you in the running of your stable:
(Members of your family should be included)

<u>Surname</u>	<u>Forenames</u>	<u>Age</u>	<u>Position, eg. Head Lad</u>
.....
.....
.....
.....

Do you undertake to employ your staff in accordance with the Terms and Conditions of Service established by the National Joint Council for Stable Staff, for the duration of the Licence for which you are applying? (See British Horseracing Authority Schedule (C)1).

Yes No

NB Your attention is drawn to the following extract from Schedule (C)1 of the British Horseracing Authority Rules of Racing which 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.

Full details of the current Terms and Conditions of Service are given on the enclosed sheet entitled "Terms and Conditions of Service in Stables".

HEALTH AND SAFETY

Name of appointed Health and Safety representative (if not you):

	Yes	Not at present
Have you appointed one or more Health and Safety assistant(s) from your yard (or from outside) who are trained or knowledgeable about Health and Safety issues?	<input type="checkbox"/>	<input type="checkbox"/>

Name of current appointed Health and Safety assistant(s):

(i) (ii)

Do you have Employer's Liability Insurance?	<input type="checkbox"/>	<input type="checkbox"/>
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Is a copy of the current Insurance Certificate on display?	<input type="checkbox"/>	<input type="checkbox"/>
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Name of Insurance Company:

Policy Number: Date of Expiry:

Do you have Public Liability Insurance?	<input type="checkbox"/>	<input type="checkbox"/>
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Is a copy of the current Insurance Certificate on display?	<input type="checkbox"/>	<input type="checkbox"/>
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Name of Insurance Company:

Policy Number: Date of Expiry:

If you have 5 or more employees, do you have a written Health and Safety Policy which is signed, dated and displayed?	<input type="checkbox"/>	<input type="checkbox"/>
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Have you identified the Health and Safety hazards and assessed the risks to Health and Safety, eg. care of horses, racehorse exercise and handling, manual handling, equipment and machinery, hazardous substances, etc?	<input type="checkbox"/>	<input type="checkbox"/>
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Have you recorded the significant findings of the risk assessment? <input type="checkbox"/> (If you have 5 or more employees, significant risk must be recorded and brought to the notice of your employees)	<input type="checkbox"/>	
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Have your employees been given a full and detailed Health and Safety induction?	<input type="checkbox"/>	<input type="checkbox"/>
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Do you provide suitable Personal Protective Equipment, e.g. skull caps, body protectors (as defined in your risk assessment) free of charge?	<input type="checkbox"/>	<input type="checkbox"/>
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Do you have adequately stocked First Aid kits?	<input type="checkbox"/>	<input type="checkbox"/>
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Do you have at least one qualified First Aider to provide cover for all times when anyone is working?	<input type="checkbox"/>	<input type="checkbox"/>
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Name(s) of qualified First Aider(s) (i) (ii)

Is there an Accident Book available in the yard?	<input type="checkbox"/>	<input type="checkbox"/>
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Are you aware of the need to make reports to the HSE under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR)? (Reports should also be made to the relevant Racing School in cases involving Trainees)	<input type="checkbox"/>	<input type="checkbox"/>
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Do you have emergency arrangements in the event that a person needs hospitalisation, including arrangements for accidents that occur whilst on the training gallops?	<input type="checkbox"/>	<input type="checkbox"/>
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Have you carried out a Fire Risk Assessment?	<input type="checkbox"/>	<input type="checkbox"/>
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Do you display a Fire Notice with Instructions in case of fire?	<input type="checkbox"/>	<input type="checkbox"/>
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Do you display 'NO SMOKING' signs in appropriate places?	<input type="checkbox"/>	<input type="checkbox"/>
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Will you conduct and record fire drills?	<input type="checkbox"/>	<input type="checkbox"/>
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VARIOUS

Have you ever had any disqualification or restriction imposed on you by a Turf Authority?

Yes No

Have you ever been declared bankrupt, been the subject of an Individual Voluntary Arrangement or other statutory based composition with creditors alone or with others or had a criminal conviction (other than a minor motoring offence) recorded against you?

Yes No

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?

Yes No

Have you been a partner in any partnership which has gone into compulsory liquidation, administration or partnership voluntary arrangement within the last 10 years?

Yes No

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?

Yes No

(If 'yes' to any of the above questions, please give details here or enclose a separate letter):

.....
.....
.....

(An affirmative answer to these questions is not a bar to obtaining a licence)

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

Yes No

Are you engaged in any profession, business or occupation other than that of training horses? If so, give details including title of business and address.

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.....

DECLARATION

I confirm that all the information given above is correct and hereby request that this, my application for a Trainer's Licence, will receive the consideration of the British Horseracing Authority and I declare that, should a licence be granted to me:

- (a) I agree to be bound in all respects by the Rules of Racing in force from time to time, and the Rules of the recognised Turf Authority concerned when racing horses abroad.
- (b) I acknowledge that the British Horseracing Authority carries out its inspection of my training establishment for the purposes of assessing the adequacy of the training establishment and its facilities for the activity of training racehorses and that the granting of a licence by the British Horseracing Authority does not constitute any acknowledgment or indication by the British Horseracing Authority 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.
- (c) I agree that in addition to my statutory PAYE records, I will be prepared to 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). These records should also include details of overtime payments made including time worked away from the yard, 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 and to produce such records for inspection when required by the British Horseracing Authority or their authorised representative.
- (d) I undertake that when my employees are required to attend Apprentice and Conditional Jockeys Licence Courses, Continuation Training Courses, Advanced Courses or a one-day Training Seminar in accordance with Rules (D)5 and (D)10 of the British Horseracing Authority Rules of Racing, they will be paid their normal wages when attending such Courses.
- (e) I agree that employees under 19 years of age joining my employment will participate in the industry's Stable Staff Training Programme in accordance with Schedule (C)2 of the British Horseracing Authority Rules of Racing.
- (f) I declare in accordance with Schedule (C)2, in respect of each of my employees that where I or my employees take out a pension scheme or personal pension plan other than that established by the National Trainers Federation, contributions at no less a level than the rate established by the National Trainers Federation will be paid.
- (g) I agree to wear a skull cap or riding hat conforming to the current standard as laid down by the British Horseracing Authority under Schedule (D)2 whenever riding in the course of my work as a trainer..
- (h) I undertake to advise the Licensing Committee if I propose to enter into any betting business including spread betting business after my licence is granted.
- (i) I undertake to notify the British Horseracing Authority 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.

DATA PROTECTION

The British Horseracing Authority may make searches with a credit reference agency which will keep a record of those searches. The British Horseracing Authority may also make enquiries about the principal directors associated with your business with a credit reference agency. This information will only be used in connection with the regulation of horseracing and not disseminated to anyone else without your approval.

It is agreed that any information provided by me may be held by the British Horseracing Authority, the Horseracing Regulatory Authority, the British Horseracing Board or Weatherbys Group Ltd in their computer records, and that it may be properly disclosed to other agencies registered to receive such information in connection with the management, regulation and integrity of horseracing.

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:**

PLEASE SEE CHECKLIST IN COVERING LETTER AND ENSURE THAT ALL RELEVANT DOCUMENTS ACCOMPANY THIS APPLICATION.

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

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.