

PART 3 - OWNERS

CHAPTER 1 - GENERAL

27. Interpretation of Part 3

27.1 For the purposes of Chapters 2 and 3

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

27.1.1 these Rules,

27.1.2 any Rules of Racing previously in force,

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

27.1.4 the Authority's Regulations for Arabian Horse Racing;

VAT means value added tax for the time being in force.

27.2 In this Part, references to the ownership of a horse are to its legal ownership.

27.3 No entry may be made in the register under this Part in respect of any equitable interest in the ownership of a horse.

CHAPTER 2 - OWNER REGISTRATION: INDIVIDUALS, COMPANIES, PARTNERSHIPS AND CLUBS

28. Scope of Chapter 2

28.1 This Chapter provides for the registration of the names of the following as owners of any horse trained in Great Britain

28.1.1 a Sole Owner, or

28.1.2 Deleted

28.1.3 a Company

28.1.4 Deleted

28.1.5 Deleted.

28.2 Deleted.

28.3 For the purposes of Paragraph 28.1.3

Company means a body incorporated with limited or unlimited liability under a statutory enactment and includes a body incorporated outside the United Kingdom;

Director, in relation to a body corporate whose affairs are managed by its members, means a member of the body corporate.

28.4 In this Part, references to a Person include a partnership or unincorporated association of persons.

General provisions: all applicants

29. Making an application to register under Chapter 2

29.1 An application received by the Authority in respect of the ownership of a horse falling within the scope of Rule 28.1 shall be made in accordance with the provisions of this Chapter, and such of the following provisions as apply to the applicant in question:

29.1.1 Rule 30A applies to an application made by a Sole Owner, and

29.1.2 Rule 39 applies to an application made by a Company,

the Authority may approve the application if it considers it appropriate to do so.

29.2 An application for registration in the register of Owners under this Chapter

29.2.1 must be made using the Prescribed form, and

29.2.2 must be sent to The Racing Calendar Office, together with the appropriate fee specified in Schedule (A)1.

29.3 Procedures for the consideration and determination of applications are set out in Schedule (A)9.

29.4 Different forms may be Prescribed for applications for registration of different categories of owner.

29. In determining whether to approve an application, the Authority may have regard to such matters as it considers appropriate, including (but not limited to) those specified in relation to each description of applicant.

29.6 Where the Authority approves an application

29.6.1 it shall enter the Owner's name in the register, and

29.6.2 the entry becomes effective from the beginning of the day following the day of approval unless directed otherwise by the Authority.

29.7 In approving an application, the Authority may impose such restrictions or conditions as it considers appropriate for or in connection with the approval (for example, by requiring the provision of guarantees or other security by any director or other officer of a body corporate).

30. Requirement to put in place appropriate financial arrangements

30. The Authority may

30.1 refuse to approve an application for registration, or

30.2 direct that a person's registration shall cease to be valid,

if the Authority considers that appropriate financial arrangements are not in place for the purposes of securing payment of all fees and the receipt of all payments which are due from the owner of a horse in connection with racing.

Provisions applying only to Sole Owners

30A.1 A sole Owner is an individual who has an interest in all or part of a horse.

30A.2 The registration of a Sole Owner in the register of Owners must be made in accordance with Rules 30A to 33.

30A.3 An application for entry in the register of Owners as a Sole Owner

30A.3.1 must contain all information required by the Prescribed Form, and

30A.3.2 must be accompanied, if required by the Authority, by a copy of any document requested by the Authority.

30A.4 In relation to applications made in accordance with these provisions, the Authority

30A.4.1 must refuse to approve the application if the individual is a Disqualified Person, and

30A.4.2 may refuse to approve the application in such other circumstances as it considers appropriate.

30A.5 Where the Authority approves the application:

30A.5.1 it may register the Sole Owner subject to such restrictions or conditions as it considers appropriate, and

30A.5.2 the registration shall become effective from the beginning of the day following the day of approval, unless the Authority directs otherwise.

31. Name to be used when running a horse in ownership of a Sole Owner

31.1 Any horse owned by a Sole Owner must be entered and run under the Sole Owner's name except where the Authority has registered a person's screen, stage or pen name on the grounds that the person is better known publicly by an assumed name than by his real name.

31.2 The personal representative of an individual who is deceased may run the horse solely under the following description unless he has been notified by the Authority that he is required to make an application under this Part to register his own name in the register of Owners

Executor(s) (or Administrator(s) or Personal Representative) of **insert name of the deceased Person**.

31.3 A horse which is entered or run in a race using a name that is otherwise than in accordance with this Rule is

liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

32. Deleted

33. Cancellation of registration of individual registered as a Sole Owner

33.1 This Rule applies to an individual whose name is entered in the register of Owners as a Sole Owner of a horse.

33.2 A Sole Owner's registration is void if, when his application for registration was approved by the Authority

33.2.1 he was a Disqualified Person, or

33.2.2 a bankruptcy order had been made against him.

33.3 A Sole Owner's registration shall immediately cease to be valid if, at any time after the approval of his application for registration

33.3.1 he is declared to be a Disqualified Person,

33.3.2 a bankruptcy order is made against him,

33.3.3 he does not have a horse returned as being in training under these Rules for 24 months, or

33.3.4 the Authority gives a direction under Paragraph 33.4.

33.4 The Authority may at any time direct that a Sole Owner's registration shall cease to be valid

33.4.1 in accordance with Rule 30.2, or

33.4.2 in such other circumstances as it considers appropriate.

33.5 Where a Sole Owner's registration is void or ceases to be valid under this Rule the Authority shall remove his name from the register.

33.6 If a Person's name is removed from the register on the ground that the Sole Owner was a Disqualified Person or was subject to a bankruptcy order, the Authority may not approve an application to restore his registration until

33.6.1 three months have elapsed from the date on which the Sole Owner ceased to be disqualified or bankrupt, unless

33.6.2 the Authority is satisfied that the circumstances of the disqualification or bankruptcy were outside his reasonable control.

Provisions applying only to Stud Companies

34. Registration of Stud Companies

34.1 Deleted.

34.2 Deleted.

34.3 The Authority will not approve any new registrations under Rules 34 to 38. Stud Companies shall register as a Company in accordance with Rule 39.

35. Recognised Stud Company and Owner of horse

35.1 A company which is for the time being registered under Rules 34 to 38 is referred to in these Rules as a Recognised Stud Company.

35.2 In relation to any horse in the ownership of a Recognised Stud Company, references to the horse's owner are to the Stud Company acting through a registered nominee who is appointed in accordance with Rule 36.

36. Recognised Stud Company to act through registered nominee

36.1 For the purposes of these Rules, a Recognised Stud Company may not take any steps in respect of a horse in its ownership unless

36.1.1 the company has appointed one or more Persons as nominee to exercise the powers of owner on its behalf,

36.1.2 at least one nominee is approved by the Authority, and

36.1.3 the name of the nominee and the particulars of the horse are registered at The Racing Calendar Office.

36.2 In particular

36.2.1 any entry of a horse for a race must be made by the nominee who is registered for that horse or his Authorised Agent, and

36.2.2 a horse may not fulfil any engagement at any time when the Recognised Stud Company has no registered nominee.

36.3 The Authority may refuse to approve a nominee under Paragraph 36.1.2

36.3.1 if the Person appointed by the company is a Disqualified Person, or

36.3.2 in such other circumstances as it considers appropriate.

36.4 A registered nominee shall be treated for all purposes of these Rules as if he were the horse's owner and, if there is more than one nominee, each nominee

36.4.1 shall be treated as if he were the joint owner of the horse, and

36.4.2 shall be jointly and severally liable for any sums due from the owner under these Rules.

37. Name to be used when running a horse in ownership of a Recognised Stud Company

37.1 Any horse in the ownership of a Recognised Stud Company must be entered and run in any race using the name of a registered nominee.

37.2 A horse which is entered or run using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

38. Cancellation of registration of Recognised Stud Company or nominee

38.1 The Authority may at any time direct that the registration of a Recognised Stud Company shall immediately cease to be valid

38.1.1 in accordance with Rule 30.2, or

38.1.2 in such other circumstances as it considers appropriate.

38.2 The registration of a nominee for a Recognised Stud Company shall immediately cease to be valid if

38.2.1 the Authority gives a direction to that effect, or

38.2.2 Paragraph 38.3 applies.

38.3 A Recognised Stud Company may terminate the appointment of a registered nominee, but only if

38.3.1 the company still has at least one registered nominee or it appoints a new nominee in accordance with Rule 36, and

38.3.2 that nominee agrees to meet all liabilities

38.3.2.1 that were incurred in respect of the horse by the nominee whose appointment is being cancelled, and

38.3.2.2 that are outstanding at the time of the cancellation.

38.4 Where the registration of a Recognised Stud Company ceases to be valid in accordance with Rule 38 it will no longer be possible to re-register as a Recognised Stud Company, rather the registration must be made as a Company in accordance with Rule 39.

Provisions applying to Companies

39. Registration of Companies

39.1 The registration of a Company in the register of Owners must be made in accordance with Rules 39 to 46.

39.2 A Company must be registered with the Authority if the horse owned by that Company is to be entered or run in a race under these Rules.

39.3 An application for entry in the register of Owners made by a Company must

39.3.1 contain all information required by the Prescribed form, and
39.3.1.1 be accompanied by such other details as the Authority may require.

39.4 Where an application is made in accordance with Rule 29 and this Rule, the Authority

39.4.1 must refuse to approve the application if it appears to it that any of the directors or secretary (or joint secretary) of the company is a Disqualified Person, and

39.4.2 may refuse to approve the application in such other circumstances as it considers appropriate.

39.5 Where the Authority approves the registration application:

39.5.1 it may register the Company subject to such restrictions or conditions as it considers appropriate, and

39.5.2 the registration shall become effective from the beginning of the day following the day of approval, unless the Authority directs otherwise.

40. Recognised Company and Owner of horse

40.1 A Company which is for the time being registered under Rule 39 is referred to in these Rules as a Recognised Company.

40.2 In relation to any horse in the ownership of a Recognised Company, references to the horse's owner are to the company acting through an agent who is appointed and registered in accordance with Rule 41.

41. Recognised company to act through registered agent

41.1 For the purposes of these Rules, a Recognised Company may not take any steps in respect of a horse in its ownership unless

41.1.1 the Recognised Company has appointed one or more agents to exercise the powers of owner on its behalf (the Registered Agent),

41.1.2 at least one such agent has been approved by the Authority, and

41.1.3 the name of the agent and the particulars of the horse are registered at The Racing Calendar Office.

41.2 In particular

41.2.1 any entry of a horse must be made by a Registered Agent or by a sub-agent appointed in accordance with Rule 42, and

41.2.2 a horse may not fulfil any engagement at any time when the Recognised Company has no Registered Agent.

41.3 Where an agent is appointed for the purposes of Paragraph 41, the appointment must be made using the Prescribed form and executed on behalf of the Recognised Company, by a director of the company.

41.4 The Authority may refuse to approve an agent under Paragraph 41

41.4.1 if the agent's appointment has not been made in accordance with Paragraph 41.3,

41.4.2 if the agent is a Disqualified Person, or

41.4.3 in such other circumstances as the Authority considers appropriate.

41.5 No agent will be registered under Paragraph 41 unless the Authority has received the appropriate fee specified in Schedule (A)1.

41.6 Unless registration of an agent is renewed by the Authority on receipt of payment of the appropriate fee, the registration expires at the end of each 12 month period that starts on the anniversary of the initial registration.

42. Appointment of sub-agent

42.1 A Registered Agent may appoint a Person to act as his sub-agent where authority to do so is provided by the document which appoints the Registered Agent.

42.2 A sub-agent who is appointed by a Registered Agent may act as the Authorised Agent of the company

42.2.1 only if he has been allotted a security code by the Authority, and

42.2.2 only to the extent permitted by the terms of his appointment and by these Rules.

43. Name to be used when running a horse in ownership of a Recognised Company

43.1 Any horse in the ownership of a Recognised Company must be entered and run in any race using the name of the Recognised Company.

43.2 A horse which is entered or run using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

44. Duty to notify changes as to Company Directors or secretary

44.1 A Recognised Company must ensure that The Racing Calendar Office is notified of

44.1.1 the name and contact details of any new Director of the Company,

44.1.2 any changes to the details of the other Directors, and

44.1.3 the appointment of a new secretary.

44.2 Notice under Paragraph 44.1.1 must be sent no later than 21 days after the appointment of the new Director.

44.3 Notice under Paragraph 44.1.2 or 44.1.3 must be sent as soon as reasonably possible after the occurrence of the event to which it relates.

45. Cancellation of registration of a Recognised Company

45.1 The registration of a Recognised Company shall immediately cease to be valid if

45.1.1 a Director of the Company becomes a Disqualified Person,

45.1.2 an officer of the company fails to provide within a reasonable time any information required by the Authority or by The Racing Calendar Office, or

45.1.3 the Authority gives a direction under Paragraph 45.2.

45.2 The Authority may at any time direct that the registration of a Recognised Company shall cease to be valid

45.2.1 in accordance with Rule 30.2,

45.2.2 if a Registered Agent of the company is or becomes a Disqualified Person,

45.2.3 if the company makes any assignment for the benefit of creditors or makes any composition with creditors,

45.2.4 if any action or proceedings under insolvency or bankruptcy law is taken against the company,

45.2.5 if the company is the subject of a voluntary or compulsory liquidation (other than for the purpose of reconstruction or amalgamation),

45.2.6 if the company is made the subject of any administration order or of any proposal under Part 1 of the Insolvency Act 1986 for a composition in satisfaction of its debts, or

45.2.7 in such other circumstances as the Authority considers appropriate.

46. Cancellation of registration of a registered agent

46.1 The registration of an agent appointed by the company shall immediately cease to be valid if

46.1.1 the registration of the company ceases to be valid under Rule 45.1,

46.1.2 the agent is or becomes a Disqualified Person,

46.1.3 the agent becomes subject to a bankruptcy order,

46.1.4 the payment of the annual fee required by Rule 41.6 is in arrears by more than 14 days, or

46.1.5 the Authority gives a direction under Paragraph 46.2.

46.2 The Authority may at any time direct that the registration of an agent shall cease to be valid

46.2.1 if it is requested to do so on behalf of the Recognised Company by a director of the company

46.2.2 in such other circumstances as it considers appropriate.

Provisions applying only to Business Partnerships

47. Registration of Business Partnerships

47.1 Business Partnership

47.1.1 means a partnership within the meaning of section 1 of the Partnership Act 1890 and which

47.1.1.1 has a current VAT registration number, and

47.1.1.2 has not registered racing activities as a business for VAT purposes under Rule (A)100 (VAT registration scheme), and

47.1.2 includes a firm or entity of a similar character formed under the law of a country or territory outside Great Britain.

47.2 Deleted.

47.3 Deleted.

47.4 Deleted.

47.5 Deleted.

47.6 The Authority will not approve any new applications for registration under Rule 47 as a Business Partnership.

48. Recognised Business Partnership, Business Partners and Owner of horse

48.1 A Business Partnership which is for the time being registered under this Chapter is referred to in these Rules as a Recognised Business Partnership.

48.2 Each Person who signed the application is referred to in these Rules as a Business Partner.

48.3 In relation to any horse in the ownership of a Recognised Business Partnership, references to the horse's Owner are to the Business Partners.

49. Recognised Business Partnership to act through Business Partners

49.1 For the purposes of these Rules, a Recognised Business Partnership may not take any steps in respect of a horse in its ownership unless they are taken by one of the Business Partners.

49.2 In particular, any entry of a horse for a race must be made by one of the Business Partners or his Authorised Agent.

49.3 In respect of any horse in the ownership of a Recognised Business Partnership, each Business Partner

49.3.1 shall be treated as if he were the joint owner of the horse,

49.3.2 shall be jointly and severally liable for any sum due from the owner under these Rules, and

49.3.3 is subject to all other liabilities, duties and privileges of joint ownership.

49.4 But a Business Partner who has resigned shall not be liable for any sums which become due after notice of his resignation has been received at The Racing Calendar Office under Rule 51.1.1.

49.5 No privilege of ownership shall attach to any partner who is not a Business Partner, except for the privilege of running a horse under the name of the Business Partnership.

50. Name to be used when running a horse in ownership of a Business Partnership

50.1 Any horse in the ownership of a Recognised Business Partnership must be entered and run in any race using the name specified for it in the application approved under the subsisting registration application.

50.2 A horse which is entered or run using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

51. Notification of information

51.1 In respect of a Recognised Business Partnership, The Racing Calendar Office must be notified of

51.1.1 the resignation of any Business Partner, and

51.1.2 the particulars of any changes as to the horses in the ownership of the Recognised Business Partnership.

51.2 Notice under Paragraph 51.1.1 must be sent no later than 21 days after the resignation of the Business

Partner.

51.3 Notice under Paragraph 51.1.2 must be sent as soon as reasonably possible after the change occurs.

52. Cancellation of registration of Business Partnership

52.1 The registration of a Recognised Business Partnership shall immediately cease to be valid if

52.1.1 it ceases to meet the conditions specified in Rule 47.1,

52.1.2 a Business Partner becomes a Disqualified Person,

52.1.3 it appears to the Authority that a Business Partner was already a Disqualified Person at the time the application was made for registration of the Business Partnership,

52.1.4 a Business Partner fails to provide within a reasonable time any information required by the Authority or The Racing Calendar Office,

52.1.5 there are fewer than two Business Partners at any time, or

52.1.6 the Authority gives a direction under Paragraph 52.2.

52.2 The Authority may at any time direct that the registration of a Business Partnership shall cease to be valid

52.2.1 in accordance with Rule 30.2,

52.2.2 if any action, proceedings or arrangement under any insolvency or bankruptcy law is taken by or against a Business Partner in respect of his affairs or those of the partnership, or

52.2.3 in such other circumstances as the Authority considers appropriate.

52.3 Where the registration of a Business Partnership ceases to be valid in accordance with Rule 52 it will no longer be possible to re-register as a Business Partnership, rather the registration must be made as a Partnership in accordance with Rule 67.

53. Deleted.

54. Deleted.

55. Deleted.

56. Deleted.

57. Deleted.

58. Deleted.

59. Deleted.

CHAPTER 3 - OWNER REGISTRATION: ARRANGEMENTS FOR MULTIPLE OWNERSHIP

60. Scope of Chapter 3

60.1 This Chapter provides for registration of the following arrangements as to the ownership and management of any horse trained in Great Britain

60.1.1 a Partnership,

60.1.2 a Syndicate,

60.1.3 a Racing Club,

60.1.4 a lease that applies to a horse for a single race, or

60.1.5 any other lease or shared arrangement for the running of a horse.

60A. Requirement to put in place appropriate financial arrangements

60A.1 The Authority may

60A.1.1 refuse to approve an application for registration, or

60A.1.2 direct that a registration shall cease to be valid

if the Authority considers that appropriate financial arrangements are not in place for the purposes of securing

payment of all fees and the receipt of all payments which are due from the Owner of a horse in connection with racing.

61. Deleted.

62. Deleted.

63. Deleted.

64. Deleted.

65. Deleted.

66. Deleted.

Partnerships

67. Registration of a Partnership

67.1 Deleted.

67.2 Deleted.

67.3 Deleted.

67.4 Deleted.

67.5 Deleted.

67.6 Deleted.

67.7 Where a horse has one or more legal owners the horse may be registered as a Partnership.

67.8 The Partnership will consist of a number of Partners who each shall be one or more of the following:

67.8.1 Sole Owner;

67.8.2 a nominee of a Recognised Stud Company,

67.8.3 a Recognised Company,

67.8.4 a Syndicate,

67.8.5 a Racing Club or

67.8.6 a Business Partner in a Recognised Business Partnership.

67.9 In relation to any horse in the ownership of a Partnership, references to the horse's Owner are to the Partners.

67.10 A Partnership must be registered with the Authority if the horse owned by that Partnership is to be entered or run in a race under these Rules.

68. Conditions for initial registration

68.1 Deleted.

68.2 Deleted.

68.3 Deleted.

68.4 The registration of a Partnership in the register of Owners must be made in accordance with Rules 67 to 71A.

68.5 No Partnership may be registered unless:

68.5.1 the application is made using the Prescribed form and is sent to the Racing Calendar Office,

68.5.2 each of the Partners is registered in his own right in accordance with Rule 67.8,

68.5.3 the application specifies the Partnership name under which the horse is to run, and

68.5.4 the appropriate fee for initial registration specified in Schedule (A)1 has been received by The Racing Calendar Office.

68.6 Where an application is made in accordance with Rules 67 and 68, the Authority

68.6.1 must refuse to approve the application if it appears to it that any of the Partners is a Disqualified Person, and

68.6.2 may refuse to approve the application in such other circumstances as it considers appropriate.

68.7 Where the Authority approves the registration application:

68.7.1 it may register the Partnership subject to such restrictions or conditions as it considers appropriate; and

68.7.2 the registration shall become effective from the beginning of the day following the day of approval, unless the Authority directs otherwise.

69. Name to be used when running a horse subject to a Partnership

69.1 Deleted.

69.2 Deleted.

69.3 Deleted.

69.4 Any horse in the ownership of a Partnership must be entered and run in any race using the name of the Partnership that was specified for the horse in the application for registration under Rule 68.

69.5 A horse which is entered or run using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

69.6 The Partnership name may be changed only with the approval of the Authority on payment of the appropriate fee specified in Schedule (A)1.

70. Deleted.

71. Owner of horse and obligations of Partners

71.1 In relation to any horse subject to a Partnership, references to the horse's owner are to each Partner.

71.2 A Partner may assign his share in a horse (in whole or in part) subject to obtaining the consent of all other Partners and on payment of the appropriate fee specified in Schedule (A)1.

71.3 The Partners of a horse subject to the Partnership shall be jointly and severally liable for any sum due under these Rules as a result of any engagement for the horse that is made before a notice of termination is received by the Authority under Rule 73.1.1.

71A. Notification of Information

71A.1 In respect of a Partnership, the Racing Calendar Office must be notified of:

71A.1.1 any changes to the composition of a Partnership;

71A.1.2 the relative proportions of each Partner's ownership interest in any horse subject to the Partnership; and

71A.1.3 such other details as the Authority may request.

71A.2 Information required by Rule 71A.1 must be provided to the Authority no later than 21 days after the change or request occurs.

72. Deleted.

73. Cancellation of registration of a Partnership

73.1 The registration of a Partnership shall immediately cease to be valid if

73.1.1 any Partner or his Authorised Agent gives notice to the Authority of the termination of the agreement for Partnership, or

73.1.2 the Authority gives a direction under Paragraph 73.2.

73.2 The Authority may at any time direct that the registration of a Partnership shall immediately cease to be valid

73.2.1 in accordance with Rule 60A.1.2, or

73.2.2 if any persons listed in Rule 67.8 ceases to be registered with the Authority, or

73.2.3 in such other circumstances as it considers appropriate.

Syndicates

73A. Registration of Syndicates

73A.1 Where a horse has two or more legal owners the horse may be registered under a Syndicate.

73A.2 The registration of a Syndicate in the register of Owners must be made in accordance with Rule 73A.

73A.3 A Syndicate must be registered with the Authority if the horse owned by that Syndicate is to be entered or run in a race under these Rules.

73A.4 Each Syndicate must appoint at least one Person to manage, administer or promote a Syndicate (the Syndicator).

73A.5 The Syndicator must be registered with the Authority.

73A.6 The registration application submitted by the Syndicate must be made to, and be approved by the Authority, and such application must:

73A.6.1 be submitted to the Racing Calendar Office, together with the appropriate fee as specified in Schedule A(1);

73A.6.2 be made using the Prescribed form; and

73A.6.3 provide such other details as the Authority may require.

73A.7 In respect of a Syndicate, the Racing Calendar Office must also be notified of:

73A.7.1 the resignation of a Syndicator;

73A.7.2 the appointment of a new Syndicator;

73A.7.3 any changes to the composition of the participants in the Syndicate;

73A.7.4 any change to the horses owned by the Syndicate;

73A.7.5 any change to the names and contact details of all participants in the Syndicate (to include a Person with any legal interest in the horse) as the Authority may require; and

73A.7.6 such other details as the Authority may request.

73A.8 Information required by Rule 73A.7 must be provided to the Authority no later than 21 days after the resignation, appointment, change or request occurs.

73A.9 The Authority may refuse to approve the registration application where:

73A.9.1 the Syndicator(s) does not hold an existing registration with the Authority pursuant to Rule 73A.5 above; or

73A.9.2 in such other circumstances as it considers appropriate.

73A.10 Where the Authority approves the registration application:

73A.10.1 it may register the Syndicate subject to any restrictions or conditions it considers necessary; and

73A.10.2 the registration shall become effective from the beginning of the day following the day of approval, unless the Authority directs otherwise.

73B. Syndicator to act through Syndicator

73B.1 Each Syndicator shall be the Owner of the horse and shall, subject to Rule 73B.2:

73B.1.1 be jointly and severally liable for any sums due from the Owner under these Rules; and

73B.1.2 be subject to all other liabilities, duties and privileges of ownership.

73B.2 A Syndicator who has resigned in accordance with Rule 73A.7.1:

73B.2.1 shall be liable for any sums which accrued or became due before notice of his resignation has been received at The Racing Calendar Office;

73B.2.2 shall not be liable for any sums which become due after notice of his resignation has been

received at The Racing Calendar Office.

73B.3 No privilege of ownership shall attach to any participants in a Syndicate who is not a Syndicator, except for the privilege of running a horse under the name of a Syndicate.

73B.4 For the purposes of these Rules, a Syndicate may not take any steps in respect of a horse in its ownership unless they are taken by one or more Syndicator.

73C. Name to be used when running a horse subject to a Syndicate

73C.1 A horse registered under a Syndicate must be entered and run in any race using the name of the Syndicate specified in the application for registration under Rule 73A.

73C.2 A horse which is entered or run using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

73C.3 The Syndicate name may be changed only with the approval of the Authority on payment of the appropriate fee specified in Schedule (A)1.

73D. Cancellation of registration of a Syndicate

73D.1 The Authority may at any time direct that the registration of a Syndicate shall cease to be valid:

73D.1.1 where at any time there is fewer than one Syndicator;

73D.1.2 where any of the members in the Syndicate is or becomes a Disqualified Person;

73D.1.3 where a Syndicator fails to provide within a reasonable time any information required by the Authority or The Racing Calendar Office;

73D.1.4 if it appears to the Authority that any of the members in the Syndicate has ceased to maintain an interest in each horse in the ownership of the Syndicate;

73D.1.5 if any action, proceedings or arrangement under any insolvency or bankruptcy law is taken by or against any Syndicator;

73D.1.6 if the Authority considers that appropriate financial arrangements are not in place for the purposes of securing payment of all fees and the receipt of all payments which are due from the owner in connection with racing;

73D.1.7 where a Syndicator fails to adhere to the Code of Conduct (as defined in Rule 73E); or

73D.1.8 in such other circumstances as the Authority considers appropriate.

73E. Code of Conduct

73E.1 Where, in respect of a Syndicate:

73E.1.1 the arrangement is managed, administered or promoted by a Syndicator who receives payment, in relation to their role, and/or

73E.1.2 the method(s) of attracting participation in the arrangement include invitations to the public, whether by way of advertisement or otherwise.

the Syndicator must adhere to code of conduct at Schedule 6 (the Code of Conduct).

Racing Clubs

73F. Registration of Racing Clubs

73F.1 Where a horse's legal owner invites participation from other individuals but retains the legal ownership interest to form an ownership entity, the horse may be registered under a Racing Club.

73F.2 The registration of a Racing Club in the register of Owners must be made in accordance with Rule 73F.

73F.3 A Racing Club must be registered with the Authority if a horse owned by that Racing Club is to be entered or run in a race under these Rules.

73F.4 Each Racing Club must appoint at least one Person to manage or administer a Racing Club (the Club Manager).

73F.5 The Club Manager must be registered with the Authority.

73F.6 The registration application submitted by the Club Manager(s) on behalf of the Racing Club must be made to, and be approved by the Authority, and such application must:

73F.6.1 be submitted to The Racing Calendar Office, together with the appropriate fee as specified in Schedule A(1);

73F.6.2 be made using the Prescribed Form;

73F.6.3 provide such other details as the Authority may require.

73F.7 In respect of a Racing Club, the Racing Calendar Office must also be notified of:

73F.7.1 the resignation of a Club Manager;

73F.7.2 the appointment of a new Club Manager;

73F.7.3 at the request of the Authority, a list of all Persons who are (or were) members of the Racing Club as at such date as the Authority may request;

73F.7.4 any change to the list of horses to run under the Racing Club;

73F.7.5 any Racing Club member who is or becomes a Disqualified Person; and

73F.7.6 such other details as the Authority may request.

73F.8 Information required by Rule 73F.7 must be provided to the Authority no later than 21 days after the resignation, appointment, change or request occurs.

73F.9 The Authority may refuse to approve the registration application where:

73F.9.1 one or more of the Club Managers does not hold an existing registration with the Authority pursuant to Rule 73F.5 above; or

73F.9.2 in such other circumstances as it considers appropriate.

73F.10 Where the Authority approves the registration application:

73F.10.1 it may register the Racing Club subject to such restrictions or conditions as it considers appropriate; and

73F.10.2 the registration shall become effective from the beginning of the day following the day of approval, unless the Authority directs otherwise.

73G. Racing Club to act through Club Manager

73G.1 In relation to any horse in the ownership of a Racing Club:

73G.1.1 references to the horse's owner are to the Club Manager(s);

73G.1.2 if there is more than one Club Manager, each Club Manager:

73G.1.2.1 shall be treated as if he were the Owner(s);

73G.1.2.2 shall, subject to Rule 73G.3, be jointly and severally liable for any sums due from the Owner under these Rules; and

73G.2 Club Managers shall be subject to all other liabilities, duties and privileges of ownership.

73G.3 A Club Manager who has resigned in accordance with Rule 73F.7.1:

73G.3.1 shall be liable for any sums which accrued or became due before notice of his resignation has been received at The Racing Calendar Office;

73G.3.2 shall not be liable for any sums which become due after notice of his resignation has been received at The Racing Calendar Office.

73G.4 No privilege of ownership shall attach to any participants in a Racing Club who is not a Club Manager, except for the privilege of running a horse under the name of a Racing Club.

73G.5 For the purposes of these Rules, a Racing Club may not take any steps in respect of a horse in its ownership unless they are taken by one or more Club Manager.

73H. Name to be used when running a horse subject to a Racing Club

73H.1 Any horse registered under a Racing Club must be entered and run in any race using the name of the Racing Club specified in the application for registration under Rule 73F.

73H.2 A horse which is entered or run using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

73H.3 The Racing Club name may be changed only with the approval of the Authority on payment of the appropriate fee specified in Schedule (A)1.

73I. Cancellation of registration of a Racing Club

73I.1 The Authority may at any time direct that the registration of a Racing Club shall cease to be valid if:

73I.1.1 at any time there is fewer than one Club Manager;

73I.1.2 any of the members of the Racing Club is or becomes a Disqualified Person;

73I.1.3 a Club Manager fails to provide within a reasonable time any information required by the Authority or The Racing Calendar Office; or

73I.1.4 in such other circumstances as the Authority considers appropriate.

Leases applying to a single race

74. Registration of single race leasing arrangement

74.1 Where a horse is leased to a Person for one race only

74.1.1 the leasing arrangement must be registered if the horse is to be entered or run in that race, and

74.1.2 the registration must take place on or before the day which precedes that on which the horse is declared to run in the race under Part (F)6.

74.2 No single race leasing arrangement may be registered unless it is approved by the Authority.

74.3 An application for registration under this Rule must be

74.3.1 made using the Prescribed form, and

74.3.2 sent to The Racing Calendar Office, together with the appropriate fee specified in Schedule (A)1.

74.4 In determining whether to approve an application, the Authority may have regard to such matters as it may consider appropriate.

74.5 If it decides to approve the application

74.5.1 the Authority may register the single race leasing arrangement subject to such restrictions or conditions as it considers appropriate, and

74.5.2 the registration shall become effective from the beginning of the day following the day of approval.

74.6 In relation to any horse subject to a single race leasing arrangement, references in these Rules to the horse's owner are to the lessee or lessees under the arrangement.

Other leases and arrangements

75. Registration of leasing and other joint arrangements not within Rule 67, 73A, 73F or 74

75.1 This Rule applies where a horse is subject to a lease or other arrangement which does not fall within the preceding provisions of this Chapter.

75.2 Any such lease or arrangement must be registered if the horse is to be entered or run in a race under these Rules.

75.3 Registration under this Rule extends only to the horse in question (and, if there is more than one horse, separate registration is required for each horse).

75.4 The registration takes effect immediately once all of the conditions for initial registration specified in Rule 76 have been met, but this is subject to the requirement to renew registration under Rule 77 and to any cancellation of registration under Rule 80.

75.5 Where a horse

75.5.1 is entered for a race before it becomes subject to a lease or other arrangement within Paragraph 75.1, and
75.5.2 runs in that race before the lease or other arrangement is registered,

the horse is liable to be disqualified under Rule (A)74 (see Ground 7).

75.6 The Authority may publish on the Racing Administration Internet Site such information as it considers appropriate in respect of any lease or other arrangement registered under this Rule.

76. Conditions for initial registration

76.1 No lease or other arrangement falling within Rule 75.1 may be registered unless the following conditions have been met in relation to it

76.1.1 not more than twelve Persons are to run the horse under the lease or other arrangement,
76.1.2 each of those Persons is registered in his own right under Chapter 2 as

- 76.1.2.1 a registered individual,
- 76.1.2.2 a nominee of a Recognised Stud Company,
- 76.1.2.3 a Recognised Company, or
- 76.1.2.4 a Business Partner in a Recognised Business Partnership,

76.1.3 the appropriate fee for initial registration specified in Schedule (A)1 is sent to The Racing Calendar Office, and

76.1.4 a copy of the terms of the lease or other arrangement, which is signed by all the parties, is delivered to The Racing Calendar Office or given to the Clerk of the Scales for transmission to that Office.

77. Expiry and renewal of registration of lease or other arrangement

77.1 Any registration under Rule 75.1 expires at the end of each 12 month period that starts on the anniversary of the initial registration.

77.2 The Authority may, on an application made to it, renew the registration but only if

- 77.2.1 it is satisfied that the requirements of Rule 76.1.1 and 76.1.2 continue to be met in relation to the lease or other arrangement, and
- 77.2.2 it receives payment of the appropriate fee specified in Schedule (A)1.

78. Owner of horse and obligations of parties to lease or other arrangement

78.1 In relation to any horse subject to a lease or other arrangement registered under Rule 75, references in these Rules to the horse's owner are to the lessee or lessees.

78.2 For the purposes of these Rules, the Person who grants the lease or other arrangement in respect of a horse shall be regarded as having no interest in the horse unless he receives a share of the prize money won by the horse or contributes to the expense of running it.

79. Name to be used when running a horse subject to a lease or other arrangement

79.1 A horse subject to a lease or other arrangement registered under Rule 75 must be entered and run in any race using the name of any Person listed in Rule 76.1.2.

79.2 A horse which is entered or run in a race using any other name is liable to be disqualified under Rule (A)74 (see Ground 6 of that Rule).

80. Cancellation of a lease or other arrangement

80.1 Registration under Rule 75 shall immediately cease to be valid if

- 80.1.1 any of the Persons listed in Rule 76.1.2 ceases to be registered in his own right under Chapter 2, or
- 80.1.2 the Authority gives a direction under Paragraph 80.2.

80.2 The Authority may at any time direct that the registration of lease or other arrangement shall cease to be valid

80.2.1 if the Authority considers that appropriate financial arrangements are not in place for the purposes of securing payment of all fees and the receipt of all payments which are due from the owner in connection with racing, or
80.2.2 in such other circumstances as it considers appropriate.

CHAPTER 4 - RACING COLOURS

81. Application of Chapter 4

81. This Chapter applies to any Person under whose name a horse is to run in a race under these Rules.

82. Racing colours

82.1 Subject to Paragraphs 82.2 and 82.3 and Rule 83

82.1.1 the Owner of a horse must register colours for racing with the Authority, and

82.1.2 the horse must carry those colours in any race under these Rules.

82.2 A lessee under a single race leasing arrangement may, if he has no colours registered in his name

82.2.1 register colours for the day of the race only, or

82.2.2 race the horse in colours already registered to another Person if he has previously obtained that Person's written permission to do so.

82.3 Where the Owner of a horse trained outside Great Britain has colours registered for him by a Recognised Racing Authority, the horse may carry those colours if

82.3.1 a declaration of the colours is made to The Racing Calendar Office in respect of each race,
and

82.3.2 that declaration is made

82.3.2.1 if the race closes more than 6 days before running, by the time determined for confirmation of entries under Part (F)6;

82.3.2.2 otherwise, by the time determined for the closing of entries under Part (F)5.

82.4 An Owner who has more than one set of registered colours must inform The Racing Calendar Office which colours are nominated as his First Colours.

82.5 The Authority may direct that the registration of an Owner's racing colours shall cease to be valid in such circumstances as it considers appropriate.

82.6 An Owner whose horse is declared to run under Rule (F)89 without registering colours in accordance with this Rule shall be taken to have contravened a requirement imposed on him by this Rule.

82.7 Where a horse runs in colours other than those permitted by this Rule, the Trainer of the horse shall also be taken to have contravened a requirement imposed on him by this Rule unless he or the Owner can satisfy the Authority

82.7.1 that the circumstances of the failure to carry the registered colours fall within Rule 83, or

82.7.2 that the failure was due to circumstances outside their reasonable control,

and, where the Trainer does satisfy the Authority that the failure was the fault of the Owner, Disciplinary Action may be taken against the Owner.

82.8 The Authority may decide not to take Disciplinary Action against an Owner for contravention of any of the requirements of this Rule if the owner satisfies the Authority that the circumstances in which the contravention occurred are acceptable.

83. Circumstances in which use of other racing colours is required

83.1 An Owner must declare alternative colours if asked to do so by the Authority or the Judge.

83.2 In deciding which Owner must declare alternative colours the Authority or the Judge

83.2.1 may take into account the length of time the colours have been registered to the Owner,

giving preference to the longer-established registration, but
83.2.2 has absolute discretion over which colours are required to be changed.

83.3 Where

83.3.1 an Owner has more than one horse running in the same race, or
83.3.2 an Owner's horse will not be carrying his First Colours in a race,

the Owner or the Trainer must declare alternative colours to the Racing Calendar Office by 1.00p.m. on the day for making declarations to run under Rule (F)89.

83.4 The alternative colours referred to in Paragraph 83.3.1 must, as a minimum, have a different coloured cap which

83.4.1 is not black, and
83.4.2 does not contain a colour which appears in the cap of the declared colours for any of that Owner's other horses in the race, except where that colour features only in a star or a diamond.

83.5 If the Owner or the Trainer fails to make the declaration required by Paragraph 83.3 he must declare alternative colours to the Clerk of the Scales before the rider weighs out.

83.6 Unless the change is at the Judge's request on the racecourse, the alternative colours must not be already registered to another Owner unless permission has been obtained.

83.7 Where no declaration is made pursuant to Paragraph 83.3 above, or where a horse runs in colours other than those declared under Paragraph 83.3, Disciplinary Action may be taken against the Trainer or, where the Trainer satisfies the Authority that the fault was that of the Owner, against the Owner.

84. Circumstances in which joint-use of racing colours is permitted

84.1 Where racing colours are already registered to an Owner, a horse may also carry those colours whilst running under the name of another Owner if

84.1.1 the joint use of colours has been authorised in any of the circumstances specified in Paragraph 84.2, 84.3 or 84.4, and
84.1.2 the particulars of joint use have been registered with the Authority.

84.2 Where racing colours are registered in the name of an individual (B), B may authorise joint use of them by

84.2.1 a Recognised Company, where the horse is owned by the company and B is a Registered Agent for the company,
84.2.2 a Recognised Stud Company, where the horse is owned by the stud company and B is a registered nominee for the stud company,
84.2.3 a Recognised Business Partnership, where the horse is owned by the business partnership and B is a Club Manager,
84.2.4 a Racing Club, where the horse is owned by the club and B is a Club Manager,
84.2.5 a Syndicate, where the horse is subject to the Syndicate and B is a Syndicator or a member in the Syndicate,
84.2.6 a Partnership registered under Rule 67, where the horse is subject to the Partnership and B is a Partner, or
84.2.7 a lease or other arrangement registered under Rule 75, where the horse is subject to the lease or arrangement and B runs the horse under it.

84.3 Where racing colours are registered in the name of a Recognised Company (C), a Registered Agent of C may authorise joint use of them by

84.3.1 a Syndicate, where the horse is subject to the Syndicate and C is a Syndicator or a member in the Syndicate, and
84.3.2 a Partnership registered under Rule 67, where the horse is subject to the Partnership and C is a Partner, or
84.3.3 a lease or other arrangement registered under Rule 75, where the horse is subject to the

lease or arrangement and C runs the horse under it.

84.4 The Authority may, on an application to it, permit the joint use of racing colours

84.4.1 in such circumstances as it may consider appropriate, and

84.4.2 subject to such restrictions or conditions as it may specify.

84.5 For the purposes of Paragraph 84.2 or 84.3

84.5.1 any authorisation by B, or by C's Registered Agent, must be in writing, signed by him and sent to The Racing Calendar Office, and

84.5.2 any Owner making joint use of colours already registered to another must take any necessary steps to register new racing colours in the event that the joint use ceases to be authorised.

85. Application to the Authority to register racing colours

85.1 An application for the registration of racing colours under Rule 82.1 must be

85.1.1 made using the Prescribed form,

85.1.2 sent to The Racing Calendar Office, and

85.1.3 accompanied by the appropriate fee specified in Schedule (A)1.

85.2 If it considers it appropriate to do so, the Authority may waive some or all of the instructions contained in the Prescribed form in respect of the Owner of a horse whose colours are already registered with a Recognised Racing Authority.

85.3 The Authority may determine

85.3.1 the colour shades and combinations that are available for registration,

85.3.2 the features that sufficiently distinguish one set of racing colours from a similar set so as to allow both to be registered,

85.3.3 the circumstances in which re-registration and transfers of racing colours may be permitted, and

85.3.4 all disputes as to the rights to particular colours.

85.4 The Authority may

85.4.1 register an Owner's racing colours for a period of 1, 5, 10 or 20 years or for such other period as the Authority may determine, and

85.4.2 may renew such registration on payment of the appropriate fee specified in Schedule (A)1.

85.5 A transfer of colours will be permitted upon payment of the relevant fee as set out in Schedule (A)1. This fee is not applicable where the transfer is made to

85.5.1 spouse,

85.5.2 parent,

85.5.3 a child,

85.5.4 siblings

85.5.5 civil partners,

85.5.6 the executors or the administrators of such persons, or

85.5.6 if the transferor, or in the case of a deceased transferor the heir to his racing interests,

85.6 At the Authority's discretion, colours may also be transferred between a Registered Owner and

85.6.1 a Racing Club registered under Rule 73F,

85.6.2 a Recognised Stud Company registered under Rule 34,

85.6.3 a Recognised Company registered under Rule 39,

85.6.4 a Recognised Business Partnership registered under Rule 47,

85.6.5 a Partnership registered under Rule 67, or

85.6.6 a Syndicate registered under Rule 73A

85.7 Provided the Registered Owner is a Club Manager, approved nominee, Registered Agent, Business Partner, Partner or Syndicator as the case may be of the ownership category in question or vice versa.

85.7.1 colours may only be transferred back to the original registrant.

CHAPTER 5 - MISCELLANEOUS

86. Application of Chapter 5

86.1 In this Chapter

86.1.1 all the Rules apply to Persons registered in the register of Owners under Chapter 2 or 3, and

86.1.2 in addition, Rules 91 and 92 also apply to any other Owner under whose name a horse is to run in a race under these Rules.

87. Information about horses of ambiguous sex

87.1 An Owner must, as soon as possible, notify the Racing Calendar Office when a horse in his ownership is found to be of Ambiguous Sex.

87.2 **A Horse of Ambiguous Sex** means a horse whose visible sexual characteristics are contradicted by its genetic make-up/internal organs.

88. Dealings with licensed trainers

88.1 Schedule 4 requires Owners whose horses are trained by a Licensed Trainer to enter into an agreement with the trainer and makes provision as to the terms of such agreements and their enforcement.

88.2 Licensed Trainer means a Person who holds a trainer's licence granted by the Authority.

89. Owners giving instructions to riders

89 Any Owner or Registered Agent of a Recognised Company who gives instructions to the rider of his horse must comply with Rule (C)45 (securing the best possible placing) and is liable to disciplinary action in the circumstances set out in Rule (C)45.4.

89.A Restriction on owners compensating riders

89A.1 An Owner must not

89A.1.1 give to the Rider of his horse any material reward, gift, favour or benefit in kind in recognition of the consequence to that Rider of any Disciplinary Action taken against him, or

89A.1.2 instruct another person to do so on his behalf.

90. Authorised agents of an Owner

90.1 This Rule

90.1.1 applies to any Owner whose name is registered in the register of Owners, but

90.1.2 does not apply to any Recognised Company.

90.2 A Person is authorised to act on behalf of the Owner for the purposes of these Rules only if

90.2.1 he is appointed as an Authorised Agent by a document which is in the Prescribed form and signed by the appointor,

90.2.2 the document has been sent to The Racing Calendar Office and is for the time being registered in the register of Authorised Agents, and

90.2.3 the appropriate fee specified in Schedule (A)1 is paid

90.2.3.1 for the initial registration of the document, and

90.2.3.2 at the end of each 12 month period that starts on the anniversary of the initial registration.

90.3 Where a sub-agent is appointed by an agent appointed in accordance with this Rule, the sub-agent may

make entries for races, confirm entries or make declarations under these Rules only if he has been allotted a security code by the Authority.

90.4 Where a horse is sold with engagements to another Person, any agent of the seller appointed in accordance with this Rule shall be regarded as the Authorised Agent of the purchaser but only in respect of entries which have already been made, but which are not closed, at the time of sale.

90.5 Registration of an agent appointed in accordance with this Rule shall immediately cease to be valid if

- 90.5.1 the agent's appointment is cancelled by him or by the owner,
- 90.5.2 the payment of the annual fee is in arrears by more than 14 days, or
- 90.5.3 the Authority gives a direction under Paragraph 90.6.

90.6 The Authority may, in such circumstances as it considers appropriate, direct that the registration of the document appointing the agent in accordance with this Rule shall cease to be valid.

91. Owner's sponsorship agreements

91.1 On an application made to it under this Rule and in accordance with the Code of Conduct, the Authority may approve and register an Owner's sponsorship agreement in such circumstances, and subject to such restrictions or conditions as it considers appropriate.

91.2 An Owner may apply for approval by sending a copy of the agreement together with the application fee specified in Schedule (A)1.

91.3 If the Authority decides to approve the application

- 91.3.1 it may register the sponsorship agreement subject to such restrictions or conditions, and for such period, as it considers appropriate.

92. Restrictions on laying to lose

92.1 In Paragraph 92.2, Listed Person

92.1.1 means any Owner (see Rule 96), and

92.1.2 additionally, includes

92.1.2.1 where the owner is a Recognised Company, any director or Registered Agent of the company,

92.1.2.2 where the owner is a Recognised Stud Company, any director of the company,

92.1.2.3 where the owner is a Syndicate, all members of the Syndicate,

92.1.2.4 where the horse is subject to a lease, the lessor of the horse, and

92.1.2.5 where the horse is owned in a Partnership or Business Partnership, is leased for one race only or is subject to any other lease or arrangement registered under Rule 75, any Person who, at or around the material time, played an active part in managing the horse.

92.2 A Listed Person must not

92.2.1 lay any horse he owns with a Betting Organisation to lose a race,

92.2.2 instruct another Person to do so on his behalf, or

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

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

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

92.5 Betting Organisation means

92.5.1 any bookmaker,

92.5.2 the Tote,

92.5.3 any company offering spread betting on horseracing or person-to-person betting exchanges on horseracing, and

92.5.4 the employees of any such organisations.